W UNIVERSITY *of* WASHINGTON

Administrative Unit Name: *Graduate School*

Please complete this Word document and the accompanying Excel workbook (both of which were provided to your unit via email), and submit them to the Office of Planning & Budgeting (OPB) on or before **Thursday, February 1, 2018***. Please email your materials to* [Jason Campbell]*.*

Please note that the responses you provide in this Word document **will** be posted to the OPB website.

1. **What is the programmatic vitality of your unit?**

   Please provide both quantitative and qualitative information, leveraging published materials and [previous submissions] where possible. In your response to this question, you may wish to include responses to some or all of the following prompts. Please note that these are suggestions, not requirements.

   - What are the top 3-5 strategic goals of your unit? Could any of these goals increase expenditures or decrease revenue for other units?

   - What is your unit doing to effectively use resources in a way that benefits your unit and/or other units outside of our own?

   - Please describe your unit's emerging or changing personnel needs—prompted by changes that either your unit or the institution is facing—and what your unit will do to meet these needs *without* creating new FTE positions (e.g. redeploying FTE among other functional areas).

   Please respond in 500 words or fewer and please use bullets, rather than dense prose.

The Graduate School's programmatic vitality is strong right now. We have finally stabilized our ABB revenue streams after many years of inaccurate mapping and piecemeal corrections that required us to delay programmatic decision-making or to operate on temporary funds. As a result, we can focus on our strategic priorities as outlined in our [2015-2020 Strategic Plan].

We recently completed a [biennial report] assessing our strategic plan activities to date. Some of our priorities in 2017-2018 and beyond include:

Graduate Student Experience
- *Partnerships with GO-MAP & Fellowships for increased participation of diverse students in fellowship opportunities*
- *Additional use of technology such as webinars, video, etc. to connect with Bothell and Tacoma students*
- *Focusing on professional development*

Diversity and Inclusion
- *Database of alumni to engage in outreach, mentorship, etc.*
- *Revise Graduate School application form to focus on language welcoming of diverse identities and experiences*
- *Align activities with the UW Diversity Blueprint for 2018-2020*

Innovation and Excellence
- *Explore new approaches to humanities graduate education*
- *New certificate programs*
- *Improvements in technical infrastructure to keep pace with growing programs*

Advocacy and Advancement
- *Focus on interdisciplinary graduate education by identifying and establishing relationships with major donors interested in this area*

Administrative Infrastructure and Core Practices
- *New HR office, staff onboarding processes/experiences, professional development, electronic files, etc.*
- *Awards management system (more efficient and effective management and use of award funds)*

These priorities can be addressed within the confines of our current budget without negative impact to our academic partners.

2. *What is the fiscal vitality of your unit?*

To answer this question, please complete the following tabs in the Annual Review Excel workbook:

- On the **purple tabs, i.e. the "Fiscal Reports**," please:[1]
  - Review the prepopulated FY16 and FY17 fields on each fund source tab. The "Fiscal Vitality References and Tools" workbook (described below) provides information to help with this review.
  - Provide full revenue and expenditure plans for FY18, FY19, FY20, and FY21.
  - If there is an area of your unit that you wish to isolate in more detail (i.e. significant departmental self-sustaining, clinical, etc.), feel free to submit an additional fiscal (i.e. dark purple) tab.
  - Enter totals from each of the tabs into the Summary tab.
- On the "**Alternative Assumptions**" tab, please clearly identify and briefly explain any assumptions used in your calculations that are *different* from the Central Budget Assumptions on OPB's FY19 Annual Review Materials webpage. You are encouraged to refine and adjust the central assumptions, which are (in many cases) general and imperfect.
- On the "**Fiscal Vitality Qualitative Assessment**" tab of the Fiscal Vitality Report Excel workbook, please describe your unit's overall financial health. If your unit's fiscal data shows any negative (i.e. financially unhealthy) trends, please propose actions that your unit will take to improve its financial position.

The following resources are available to help you complete this work:

- **"Fiscal Vitality References & Tools" Workbook** (available on the FY19 Annual Review Materials webpage)**:**
  - FVRowByRowDefinitions Tab: row-by-row general and unit specific parameters used to compile data in the Fiscal Vitality Reports Summary and Fund Source tabs.
  - BgtTypeClassInfo Tab: list of budget types, classes, super classes, family, and community that are referenced in the FVRowByRowDefinitions tab.
  - FVExpendituresPivot and FVBudgetRevenue&CarryoverPivot Tabs: budget number detail supporting the Summary and Fund Source data in the purple tabs of the Annual Review Excel workbook.
- **FY18 GOF/DOF Budget Base**: By November 22, OPB will provide FY18 permanent and temporary budgeted values, as of October 2017 fiscal month end. You can build off these for your FY18 plan, but you will need to adjust for any budget revisions that have occurred (or will occur) since October 2017 fiscal month end.
- **BI Portal Reports** (click on the B.I.Portal link under "Products"): Each report has Overview, Technical Information, and Interpretation tabs that describe the report, what is included in the data, the data sources, and how to use the report. Note, data may differ between reports, but they can still be used as resources.
  - Biennium To Date Budget Balances
  - Remaining Balance by OrgCode and Category
  - Forecasting Template by Fiscal Year and OrgCode (please note, this tool will imperfectly forecast expenditures if units employ fund shifts or cost transfers)
- **Central Budget Assumptions** (mentioned above), which includes additional resources and guidelines.
- **Q&A Sessions on November 28 and 30.** See the FY19 Annual Review Materials webpage for details.

This space intentionally left blank.

---

[1] Please note that grants, contracts, and gifts are included in the report to provide the Provost with a more holistic view of a unit's financial activities. The amounts can be reconciled to FAS for biennium 2015-17. However, the grants & contracts amounts will differ from the Annual Report, prepared by the Office of Research. Also, grants, contracts and gifts amounts might differ from the BI Portal "Remaining Balance by OrgCode and Category Report." In both cases, and possibly with other BI Portal reports, this is due to differences in data elements, context, and reporting period parameters. While the information is not perfect, it is included to facilitate discussions about the unit's overall financial health.

3. *What are your school, college, or campus's tuition recommendations for 2018-19 (FY19)?*

Using the "Tuition Recommendations" tab of the Excel workbook, please provide tuition rate recommendations for 2018-19 (FY19). For each recommended tuition *increase*, please provide the information outlined below in 500 words or fewer (total). Here are a few notes and reminders:

- In last year's budget process, units submitted *preliminary* FY19 tuition recommendations, along with their FY18 tuition recommendations. You can review last year's submissions at this webpage, along with a summary of FY19 (and FY18) tuition recommendations. You may reuse responses, if they are still relevant.
- Rate recommendations for *fee-based* **programs** are handled through a separate process than tuition-based programs. Please see the Provost's letter to deans and chancellors for more information about that process.
- The legislature sets resident undergraduate (RUG) tuition rates. OPB anticipates a 2.0 percent RUG tuition increase in FY19.
- If your recommendation involves creating a **new tuition category**, please be sure to identify the original tuition category, the proposed category and suggested tuition rate for FY19. If you plan to move only a subset of your programs into a new category, please identify those programs by major name, pathway, level and type. Please contact Jed Bradley (jedbrad@uw.edu) for instructions on how to modify the "Tuition Recommendations" tab.

- **Please provide information to justify the increase. This can include information about enrollment plans, peer comparisons, and/or market analyses. Please include information about how the incremental revenue generated will be spent by the school/college/department.**

  The Graduate School supports the interests of the College of Arts and Sciences and the School of Medicine – the primary populations in Tier 1 tuition. These units support a 2% increase in FY19 and no further increase in FY20.

  In addition, the Graduate School's own tuition rates (supporting its interdisciplinary programs) follows Tier 1 and Tier 3 rates.

- **Please describe whether you expect any substantial enrollment changes (including a change in the resident/nonresident composition) or any changes in the waivers likely to be awarded to your unit's students.**

  No changes

- **Discuss the impact on student debt load.**

  With very little to no increase we anticipate no additional impact on student debt load.

- **Confirm (yes/no) that tuition recommendations were discussed with students.[2] Please discuss your recommendations with students, even if they are the same as the FY19 proposals you submitted last year.**

  The Graduate School has a small population of students, and tuition recommendations track exactly to Tier 1 and 3 rates. We work with those affiliated schools/colleges to ensure students are consulted.

---

[2] If the meeting schedules of faculty and student leadership groups present a challenge, please make accommodations to get approval within the necessary timeframe. If necessary, you may submit an update to OPB at a later date, after faculty and students have had an opportunity to review.

4. Please **update the carryover usage plan you submitted as part of last year's budget development process**. To do so, please complete the **"Updated Carryover Usage Plan" tab** of the Excel workbook. Please note:

   - Your worksheet is pre-populated with the carryover usage plan you submitted last year, new estimated carryover totals, and new reserve figures.[3]
   - Please provide updated numbers in the "Updated Plan" column.
   - If you have new line items, please add rows, as needed.
   - For any major updates, please provide a brief description in the "Explanation of Changes/Updates" column.

   If you would like to describe any items from the worksheet in greater detail, please use the space below. **For additional guidance**, please see the example posted at the [FY19 Annual Review Materials webpage](#).

   Please note:
   - If your unit has a **deficit** instead of a carryover, please confirm that you have an updated deficit mitigation plan in place with OPB. If you do not, please contact [Lisa McDonald](#).
   - If you believe the carryover for your unit is negative due to timing and if you anticipate a positive balance soon, please discuss this below and feel free to provide an updated carryover spending plan.
   - Since the Office of the President and the Attorney General's Office do not retain carryover funds, as a matter of University policy, those two offices are not expected to complete this question.

---

[3] As a reminder, carryover balances are calculated at the end of each biennium and unit balances are accurate as of month 25.