

19 January 2018

From: Chair, Naval Postgraduate School/Naval War College Board of Advisors
To: Secretary of the Navy
Via: (1) President, Naval Postgraduate School
(2) President, Naval War College
(3) Chief of Naval Operations

Subj: MEETING OF THE BOARD OF ADVISORS (BOA) TO THE
PRESIDENTS OF THE NAVAL POSTGRADUATE SCHOOL (NPS)
AND THE NAVAL WAR COLLEGE (NWC)

Ref: (a) Public Law 92-463, Federal Advisory Committee Act

Encl: (1) Listing of Meeting Attendees
(2) NPS/NWC BOA Meeting Minutes from April 2017 and October 2017

1. In accordance with reference (a), the subject board met concurrently with its two authorized subcommittees on October 18 – 19, 2017. Meeting participants are found in Enclosure (1). Enclosure (2) contains the meeting minutes from this meeting and from the subcommittees' April 2017 meetings held at each institution. Enclosure (2) also forwards the somewhat detailed minutes of the deliberations of the Overarching Board of Advisors in our 19 October meeting. A subset of the issues described in those meetings are highlighted below. The Board was pleased and honored to have you, Mr. Secretary join our meeting on October 18th. We look forward to working with you to strengthen further the Naval Postgraduate School and the Naval War College.

2. Among the board observations and recommendations we emphasize these:

a. Valuing education (especially in-residence) for Navy officers. The Board believes in quality education for quality officers. We know that Navy leadership does too, but that there are obstacles in career patterns (especially for promotable URL officers) that impede the assignment of quality Navy warfighters in sufficient numbers to in-residence education. As a result, the corps of Navy officers is unable to take appropriate advantage of the value added by NPS and NWC in advancing thinking, imparting skills, improving tactics and strategy, and polishing the military relationships that prove to be more and more valuable in the course of a lengthy career.

b. Finding a balance between the career path requirements for unrestricted line officers and that need for postgraduate education has been a persistent problem for the Navy. Nevertheless, the time is right for a fresh look at the problem. The Board

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recommends that Navy Department and Navy leaders undertake a review of options to increase the number and proportion of competitive Navy officers who are afforded the opportunity to benefit from two or more periods of in-residence education during the course of a career in Navy's combat arms.

c. There is always a relationship between the quality of education that the Postgraduate School and War College can provide and the resources the school and college are afforded. The Board notes that, in spite of continuing budget uncertainties, Navy leaders have designated the school and college "Flagship Institutions" alongside the U.S. Naval Academy. The Board applauds the Flagship designation but the proof will lie in funding high priority needs despite a difficult budget environment. The Board will continue to monitor the issue.

d. The Board of Advisors has not been directed to conduct reviews of curricula at the two institutions. Nevertheless, the Presidents and Provosts have been generous in their descriptions of the courses offered to students and the education resulting from those courses of instruction. The BOA, and especially its sub-committees, would be pleased to consider participating in some way in reviews of curricula, if that could be helpful, and not interfere in the reviews already being conducted periodically by curriculum sponsors (at NPS) and Navy leadership (at both NPS and NWC).

e. BOA membership is undergoing some changes, both in size and skill sets. We are grateful for the renewed emphasis being placed on the timely vetting of new members and re-approvals of sitting members. We believe also that the Board's and Sub-committees' value to the Presidents and to Navy and Navy Department leaders would be enhanced if new BOA members were usually chosen explicitly for their experience in certain areas: management of academic endeavors; accreditation (and perhaps experience as a member or chair of an accreditation committee); scientific or engineering achievement; political experience; etc.

f. Finally, the hearts of these extraordinary institutions are their faculties. The faculties have suffered through furloughs, restrictions on travel for professional development, misunderstandings of the role of research in advanced education, lack of administrative support, and other obstacles that restrain the faculty from achieving the highest quality educational experience. Some top faculty have left. Most have stayed through all of the turmoil because of their dedication to the students and the missions of the school and college. Because a quality faculty is so important to the success of these institutions, and because of the unique position of higher education in a military bureaucracy, it is incumbent upon leadership at every level to eliminate unnecessary

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impediments to faculty freedom and continue to demonstrate that a quality faculty is a matter of the highest priority.

3. The next meeting of this Board will be held on October 17 – 18, 2018 in Arlington, VA. The next meeting for the NWC BOA Subcommittee will convene on April 5 – 6, 2018 in Newport, RI and the NPS BOA Subcommittee will be held in Monterey, CA on April 25 – 26, 2018.

Very respectfully and warmest regards,

LEE F. GUNN

Copy to:
Commandant, Marine Corps
SECNAV ASN M&RA
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Vice Chief of Naval Operations
OPNAV NI/N4/N8
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NPS/NWC BOA Members

Meeting Attendees:

-  = Parent Board Member
 = NPS Subcommittee Member
 = NWC Subcommittee Member

Board Members:

- VADM (Ret) Lee Gunn, USN   / 
- Dr. Katherine McGrady  
- Dr. M. Elisabeth Pate-Cornell   / 
- VADM (Ret) David Frost, USN 
- Honorable G. Kim Wincup 
- Dr. Robert Fossum 
- Honorable Christopher Jehn 

Ex-officio Members:

- Mr. Frank DiGiovanni and Mr. Dave Menzen, for N1   /  
- Dr. James Anderson, for TECOM   / 
- Dr. Jim Breckenridge, for AWC 
- Dr. Walter F. Jones, for ONR 
- Dr. Sritharan Sivaguru, for AU 

NPS Staff:

- President Ron Route
Provost Steve Lerman
LT Jeff Steiner

NWC Staff:

- President Jeff Harley
Provost Lewis Duncan
LT Robert Notari

Honored Guests:

- Honorable Richard V. Spencer
Mr. Robert L. Woods

Prospective Board Member Observers:

- Mr. Don Dixon 
- Dr. Gwen Hall  
- Dr. David Chu 

Designated Federal Official:

- Ms. Jaye Panza and Dr. Thomas Gibbons, Alternate

**ENCLOSURE (2): NPS/NWC Board of
Advisors Subcommittee meeting minutes
from October 2017 and April 2017**

25 October 2017

**Board of Advisors
NPS Subcommittee Meeting**

Ms. Jaye Panza, Designated Federal Official, welcomed the BOA members and convened the meeting at 0830 hours on Wednesday, October 18, 2017 at CNA, 3003 Washington Blvd., Arlington, Virginia.

VADM (Ret) David Frost, Subcommittee Chairman, asked members to introduce themselves, gave opening remarks and instructions, and turned the time over to President Ron Route. President Route provided updates since the last meeting, including follow-up on issues addressed at the April 2017 sub-committee meeting. President Route also provides board members with a copy of his monthly email updates he sends to the VCNO.

President Route provided the board a listing of Secretary of the Navy Guest Lecturer (SGL) series visits. SGL's are an important part of the NPS experience for students, giving them insight outside the curriculum and the opportunity to listen to (and ask questions of) experienced leaders. Also during his presentation, he discussed accomplishments including the number of degrees conferred; an update on the Center of Executive Education (CEE); Leadership in Cyber Efforts; OPNAV/NPS Coordination; Community Engagement; Command Climate Survey Results; and NPS Foundation Relationship.

Dr. Katherine McGrady asked for a breakdown of the STEM vs the non-STEM degrees.

President Route indicated the CEE has gotten broader with its mission to include tailored support for new Flag Officers in areas such as managing change, leadership growth, and development in a climate of change. SES leaders attend as well.

NPS/NWC BOA Chairman Lee Gunn asked if the CEE has integrated into the overall Leadership Continuum with the NWC? Presidents Route and Harley indicated the two schools work together, however each curriculum stands alone.

Dr. Pate-Cornell asked if the programs include a spectrum of technology that students will face (role of space; role of information technology). She stressed the importance of exposing students to technology. President Route indicated an "All Hands Cyber Course" was developed and covers a baseline into technology.

Chairman Gunn asked if there is coordination between both schools on Cyber? Yes, both institutions share a core curriculum.

Chairman Frost commented that NPS has different kinds of outreach that go beyond in-residence education. Cyber is a perfect example. Future senior leaders need to be provided with a foundation and on-going education. He suggested thought be given

regarding more creative ways to accomplish this for those who don't have time to come to NPS to get a Masters.

NWC Chairman Chris Jehn commented on the under-filled quotas in STEM and asked about STEM career progression. Officers are responding to signals and incentives the Navy gives. He asked how STEM background and education is rewarded by promotion boards? Perhaps this needs to be changed?

President Route continued his brief providing updates on Full Ship Shock Trials, where an NPS Team completed a CNO directed review of benefits & options for ship shock trials. An NPS team also coordinated with NAVAIR and NAWC TSD Orlando to survey aircrew and maintenance personnel and analyze databases on an F/A-18 and T-45 Hypoxia Initiatives.

President Route described the Crew Endurance Study done by NPS Professor Nita Shattuck. NPS is sharing results with the US Marine Corps. He indicated that VCNO is working a 90-day review on lessons learned on ship collisions. Two NPS professors have been selected to be part of a SECNAV review panel.

NPS is adapting education and providing certificate programs. Certificate programs are the wave of the future and NPS is receiving many demand signals from OPNAV.

President Route discussed the Improved Business and Financial Management aspects at NPS. Most of the financial authority has been given back to the NPS President. NPS is now allowed to manage its people and money. The extraordinary controls that were imposed have been removed.

There are continued acquisition process improvements at NPS. All work that was not 51% compliant has transitioned out of NPS. The school has lots of flexibility as long as 51% is done in-house. NPS now has reimbursable FTE to grow reimbursable activities into areas that are most relevant to the Naval Service and can now address a broader range of naval needs.

President Route provided a command climate comparative chart (2016 – 2017) and indicated good improvement in many areas. NPS is still working on diversity management and have been hiring more women and minorities. Faculty promotion boards are taking diversity into consideration while looking for unconscious biases. NPS continues to also embrace diversity with our search committees. Exit interviews for departing faculty have been implemented, but there are very few data points so far.

The NPS Foundation support and relationship has never been stronger. Foundation Strategic Plan Vision includes growth to a \$25M Foundation in five years. The Foundation is still considered a prohibited source. The issue is being worked by the OPNAV staff. Dr. Elisabeth Pate-Cornell asked if there was a document that spelled out the rules for prohibited sources that would apply to the NPS foundation. The board intends to address this issue in more depth at the next meeting in Monterey.

Provost Lerman discussed the guiding principles of the NPS Strategic Plan. NPS faculty are being consulted and are engaged. He also discussed the process of drafting the new strategic plan. This includes conducting stakeholders meetings to identify the challenges, identify NPS strengths, and evaluate any weaknesses. The process includes development of key strategic areas. Provost Lerman noted the initial list of these changed as he consulted with the faculty and staff.

Board members had a discussion on the core mission description and asked if it needed to be changed to include international and defense-related students.

Provost Lerman discussed the key strategic areas needed in our education and research programs to best respond to both opportunities and needs. He is discussing focus areas with entire NPS faculty/staff crossing disciplinary boundaries. After the meetings are held he will produce a draft that will be boiled down into an actual plan. Chairman David Frost stressed that NPS needs to clearly define goals as the first step in developing a strategy.

Dr. Elisabeth Pate-Cornell suggested adding Energy and Space to the listing of strategic areas. Mr. Frank DiGiovanni suggested adding three additional major areas: Data Analytics/Data Science; Symbiotic relationship between automation/robotics and human domain of defense (link between those two); and Absorptive capacity of the navy to take on new things. Chairman Frost commented that more emphasis is needed on technology education for senior leaders—navy is very dependent on space, for example, yet exposure to the technical realities of space is not easily available.

Provost Lerman discussed next steps after meetings on the strategic plan, together with possible actions. He indicated the plan will not only identify what NPS will do, but will identify what not to do.

Once the major areas are decided, NPS will identify potential resources, such as reorganizing priorities within the existing NPS budget; possible NPS Foundation support; garnering new reimbursable funding in areas that are aligned properly with strategic priorities; and the POM process.

Provost Lerman's timeline is to have a working draft by end of calendar year. President Route indicated he would like to present at next AERB in early December.

Provost Lerman provided a Faculty Update brief which focused on hiring, losses, and provided reasons why they left.

NPS is losing considerably more faculty than hiring. Reasons include recent hiring freeze, previous travel/conference restrictions; sequestration, previous furlough, reimbursable funding that expired, and realignment of activities (SMART program gone).

Provost Lerman highlighted reasons for leaving by tenure track and non-tenure track. Biggest reasons faculty stay are because they are committed to the mission and because of love of the students. He indicated that NPS will be facing four retirements in the Computer Science Department in 2018. The issue of faculty recruitment, retention, and morale has been a concern for some time. The subcommittee will review again at the April meeting in Monterey.

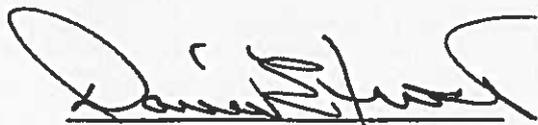
President Route announced that there are 80 – 100 hiring actions currently in process for positions throughout the school. He indicated that conference travel approval has been given back to the command and that faculty are relieved.

Dr. Katherine McGrady commented that is very good data and suggested NPS continue to monitor. Chairman Frost asked NPS to continue to accumulate data through the exit interview process.

The Board Chairman requests an Accreditation Update at the next meeting, April 25 – 26, 2018.

The DFO asked if there were any comments from the public. Being none, meeting was adjourned at 12:30pm.

Approved.

A handwritten signature in black ink, appearing to read "David E. Frost", written over a horizontal line.

David E. Frost
Vice Admiral, U.S. Navy (Retired)

27 October 2017

Board of Advisors - NWC Sub-Committee Meeting

RADM Harley, Naval War College President, and Provost Duncan met with the Board of Advisors (BOA) on Wednesday, October 18, 2017, at the CNA Headquarters in Arlington, Virginia. The meeting was called to order at 1:30pm by Dr. Tom Gibbons, the alternate Designated Federal Official, who welcomed the BOA members and then asked RADM Harley to give his presentation.

RADM Harley provided an update on the College including a follow-up on issues addressed at the April 7, 2017 NWC sub-committee meeting. He discussed the following: College accomplishments; a strategic plan update; a discussion on diversity and the way forward; and the College's way ahead and challenges. During his presentation, RADM Harley solicited feedback and issues for discussion from the BOA members.

Chairman Jehn commended RADM Harley and Provost Duncan for the progress that they had made on the outstanding issues from the previous April sub-committee meeting in Newport. He also asked about the new restructured Leadership and Ethics curriculum. RADM Harley explained that the new curriculum would be approximately 21 modules spread throughout the academic year.

Chairman Gunn asked about facilities at the College. RADM Harley highlighted that the Flagship Institution initiative had been approved and that the College's funding for sustainment would be increased from 60% to 80% of the previously allocated amount and that \$15M would be given to the three flagship institutions to share for renovation projects. This is the first time since 2012 that the flagship institutions received renovation funding. The key is that this initiative provides the College with a stabilized funding stream for facilities maintenance.

Chairman Jehn asked whether faculty attrition was a problem like he had seen at the Naval Postgraduate School. RADM Harley responded that the War College model is fairly stable and that attrition was not really a problem. [Subsequent to the meeting, NWC staff provided two charts showing faculty gains and losses and reasons for losses for the years 2013 – 2017. The charts show a net gain of 32 faculty for that period with no notable pattern to the reasons for the losses.] Provost Duncan explained that the College already had been moving the hiring process to align it with civilian universities. This move has enabled the College to compete for leading talent.

Chairman Jehn also asked about the tenure issue that had been discussed at the April meeting. Provost Duncan answered that the College had established a faculty advisory committee to look at tenure and how it could be implemented. The committee is currently reviewing options to present to College leadership. Provost Duncan reported that the College will provide a report on the tenure process at the next BOA meeting in April 2018. RADM Harley also discussed the results of the recent college-wide faculty promotion committee and the first faculty awards for excellence.

Dr. McGrady asked about progress made on the legislative proposals since the subcommittee meeting in April 2017.

RADM Harley explained that the College has made progress on the Time and Attendance initiative. The BOA discussion elevated the issue and helped to move it forward. The Copyright issue is on hold but RADM Harley expects movement on it next year. Another issue that has been put on hold is the awarding of joint credit to Navy military faculty members working at the College. Faculty members in other Services receive joint credit. However, Navy military faculty members do not receive joint credit. Changing this policy would encourage more Navy officers to volunteer for positions at the College and help to improve the quality of the military faculty.

RADM Harley also encouraged the BOA members to continue to advocate for each of the Navy's academic institutions. He explained that this raises awareness and provides support when the institutions request exceptions to established Navy policy.

The Naval War College Foundation is still considered a "prohibited source" and RADM Harley explained the implications of that. Mr. Menzen reported that the issue is being worked by the OPNAV Staff. This issue also impacts the Naval Postgraduate School.

RADM Harley also outlined the specific actions taken by College leadership to move diversity forward. Three of the funded chairs are now filled by women. The College is conducting a national search for a Women in National Security and Diplomatic Affairs Studies Chair. Additionally, hiring committees are now constituted with members including at least 25% diversity. The College is in the midst of the 3rd round of compensation reform specifically reviewing compensation for women. He also explained that he recently conducted both a Female "All Hands" call and a Male "All Hands" call to talk about diversity in the workplace. RADM Harley showed slides that depicted the College's current gender and ethnic diversity and explained that the College is continuing to improve faculty diversity.

Finally, Chairman Jehn commented that from his perspective the College has made a lot of progress over the past several months. He asked what would be needed to sustain that progress. RADM Harley said we must track our findings to ensure it comes into place, and we must explore issues that do not consider the unique attributes of a college (such as time and attendance, copyright, military faculty, and alumni associations).

RADM Harley responded that the bigger issue is how to enhance the value of our education provided at the College. What does it mean to get JPME and does everyone need to get a Master's Degree? Mr. DiGiovanni and Mr. Menzen reported that these issues would be discussed at the upcoming AERB. Chairman Gunn reported that he would attend the AERB and report back to the BOA members.

Having received no comments from the public, the ADFO adjourned the meeting at 4:30pm

Meeting Minutes Certified electronically by: CHRISTOPHER JEHN, BOARD CHAIRMAN on 11/6/2017

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 Cafe 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.

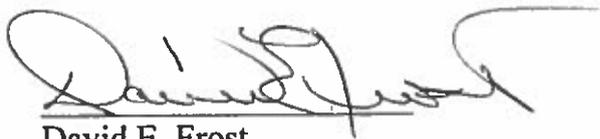
NPS Foundation: The NPS Foundation exists to provide support the NPS mission and can be an extraordinary resource. The Board understands and accepts the need for strict compliance with existing rules governing these arrangements. Nevertheless, the Board perceives that interpretation of the rules may 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:

A handwritten signature in black ink, appearing to read "David E. Frost", written over a horizontal line.

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

1 May 2017

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.

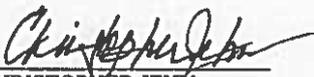
Chairman Jehn asked the board members to think about ways that they could be more active and that it would be discussed at the next BOA meeting in October.

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


CHRISTOPHER JEHN
11 JUNE 2017