

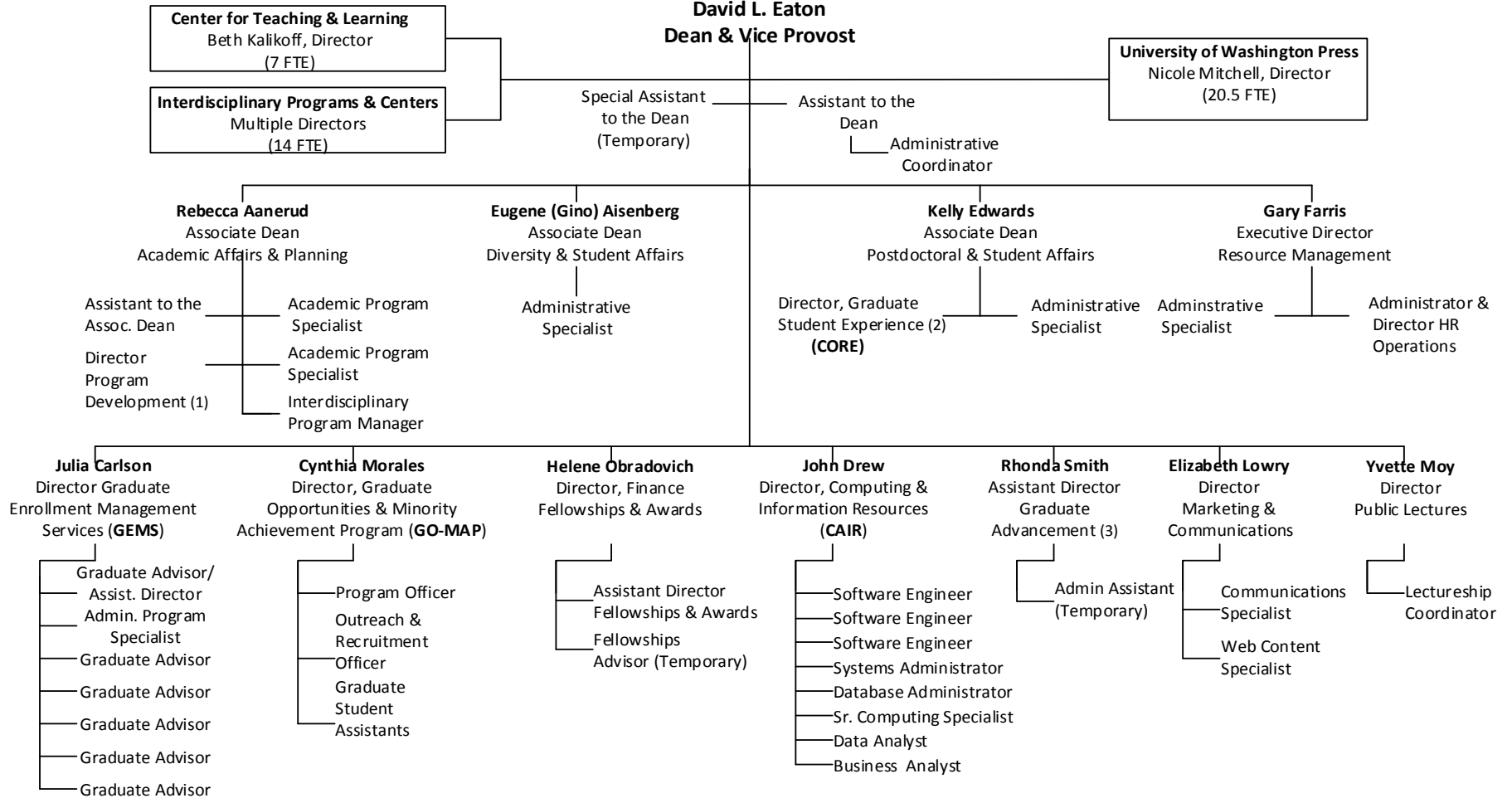
Administrative Unit Name: Graduate School

1. One goal of the budget development process for administrative units this year is to provide greater understanding of the connection between resource use and the primary, or core function by each part of the administrative structure. To begin, please paste a copy of your organization chart here. Please provide a chart that reflects the diversity of the organization and will serve as a sensible platform to complete the next question.

Because administrative units have a month and a half to complete this work, unit leadership should use their discretion in providing a level of detail that prompts a rich conversation, but is not overly burdensome.

See next page.

The Graduate School
David L. Eaton
 Dean & Vice Provost



1. Dual report to Associate Dean, Postdoctoral & Student Affairs
2. Dual report to Dean, Graduate School
3. Dual report to Advancement Director, Academic & Student Affairs

2. In order to provide a snapshot of current activities, the distribution of resources across various functions and how much these activities contribute to the University's mission, please provide information about the functional areas, or departments, of your organization.

At a level of granularity that reflects your organization's chart or if no chart exists, the functional areas of your organization, **please provide the following information for each functional area via the "FY15 Expenditures Worksheet" tab of the "Worksheets and Reference Materials – Administrative" Excel workbook**, available here: [https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets and Reference Materials Administrative.xlsx](https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets_and_Reference_Materials_Administrative.xlsx).

- a) A description *not to exceed 200 words* of how each functional area contributes to the University's research, service and teaching missions and what risks the University would face if this work were no longer funded¹; and,
 - b) Planned expenditures, by functional area, showing how your unit intends to spend *permanent ABB funds*, as well as (if applicable to your unit) funds derived from self-sustaining efforts, grants and contracts, and philanthropy, and other funds during FY15.
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Please describe any assumptions you are making in your response, such as those related to the availability of state or federal funding or projections based on the first complete month of expenditures in FY15, etc.

Please see the example "Admin Template - Planning & Budgeting Draft" posted at the FY16 Budget Development web page: <http://opb.washington.edu/content/fy16-budget-development>.

¹ Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development> for more information about the University's Sustainable Academic Business Plan goals and top institutional risks.

3. In less than 200 words, please describe how you envision adapting your unit and its organization to meet changing institutional needs in the coming fiscal year. Please integrate self-sustaining, grant & contract, and philanthropic sources of funding (if applicable to your unit) and describe how these sources are marshalled to subsidize your activities.
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Over the past year the Graduate School has invested in planning activities designed to craft a strategic plan to guide its role in supporting graduate education at the UW over the next five years. These planning efforts were informed by faculty, staff and student stakeholders across the three campuses, as well as meetings with UW Regents and other friends and constituents of the Graduate School and UW. Out of this process, the following five priority areas were identified as foundational for informing the planning and investments supporting our work during the next five years.

- Diversity
- Advocacy and Advancement
- Innovation and Excellence
- Graduate Student Experience
- Graduate School Culture & Practices

Focusing on these priorities will allow us to provide leadership on critical trends in graduate education and respond to needs and opportunities our stakeholders, collaborators and colleagues have identified as important. Our resources can be positioned within a strategic framework that is constructed around these five pillars and our Advancement and other fund raising activities will be enhanced through more targeted strategies.

4. In one paragraph or less, please assess the functional and financial health of your unit since FY09 (e.g. deficits, workforce capacity, declining grants or gifts).
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Working with staff in the Office of Planning and Budgeting over the past two years, the Graduate School has been able to resolve several issues surrounding tuition and fee revenues that had the effect of preventing growth in funding in both of these categories. Resolution of these funding issues combined with a generous award from the Provost's Reinvestment Fund starting in FY 2015, has put the Graduate School back on track to achieving long-term fiscal sustainability in support of its roles supporting graduate services, enhancing academic programs through funding support for students in nearly all UW graduate programs, and providing infrastructure and student support for a growing number of graduate interdisciplinary programs. This has accelerated reversal of a downward trend in funding for services and programs in the Graduate School that began in FY 2009 and continued into FY 2013. The Graduate School is grateful to Amy Floit and Carol Diem in OPB for their continuing work to refine our hybrid funding model under ABB which is allowing us to plan on a more informed basis, and to Provost Cauce for her vote of confidence in our future through her investment from the Provost's Reinvestment Fund.

5. In the event that neither state funds nor additional Provost Reinvestment is available for compensation increases, how might your unit cover salary increases for positions budgeted in GOF and DOF budgets? Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development>.
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Based on the projections provided in the Budget Development worksheet, the Graduate School would need to reduce its existing GOF/DOF permanent funding base by approximately \$390,000 annually in order to fund salary increases for faculty, staff and student positions currently budgeted with GOF and DOF funds. A modest increase in fee revenues, which are not accounted for in the projection model, might mitigate this number somewhat, but there really is no scenario under which increases of this magnitude could be covered other than through elimination of permanently-funded student and staff positions. The first cuts would likely eliminate a significant share of student positions that provide research assistantships to graduate programs under our [Top Scholar Award](#) program for recruitment and support of top graduate student prospects in many UW academic programs. Secondary cuts would eliminate a number of permanently-funded staff positions. Although a portion of the cuts could potentially be shifted to temporary reserve funds for a period of time, perhaps a year, staff layoffs and award reductions would inevitably result from these actions.

6. This summer, the UW has been the sole subject of a state-required audit of net operating fee (tuition) and local fund accounts. This audit has revealed the importance of monitoring expenditures against budgets on a biennial basis, ensuring that colleges, schools and administrative units have plans to spend fund balance in a reasonable and mission-driven manner and that these plans are acted upon. As such, we are piloting a new administrative carryover policy for the FY16 budget process, though we will employ draft carryover data in executing this pilot.

In completing this work, please do the following, using the **“Carryover Worksheet – Detail”** tab of the **“Worksheets and Reference Materials – Administrative” Excel workbook**, which is provided at the following web page:

https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets_and_Reference_Materials_Administrative.xlsx.

1. **Units may reserve up to 10 percent of their permanent ABB base (GOF and DOF ONLY).** Units may hold up to 10 percent of their permanent base as an emergency reserve. This reserve will be calculated annually and derived from the previous June/July’s ABB base budget information to units. These figures are provided on the last two tabs of the **“Worksheets and Reference Materials – Administrative” Excel workbook**.
 2. **Set-aside “central” commitments from the reserve.** For this purpose, central commitments are defined as those allocated or approved by President, Provost, and/or OPB on behalf of the Provost which have not been fully expended. A list of these commitments is available from OPB in the event your unit should need assistance. The list would come from OPB’s commitments database. If additional commitments are not reflected in OPB’s database please send the information to Amy Floit in OPB.
 3. **Explain any remaining temporary carryover balance by providing a list of intended use(s)/purpose(s) (i.e. a spending plan).** These would be differentiated according to intended use along the following lines:
 - a. Permanent expenditures funded with temporary funds;
 - b. Possible multi-year commitments; and,
 - c. Immediate, current year use.
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See separately submitted worksheets.

7. Though we believe that few, if any, state funds will be available and that any new Provost Funds may be dispatched for mitigating cuts or providing salary increases, please indicate what **Provost Reinvestment Funds are being requested**. Requests for funds should be identified by a unique title, accompanied by the amount requested, the year funding is requested, whether the request is for permanent or temporary funds, the number of years funding is needed in the case of a temporary request and a brief description, not to exceed 500 words. **Successful requests will make meaningful contributions to institutional strategic plans, drive student support and student service missions, and correlate directly to the long-term financial health of the University or its efforts to mitigate institutional risk.**²

Importantly, requests for new funding will be considered alongside carryover spending plans. Administrative units with growing temporary fund balances will be asked to explain why new funding is needed to support mission-critical program enhancements.

The Graduate School appreciates the investment of additional permanent resources in FY 2015 from the Provost's Reinvestment Fund and it is our collective view that this investment, together with supplemental resources generated through our ABB activities, will provide sufficient resources to sustain service and programmatic activities and fund necessary growth to support the interests and needs of the UW graduate community from the Graduate School through Fiscal Year 2016. Consequently, we are not requesting any new funding from the Provost's Reinvestment Fund for FY16. A capital request for funding to make improvements to Graduate School spaces on the Ground Floor of Communications will be submitted based on a design review currently in process.

*Should your unit wish to resubmit for consideration a proposal from FY15 budget development process **that did not receive funding**, please contact Sarah Hall (sahall@uw.edu) or Becka Johnson Poppe (jbecka@uw.edu) in OPB.*

² Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development> for more information about the University's Sustainable Academic Business Plan goals and top institutional risks.

FY15 Administrative Expenditures by Functional Area

At a level of granularity that reflects your organization’s chart or, if no chart exists, the functional areas of your organization, please provide the following information for each functional area using the template(s) below:

- a) A description not to exceed 200 words of how each functional area contributes to the University’s research, service and teaching missions and what risks the University would face if this work were no longer funded[1].
- b) Planned expenditures, by functional area, of how your unit intends to spend permanent ABB funds, as well as (if applicable to your unit) funds derived from self-sustaining efforts, grants and contracts, and philanthropy, and other funds during FY15.

Please describe any assumptions you are making in your response, such as those related to the availability of state or federal funding or projections based on the first complete month of expenditures in FY15, etc. Please see the example “Admin Template - Planning & Budgeting Draft,” which is provided at:

<http://opb.washington.edu/content/fy16-budget-development>

[1] Please refer to the webpage above for more information about the Sustainable Academic Business Plan goals and top institutional risks

Name of area: Graduate School Vice Provost & Dean's Office			
<i>The Vice Provost and Dean of the Graduate School provides overall leadership for graduate education on all three UW campuses and administrative leadership to all activities under the Graduate School's structure, ensuring that activities are consistent with the UW's mission and the Graduate School's support of that mission. In addition to the vice provost and dean and his direct support staff, this unit also includes staff providing business services and human resources support for all Graduate School units and programs.</i>			
Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	6.20	\$ 800,000	\$ 75,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	6.20	\$ 800,000	\$ 75,000

BT = Budget Type

Name of area: Graduate Enrollment Management Services (GEMS)			
<i>The Graduate School is responsible for overseeing policy, procedures and practice and managing the MyGradProgram automated systems supporting graduate admissions, enrollment and graduation on all three UW campuses for more than 100 graduate degree programs. GEMS supports this activity by working with prospective and current students, faculty and staff in all matters from how to apply to a UW graduate program to policies surrounding degree requirements and graduation. It plays an essential role in maintaining compliance on many matters including those pertaining to international student enrollment.</i>			
Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	7.00	\$ 520,000	\$ 20,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	7.00	\$ 520,000	\$ 20,000

Name of area: Graduate Opportunities & Minority Achievement Program (GO-MAP)

GO-MAP supports diversity efforts in graduate education in all graduate programs by serving the needs of current and prospective underrepresented students and providing leadership and guidance on departmental diversity programming. Through direct efforts and by working in partnership with departments, GO-MAP fosters an educational and social environment in which students can learn and develop through experiences rich in cultural, ethnic and racial diversity. GO-MAP's mission and activities focus on the following areas: outreach and recruitment; enhancing scholarship and research; building community and fostering student success; funding; and advocacy, consulting and advising.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	4.00	\$ 250,000	\$ 35,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	4.00	\$ 250,000	\$ 35,000

Name of area: Fellowships & Awards

The Fellowships & Awards Office administers graduate student funding to both departments and individual students throughout all three campuses and coordinates graduate student involvement in prestigious national award competitions. Programs include Top Scholar Awards, which provides over \$3m annually to departments to support recruitment of top students; the NSF Graduate Research Fellowship program, which provides \$8.5m annually to over 250 students in multiple schools and colleges; and targeted fellowship opportunities that support dissertation writing, international study and research. Funding comes from a mix of endowment, ABB and grants. (Direct student funding expenses listed in a separate section below)

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	3.00	\$ 230,000	
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	3.00	\$ 230,000	\$ -

Name of area: Computing and Information Resources (CAIR)

CAIR provides overall computing and software development/support to all Graduate School units. Foremost among its activities is development and maintenance of all aspects of MyGradProgram, which supports a wide array of graduate education activities to graduate degree granting units on all three campuses. This includes online admissions/application review; student progress; graduation; petitions; funding requests. CAIR also has a strategic role in data analysis and reporting, as well as coordinating graduate student needs in broader campus IT strategy (e.g., MyPlan).

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	9.50	\$ 950,000	\$ 115,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	9.50	\$ 950,000	\$ 115,000

Name of area: Public Lectures

The Graduate School annual public lecture series is funded through three different endowments: the Walker-Ames Fund; the Jessie and John Danz Fund; and the Mary Ann and John D. Mangels Fund. These endowments bring some of the most brilliant minds to campus to speak on topics of concern and interest to people throughout the broader Puget Sound region and the state. In doing so, they support the broader outreach mission of the University and the Graduate School.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	1.30	\$ 107,000	
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)	0.20	\$ 18,000	\$ 220,000
Total	1.50	\$ 125,000	\$ 220,000

Name of area: Marketing and Communications

Marketing and Communications supports the varying communication needs of all the Graduate School units listed in this document. That ranges from managing the overall website, to producing targeted communications to students, GPAs, GPCs, chairs and other administrators on campus regarding Graduate School resources and activities. This unit also supports the mission of the university and the Graduate School by ensuring that all activities are carried out in connection with the campus' communications and marketing priorities.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	2.75	\$ 260,000	\$ 7,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	2.75	\$ 260,000	\$ 7,000

Name of area: Academic Affairs and Planning

Academic Affairs and Planning manages the university's mandatory academic program review process; coordinates the Graduate Council, which as an elected body acts on behalf of the Graduate Faculty; and manages other activities relevant to graduate academic program issues throughout all three campuses, including development and approval of new degree programs, new Graduate School course offerings, etc.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	4.45	\$ 370,000	\$ 25,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	4.45	\$ 370,000	\$ 25,000

Name of area: Office of Student and Postdoctoral Affairs

OPA supports the professional and personal development of both current graduate students and post-docs throughout all three campuses by partnering with units such as the libraries, career center, counseling center, as well as individual faculty and staff to present workshops, networking opportunities and other activities that address the vast array of needs of graduate students and post-docs at all stages of their careers. In addition, this unit shares the workload with Diversity and Student Affairs in addressing the overall graduate student experience, serving as support for graduate students who have concerns and issues that might be difficult to address in other avenues.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	2.50	\$ 185,000	\$ 10,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	2.50	\$ 185,000	\$ 10,000

Name of area: Diversity and Student Affairs

Diversity and Student Affairs supports overall diversity efforts within the Graduate School and with associated departments and programs throughout all three campuses in relation to graduate education. It partners with GO-MAP in many of these activities. In addition, this unit shares the workload with Post-Doctoral and Student Affairs in addressing the overall graduate student experience, serving as support for graduate students who have concerns and issues that might be difficult to address in other avenues.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	1.00	\$ 80,000	
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	1.00	\$ 80,000	\$ -

Name of area: Interdisciplinary Programs

The Graduate School is the administrative home to 10 interdisciplinary degree programs that provide an academic experience that truly crosses disciplinary boundaries. The Graduate School receives net tuition revenue from enrollment in these programs and returns it directly to the programs to support their activities. Programs range from the brand-new Molecular Engineering PhD program, just started in Autumn 2014, to the long-standing fee-based Museology master's program. (notes: the data below in ABB funds includes 10.05 FTE funded graduate student positions)

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	17.05	\$ 1,078,000	\$ 200,000
Self-Sustaining Funds (BT 10, 11)	7.00	\$ 800,000	\$ 230,000
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	24.05	\$ 1,878,000	\$ 430,000

Name of area: Center for Teaching and Learning (CTL)

CTL is a partnership of the Graduate School, Undergraduate Academic Affairs and the Libraries but administratively housed within the Graduate School. It supports the university's teaching mission through consultation with graduate student instructors/TAs, faculty members, staff educators and others on matters pertaining to effective instruction. It also consults with departments, schools, colleges and programs on questions related to teaching and learning that go beyond the boundaries of individual courses.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	5.50	\$ 400,000	\$ 30,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	5.50	\$ 400,000	\$ 30,000

Name of area: University of Washington Press

UW Press serves the broader outreach mission of the University by publishing titles in a wide variety of academic fields that would otherwise not have access to the public market. It focuses its publication efforts in areas of importance to the Pacific Northwest region, as well as broader academic areas of history, anthropology, art and culture. It operates primarily on a self-sustaining basis although it requires a substantial subsidy from private donors and state sources to support the areas in which it publishes.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	2.00	\$ 312,000	
Self-Sustaining Funds (BT 10, 11)	18.50	\$ 1,279,000	\$ 1,800,000
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 500,000
Total	20.50	\$ 1,591,000	\$ 2,300,000

Name of area: Graduate Student Funding and Awards

The Graduate School provides funding to graduate students throughout all three campuses via a wide array of programs. Thus, these funds go directly to departments and their students and do not fund Graduate School staff or operations. This includes funding to recruit top students (Top Scholar Awards, the Graduate Opportunity Program), conference travel funding; external funding (e.g., federal government; local partners); and targeted funding from our endowments and current use funds.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)		\$ 1,200,000	\$ 600,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)		\$ 11,000,000	
Philanthropy, or Gifts & Discretionary (BT 06)		\$ 2,500,000	
Total	0.00	\$ 14,700,000	\$ 600,000

Name of area: Advancement

Graduate School Advancement efforts support not only the Graduate School's endowments and gift funds but also efforts by individual departments, schools and colleges across all three campuses to raise support for graduate education. This effort has a dual reporting structure to central advancement through the Senior Director for Advancement in Academic and Student Affairs. Staffing in support of the Graduate School is provided mainly by central advancement funds; the Graduate School funds some staff support.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	0.50	\$ 28,000	
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	0.50	\$ 28,000	\$ -

Administrative Unit Carryover Usage Plan SUMMARY

This table will self-populate via the "Carryover Worksheet - Detail" tab

Administrative Unit Name:	Graduate School
Estimate of Carryover Balance at "Close" of FY14:	1,150,000

Usage Category	Amount	%
Unit's Reserve	0	0.00%
Central Commitments	0	0.00%
Permanent Costs & Other Projects	1,710,000	100.00%
Total	1,710,000	100.00%

*Note: Unit is choosing not to have a 10% reserve. Instead, they plan to use the majority (\$1.1M) of their carryover during FY15; any additional carryover accumulation will be used during FY16 and FY17.