UNIVERSITY *of* WASHINGTON

Academic Unit Name: <u>**School of Dentistry**</u>

*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 School of Dentistry previously recommended a 10% increase for resident and non-resident predoctoral tuition. A 4% increase for graduate resident and non-resident tuition was recommended. After talking with student leaders, our Executive Committee and our Faculty Council we propose the following revisions for FY17:

Predoctoral tuition increase:
 instate 8%
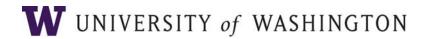 out of state 10%

Graduate tuition increase:
 instate 4%
 out of state 8% **except** for the Oral Biology Graduate Program where the increase will be 4%
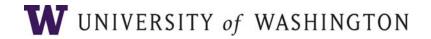
It should be noted that our tuition is now among the highest of public institutions and we feel we cannot maintain the significant increases in future years.

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.

The School will use the tuition increase to provide support for the salary adjustments for faculty and staff.   Unit adjustments will be made if needed and if funding is available. The provost's contribution to salary increases is greatly appreciated.

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.

Please see attached Excel spreadsheet reviewing our Carryover Usage Plan.
We anticipate we will not have a significant carryover in future years. If so, it will be used for compliance/security support.

GOF: $2,286,002
DOF: $1,514,634

TOTAL: $3,800,636

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)
Splunk Deployment	**$50,000**	**FY17**	**Temp**	**1 year**

Spend Category: Security and Compliance

Background: Per HIPAA Security Standards 45 C.F.R. § 164.312(b) audits logs for system containing EPHI audit logs need to be enabled and reviewed on a regular frequency. Additionally, UW Medicine Computing Device and System Security Policy SP-02, Event Logging section states that "All system administrators are responsible for maintaining and reviewing event logs." Failure to review audit logs could result in an incident or event occurring and not being detected. Currently, the SOD IT team is manually reviewing server logs each day. This can take several hours to complete across the 20+ clinical servers and devices we have; it is important but the process could be made more effective.

The UW SODIT team would like to deploy Splunk's Operational Intelligence solution to help secure Patient Health Information and to better ensure regulatory compliance. Funding from the Provost's Office would help seed this deployment and accelerate our time to better IT security operations. We could automate log monitoring based on rules and pattern-matching. Our IT team is small, if we could deploy Splunk, it would make us much more effective. Funds would be used to offset some of the Splunk first year licensing costs and also engage the services of a vendor to deploy the solution and train IT staff in its use.
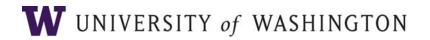
Title	Funding	FY	P/T	Years Needed (If Temp)
Compliance Tracking	**$22,000**	**FY17**	**Temp**	**1 year**

Spend Category: Security and Compliance

Spend: $7,000 on Annual Subscription/Support + $15,000 for student help for initial data entry

The SOD has identified over 25 different trainings and accreditations across more than 20 different faculty, staff and student types that we need to track for compliance reasons. In all, there are more than 1400 users across this matrix and each individual's requirements are being tracked manually in a large spreadsheet. The spreadsheet is difficult to maintain over time for a team of department administrators, especially where control is decentralized. Beyond that, we would like to do a more consistent job of training delivery, event management and reporting compliance risks back to school leadership.

The UWSOD has just deployed a cloud-based Learning Management System (https://www.swankhealth.com/default.aspx) through which we plan to deliver and track faculty, staff and student

accreditation and training compliance. Funding support would help offset the cost of the initial annual license fee ($7,000) and also engage the services of a student manager ($15,000) who would work alongside SOD's Director of Compliance to get users on-boarded to the platform and to build out some of the initial training materials.

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 <u>one</u> 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 Dean met with the student leadership (five students) to review the tuition increases. 11/18/2015

The Dean met with the Executive Committee and three members of the faculty council to review tuition increases and give an overview of our request. The additional three members of the faculty council were contacted by phone. 11/18/2015

Point of contact for our faculty council: Donald Chi, Associate Professor. Phone: 206-685-4258
E-mail: dchi@uw.edu

While there was support for our request, there was concern at the continuing steep increases in tuition.

Academic Unit Carryover Usage Plan

Unit name: **School of Dentistry**

Carryover going into FY16: **$ 3,800,636**

Please feel free to add rows, as needed.
PLEASE NOTE: You are **not** expected or required to have carryover line items for each Expense Category.

Expense Category	Description	Amount
General Reserves/Uncertainty		
	unexpected expenses/opportunities for 8 individual departments	$ 1,000,000
	opportunities for School sponsored by the Dean	$ 665,561
Education Initiatives		
	Student Learning Rotations (reqquired by accreditation)	$ 162,000
	Accreditation	$ 20,000
Equipment		
	Computer upgrades (staff, faculty and students)	$ 60,000
		$ -
Facility/Space Investments		
	Additional renovations to accommodate clerkship activity	$ 200,000
		$ -
Faculty Start-Up Expenses		
(Please indicate # of FTE)		$ -
		$ -
Professional Development		
	ADEA/CODA dues	$ 32,300
	Professional meetings/conferences	$ 20,000
Recruitment		
(Please note discipline and # FTE)	Recruitment related expenses for 6.5 fte, including relocation for 3	$ 50,000
	6.6 positions: 1 FTE Oral & Maxillofacial Surgery; 2 FTE Oral Health Sciences;	
	1.6 FTE Oral Medicine(Radiology); 1 FTE Periodontics; 1 FTE Restorative Dentistry	$ -
	3 clincal, 1 research, 1 tenire track, 1.6 WOT	$ -
Research Initiatives		
		$ -
		$ -
Temporary Salaries		
(Including student employees)	IT computer tech (2 FTE)	$ 145,667
	Business Analyst (1 FTE)	$ 111,000
	Compliance Analyst (.5 FTE)	$ 50,000
	2 FTE staff - Office of Research	$ 207,300
	2 FTE staff - Office of Academic Affairs	$ 135,890
	1.6 FTE faculty to teach in new curriculum (small group leaders)	$ 258,500
Other		
(Please be specific)		$ -
	HR/Payroll Annual Fee	$ 146,418
	axiUm Upgrade	$ 328,000
	Oracle Upgrade	$ 40,000
	Digital Imaging	$ 118,000
	Student Database	$ 50,000
		$ -
TOTAL		**$ 3,800,636**