UNIVERSITY *of* WASHINGTON

Academic Unit Name: Graduate School

*Please complete this Word document and the accompanying Excel workbook, and submit them to the Office of Planning & Budgeting on or before **Friday, November 20**. Please email your materials to Becka Johnson Poppe.*

In addition to the questions in this document, academic units will be asked to provide information about anticipated growth or contraction over the next five years. These materials, however, will not be distributed to academic units until October 30 and will not be due until Wednesday, December 23. In order to ensure some consistency and common information across responses, academic units will be given templates with projections of student growth. Units will be asked to review these growth trajectories and provide detailed notes about any planned deviation(s).

1. Since the Washington state legislature reduced resident undergraduate tuition rates for the 2015-16 and 2016-17 academic years, we are giving academic units an opportunity to revisit and, if needed, revise tuition rate recommendations for 2016-17 (FY17).

    Please review the FY17 tuition rate(s) previously recommended by your unit – copies are available at the FY16 Unit Budget Submissions webpage – and please **either confirm your previous recommendation or provide a new recommendation with accompanying justification** for the change.

    If you have a new recommendation, please use the "Tuition Rec Worksheet" tab of the "FY17 Academic Budget Worksheets & References" Excel workbook to identify your new proposal.

    As always, **if your recommendation involves creating a new tuition category,** please be sure to identify the original tuition category, the proposed category and a suggested tuition rate for FY17. 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.

The Graduate School's interdisciplinary degree programs reside primarily in Tier 1 tuition. The exception is the MolE PhD program, which aligns with Tier 3 tuition rates. We continue to support last year's recommendation that Tier 1 rates hold steady with no increase for either resident or non-resident graduate students. This recommendation was supported for both FY16 and FY17 by the Graduate Tuition Policy committee convened by Graduate School Dean David Eaton in fall 2014. Tier 2 and Tier 3 tuition rate recommendations should be addressed by units in those categories.

The Graduate Tuition Policy committee will continue to meet this year to discuss longer-term approaches to tuition rate setting in the broader categories of Tiers 1, 2 and 3.

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2. Though the Provost will soon be announcing requirements for FY17 merit increases, **please tell us how your unit plans to deploy funds for merit increases and unit adjustments in FY17**. A salary and tuition revenue model WILL BE available on the FY17 budget development website by October 26; this model is designed to give you a sense of the magnitude of the support that will be required at various salary percentage increases.

FY16 salary increases at 3% for the Graduate School required approximately $115,000 for GOF/DOF-funded faculty and professional staff. A 4% increase for FY17 would require approximately $156,000 in additional funds for that same group. Our classified staff numbers are much smaller. Most importantly, however, the Graduate School has $2,600,000 in GOF-funded graduate student positions (ASE contract covered). These positions will require an additional 3-6% increase pending the outcome of the salary survey required under the current contract ($78,000 - $156,000 in increases). These graduate student positions do not support administrative operations of the Graduate School directly but instead are awarded to academic departments throughout campus, primarily through our Top Scholar and Graduate Opportunity Program awards. These research assistant positions support recruitment and retention of top graduate student prospects in graduate degree programs in all UW schools and colleges.

The Graduate School requires central funding to support salary increases. In lieu of central funding, we would need to reduce our existing GOF/DOF permanent funding base in order to fund any portion of salary increases for faculty, staff and student positions currently budgeted with our GOF and DOF funds. We simply do not have the flexibility in either tuition revenue or fee revenue to cover salary increases, particularly considering that the vast majority of required salary increases would come to the graduate student positions we provide to other academic units throughout campus. Thus, if we were required to fund any portion of salary increases, we'd be looking at cutting graduate student positions that provide vital recruitment and retention support directly to graduate degree programs in other schools and colleges. Secondary cuts could 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.

3. As you may recall, last summer, the UW was the sole subject of a state-required audit of net operating fee (tuition) and local fund accounts. This audit reinforced the importance of monitoring expenditures against budgets on a biennial basis, ensuring that academic 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 ask that academic units **provide itemized obligations against fund balance** (as estimated by OPB for the close of FY15, going into FY16) using the **"Carryover Worksheet" tab** of the "FY17 Academic Budget Worksheets & References" Excel workbook. Please be as specific as possible.

   - In the space below, **please indicate what your unit will do to contribute to an overall decline in the UW's fund balance**. If your unit has no fund balance, or a negative balance, you need not answer this question.
   - If you would like to describe any items from the worksheet in greater detail, please use the space below.

The Graduate School was asked to respond to the carryover question as an administrative unit rather than an academic unit to maintain consistency with the FY16 approach. We are in a unique position regarding carryover funding for several reasons. First, a large portion of our annual budget – approximately 22% - comes from fee revenue generated from the admission application filed by prospective graduate students. Our applicant numbers continue to be at all-time highs, but because this is a source of revenue over which we have absolutely no control, we must maintain an additional reserve in order to cope with the very likely decrease in applicant numbers and resulting drop in revenue at any given point in the future. Second, we serve graduate programs throughout campus and make funding commitments that are often several years into the future. For example, our Top Scholar Awards program provides a variety of recruitment funding. While some of this comes from gift/endowment funding, a portion of this comes in the form of research assistant positions, and we make these commitments on a biennial basis so that departments can plan their recruitment effectively. But it leaves us exposed if in any year our budget drops due to decreases in ABB revenue or other factors. For these and several other reasons, we believe we need to maintain a reserve that goes beyond just the 10% that other units might need to cover unexpected demands.

4. The Provost will be making the decision to deploy *permanent* Provost Reinvestment Funds **primarily, if not exclusively, to cover for compensation increases. The only possible exceptions for permanent funds will be for critical compliance issues.** However, requests for temporary funds will only be entertained in areas of high institutional priority and in consultation with faculty, staff and students.

   If your unit has a Provost Reinvestment Fund request that fits within these strict parameters, please describe it using the framework below.

Title	Funding	FY	P/T	Years Needed (If Temp)
Race & Equity Initiative	*$55,000*	*FY17*	*Temp*	*1*

The Graduate School is a participant this year in the Race and Equity Initiative (REI). For FY16, we received $55,000 to support public lecture activities/speakers on a variety of topics aligned with the goals of the REI. These activities just started, have proven very successful, and we would like the opportunity to extend them for a second year.

5. **Please confirm that faculty councils – and, to whatever extent may be possible, student leaders – within your unit/campus have been consulted** as part of this budget planning exercise and given the opportunity to provide input. To confirm this, please do **one** of the following:
   - Briefly describe who was consulted and when, and provide a point of contact for your faculty council.
     OR
   - Include a signed letter from your faculty council chair (a scanned PDF is fine) when you submit the rest of your materials.

The Graduate School does not have faculty appointments of its own and therefore doesn't have a faculty council overseeing its activities. We do consult regularly with GPSS as the representative group engaged with graduate students, and this proposal will be discussed with their leadership.

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Administrative Unit Name: **Graduate School**

*Please complete this Word document and the accompanying [Excel workbook](#), and submit them to the Office of Planning & Budgeting on or before **Friday, November 20**. Please email your materials to [Becka Johnson Poppe](#).*

1. In spring 2015, Provost Baldasty initiated the Transforming Administration Program (TAP), which encompasses all central administrative units and focuses on fulfilling the need for greater collaboration, clear priorities, increased accountabilities, and elimination of unnecessary bureaucracy and redundancies.

    Within a **500 word bulleted list**, please answer both of the following questions**:**

    *   **List 3-5 things your unit is doing to align with the [TAP principles for central administrative units](#) and to create and enhance a culture of service. Please be specific.**

    *   In what ways (if any) could your unit **leverage activities of other central administrative units to increase efficiency within your unit and/or to streamline activities across the UW?** Are there areas of overlap between your unit and another that **prompt closer collaboration?**

As a central service unit, the Graduate School regularly seeks out opportunities to enhance the services it provides to prospective and current students, and departmental staff and faculty. Following are several activities in which we're currently engaged:

*   ***Online enrollment confirmation payments (Engage People; Realize Efficiency/Effectiveness; Deliver Value)***
    o   *Collaborative effort leveraging needs/input/skills of the Graduate School, PCE, Registrar's Office, UW-IT.*
    o   *Enables admitted graduate and undergraduate students to pay their enrollment confirmation deposits and fees online via a credit card.*
    o   *Graduate degree programs will be able to more accurately AND quickly confirm their enrollment numbers and plan for enrollment accordingly.*
    o   *Streamlines payment policies and practices that currently vary across the UW.*
    o   *Solves problem with international students unable to do checks or web checks from abroad.*
    o   *Allows full automation of payment and posting processes*
*   ***Awards Management System (AMS) (Realize Efficiency/Effectiveness; Deliver Value)***
    o   *Creating an online system to manage applications for various Graduate School awards.*
    o   *Streamline data management, reporting and financial management within the Graduate School*
    o   *Replaces manual systems and streamlines/standardizes processes*
    o   *The AMS will make submission of applications for and reporting of awards easier for individual students and academic departments through one portal.*
*   ***Degree Audit Records System (DARS) Encoding Project for Graduate Programs (Realize Efficiency/Effectiveness; Deliver Value)***
    o   *Multi-year partnership with Graduate and Academic Records Office and gradate academic programs to encode all 700+ graduate degree programs into DARS to support degree progress tracking for graduate students and academic advisors in MyPlan.*
    o   *Provides graduate students access to academic requirements of their programs and ability to assess progress and plan coursework in accordance with requirements.*

- o *Provides academic advisors enhanced ability to track and monitor students' progress towards their degrees.*
  - o *Provides Graduate School the means to automate final audits of graduation requirements before awarding degrees.*
  - o *Provides real time database of all graduate degrees and requirements for completion of those degrees.*
- *Integration of MyGradProgram data into New MyUW (Engage People; Deliver Value)*
  - o *Customizes links to be specific to graduate students.*
  - o *Improves person registry information necessary for properly customizing services based on student status (e.g., graduate, professional, etc.)*
  - o *Supports identification of any known advisor or committee assignments (e.g., doctoral and master's committees).*
  - o *Provides status of Graduate School requests for academic leave, petitions, degrees, etc.*
  - o *Allows targeted messaging related to deadlines or actions relating to requests and other services.*
- *Buildout of graduate data in EDW and integration into Tableau formatting for individual reporting access by UW faculty, staff and students (Realize Efficiency/Effectiveness; Deliver Value)*
  - o *Creates university-wide access to graduate student / program data that was previously unavailable or too difficult to access.*
  - o *Provides dynamic modeling of data and visual graphical formatting for reporting and decision making university-wide.*
  - o *Allows analytical staff to focus on larger data needs instead of completing one-off reports for multiple units, projects, individuals, etc.*
  - o *Allows leadership and units to access important metrics and milestone data important for assessment, planning and management.*

Administrative Unit Carryover Usage Plan DETAIL

Please use this template to update the carryover usage plan you submitted last year. If you need a copy of your plan from last year, please email Amy Floit (afloit@uw.edu) or Becka Johnson Poppe (jbecka@uw.edu). New reserve figures are provided in the "Reserve Figures" tab; new carryover totals are provided in the "Carryover into FY16" tab.

Administrative Unit Name:	Graduate School			
Carryover Balance going into FY16:	**$ 1,816,601**			

Usage Categories and Descriptions	Committed Year(s)	# of Years	Annual $ Amount	Totals
Unit's Reserve (10%)				
	FY17	1	$ 855,404	$ 855,404
			Total Unit's Reserve:	**$ 855,404**

Central Commitments	e.g. FY17, FY18	e.g. 2		
Additional 10% reserve for fee revenue changes	FY17	*1*	$ 855,404	$ 792,197
MolE PhD program start-up commitment	FY17	1	$ 169,000	$ 169,000
3. (description)			$ -	$ -
4. (description)			$ -	$ -
5. (description)			$ -	$ -
Add more lines as needed			$ -	$ -
			Total Central Commitments:	**$ 961,197**

"Spending Plan" Permanent Costs & Other Projects	e.g. FY17, FY18	e.g. 2		
A. Permanent expenditures funded with temporary funds				
1. (description)			$ -	$ -
2. (description)			$ -	$ -
B. Possible multi-year commitments				
2. (description)			$ -	$ -
C. Immediate, current year use				
1. (description)			$ -	$ -
2. (description)			$ -	$ -
Add more lines as needed				
			Total Permanent Costs & Other Projects:	**$ -**

			TOTAL CARRYOVER USAGE PLAN	$ 1,816,601