

WILLIAM & MARY 2020-2026 SIX-YEAR PLAN: NARRATIVE

OCTOBER 1, 2019

Section A. Institutional Mission, Vision, Goals, Strategies, and Alignment to State Goals

In her first year as the 28th president of William & Mary (W&M), Dr. Katherine A. Rowe embarked on “Thinking Forward” – a community-wide listening tour engaging students, faculty, staff, and alumni. President Rowe asked the W&M community to reflect on the future in three domains: 1) The Future of Knowledge, 2) The Future of Work, and 3) The Future of Service. (Detailed feedback from those sessions can be found at <https://www.wm.edu/about/administration/president/reflections/moving-forward-together.php>).

With the information gleaned from “Thinking Forward,” W&M launched a strategic planning process in August 2019. The new strategic plan will be targeted in scope. Rather than a document that addresses all aspects of the university, the plan will focus on transformative change that will be essential for W&M to thrive in an increasingly complex and rapidly changing environment. The yearlong process will focus on:

- 1) Revisiting, reaffirming, or revising the university’s mission and vision statements (<https://www.wm.edu/about/administration/provost/about/mission/> <https://www.wm.edu/about/administration/strategicplanning/vision/>) and adopting a values statement;
- 2) Conducting an environmental scan to develop a shared understanding of the university’s challenges and opportunities; and
- 3) Developing strategies to address the most significant opportunities for the university in the coming decade.

Among the goals for developing the upcoming strategic plan, W&M will seek to:

- Advance a whole-institution mindset that leverages its distinctive assets as a liberal arts institution and its track record of excellence to address key business and social issues with creativity,
- Embrace and expand on its history of innovation by encouraging entrepreneurship and disciplined experimentation, and
- Position the university for long-term financial sustainability that is consistent with both its academic mission and its commitment to access and affordability.

The plan will build on the success of W&M’s current strategic plan in a manner that honors its core values and maintains its mission as a leading public university.

Recent accomplishments that have supported key statewide goals contained in the Virginia Plan and the Virginia Higher Education Opportunity Act of 2011 (TJ21) include:

Providing Low- and Middle-Income Virginians with Affordable Access

- On a net-price basis, W&M is the fourth most affordable public, four-year option in the Commonwealth for Virginia families at all income levels. (See Section E for additional detail.)
- In collaboration with Richard Bland College (RBC), W&M has created the Promise Scholars program, which provides funding and targeted resources to a cohort of RBC honors students who are Pell-eligible and are committed to transferring to W&M to complete their bachelors' degrees. (See Section I for additional detail.)

Strengthening Academic Programs to Ensure Graduates are Prepared for Work and Life

- With the completion of the 2018-19 academic year, W&M has fully implemented its core general education requirements for all undergraduate students. The College Curriculum (COLL) integrates the study of substantive knowledge with inquiry-based, experiential learning that requires students to apply new knowledge actively through individual research projects conducted under faculty supervision. (See Section I for additional detail.)
- W&M has strengthened its curriculum while maintaining among the highest graduation rates in the Commonwealth compared to other Virginia public, four-year institutions. Based on recent SCHEV data, 85% of first-time W&M freshmen graduate within four-years and over 90% graduate within six years compared to an average four-year graduation rate of 55% and six-year graduation rate of 72% across Virginia public institutions. <http://research.schev.edu//gradrates/cohortgradratesB.asp>
- Similarly, W&M's retention rate for first time, full-time students is at 95%, second only to the University of Virginia. http://research.schev.edu//retention/ftf_retention.asp.
- A recent survey of 2018 W&M graduates confirms that the work its students are doing during their time at W&M is translating effectively into the workforce.
 - Capturing data on 72% of its 2018 graduates, over 75% of those receiving a bachelor's degree between August 2017 and May 2018 are working across 49 different industries – with the military/government and nonprofit sectors reported most often.
 - Another 17% are pursuing graduate school with over half choosing to pursue an advanced degree within the Commonwealth or DC metro area.
 - Only 8% of the respondents are either still seeking employment or focused on other opportunities.

Engaging Adult Learners and Veterans

- W&M has also had significant success in engaging adult learners and veterans through a targeted expansion of online programs including:
 - Master of Business Administration,
 - Master of Science in Business Analytics,
 - Certificate in Military and Veterans Health, Policy and Advocacy offered through the School of Law – its first online program, and

- A new master's in counseling for veterans and their families offered through the School of Education. (See additional detail under Sections D and I below.)

Enhancing Economic Prosperity through Change and Innovation

- W&M is establishing an entrepreneurship hub central to the campus by renovating more than 4,400 square feet at Tribe Square, a building owned by the William & Mary Real Estate Foundation. This new space will more than triple the size of the space currently devoted to an entrepreneurship center for students and faculty. Approximately \$500,000 has been committed to the renovation, mostly in private funds from an anonymous donor. This prominent location and expanded programming will draw a larger and broader cross-section of the student body and make entrepreneurial thinking an even greater focus and strength for W&M.
- Additionally, James City County, the City of Williamsburg, and York County will be entering into a management agreement with W&M to pay the university to operate Launchpad, an incubator for local startups in a space adjacent to the new entrepreneurship hub at Tribe Square. This co-location of the regional business incubator and the university's entrepreneurship hub will create new opportunities for faculty and students to work directly with local entrepreneurs and to spur economic growth in the region. Shared space will be available for use by tenants of the Launchpad, and joint programming for resident entrepreneurs and student entrepreneurs will enhance the experiences of both.
- In the 2018-2019 academic year, W&M convened regular meetings of the entrepreneurship directors from W&M, VCU, and ODU in order to identify new ways to develop a more robust entrepreneurship ecosystem spanning the I-64 corridor from Richmond to Virginia Beach. At the midpoint between two metropolitan service areas, W&M intends to work with other universities in the region to strategically expand, coordinate, and connect the opportunities offered by each in the domain of entrepreneurship. A regional showcase is being planned for Spring 2020 at W&M, in partnership with the entrepreneurship centers of VCU and ODU, to feature the best entrepreneurial ideas identified through pitch competitions and other events on all three campuses throughout the fall.
- Already the host for meetings of the Richmond-Hampton Roads Collaborative, W&M will play an even bigger role in regional collaboration for entrepreneurship over the next six years. (See a recent article on the Collaborative and W&M's role: https://pilotonline.com/inside-business/news/economic-development/article_b92028ac-7cfd-11e9-b9d9-c73054c5d414.html.)

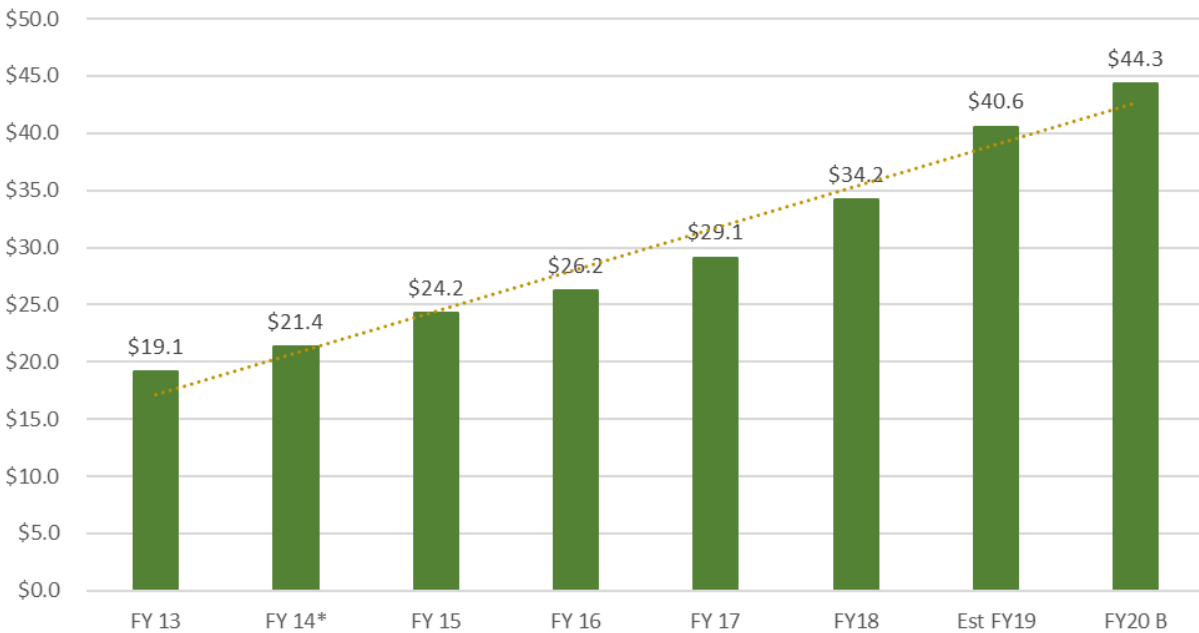
Section B. Tuition and Fees Predictability Plans

Since 2013, tuition predictability has been a key component of the William & Mary Promise (the Promise). Approved by the Board of Visitors on April 19, 2013, the Promise had multiple goals, including improving predictability in tuition through a four-year tuition guarantee for Virginia students and increasing affordability by increasing the university's investment in need-based financial aid and reducing assumptions about student use of loans.

Intended to support both low- and middle-income families, the definition of "middle income" used in the Promise encompasses more than 70% of Virginia households and reflects the recommendation of the Higher Education Advisory Committee established under TJ21.

The positive impact for students has been substantial. Since the Promise was adopted in 2013, W&M has been among the most affordable institutions in the Commonwealth on a “net price” basis, particularly for students from families with incomes below \$110,000. The institution’s commitment to need-based undergraduate financial aid has been a cornerstone of W&M’s financial plan over the last six years. Since FY13, the university’s undergraduate financial aid budget has increased over \$25 million from \$19.1 million in FY13 to \$44.3 million in FY20 as shown below, with virtually all of the increase going to in-state students. Approximately \$16 million of the new funding has come from incremental tuition revenue with the remainder coming primarily from private philanthropy.

Undergraduate Financial Aid Has More than Doubled Since Inception of the Promise (\$ in Millions)



* W&M first implemented the Promise in FY14.

Recognizing the importance of ensuring that W&M remains an affordable option for low- and middle-income students, the university has spent the last 24 months modeling the potential impact of the university’s current tuition model on student cost over time. With a four-year tuition guarantee under the Promise, the annual increase for the incoming class has ranged from 4.4% to 20.2% between FY14 and FY19, averaging 12.5% during that time period. Based on W&M’s current market, the university believes the increase going forward will need to average 6.5% for each incoming class, which is equivalent to roughly an annual 1.6% over a four-year time period. At 6.5%, however, W&M’s tuition would increase by over 45% in seven years: from \$17,434 for the incoming class in FY20 to \$25,439 for the incoming class in FY26. We believe this approach is untenable both for Virginia families and for the institution.

Seeking to reduce such increases while maintaining predictability, W&M has explored two options that are reflected in its Tuition and Fee Predictability Plan.

1. **Modified Tuition Guarantee.** As an alternative to the Promise and in the absence of state funding to maintain tuition at current levels, W&M is considering adopting a new tuition model for in-state undergraduate students beginning with the incoming class in FY21. Under this plan, W&M would cap annual tuition increases at 3.0%. Assuming a 3% year-over-year increase, tuition for

the incoming class in FY26 would be set at \$20,817 – almost \$5,000 below the projected rate if the university were to continue the Promise as described above.

2. **Continuation of State Funding for Tuition Moderation.** The Governor and General Assembly provided W&M with \$1.45 million from the general fund (GF) in base E&G funding which enabled W&M to maintain tuition at FY19 levels for all incoming undergraduate Virginia students. Going forward, W&M can hold tuition flat for Virginia undergraduates if additional state support is provided in the university's base budget to offset incremental tuition revenue that has historically been needed to:
 - a. keep salaries at market,
 - b. provide merit-based increases for high performing faculty and staff,
 - c. cover anticipated increases in health insurance premiums, retirement benefits, and other benefit rates set by the state, and
 - d. support strategic investments as the university responds to the changing business environment and the needs of its students.

In order to maintain undergraduate, in-state tuition going forward, W&M estimates that it would need an additional \$1.45 million in base GF in FY21 and an additional \$2.55 million GF in FY22 for a total increase of \$4.0 million in FY22 over the FY20 base.

Of course, tuition is only a portion of the cost of attendance for Virginia students and their families. W&M remains committed to maintaining fee increases at or below the 3.0% level set forth in the Appropriation Act (See §4-2.01a.8.a., Chapter 854, 2019 Acts of Assembly), recognizing that in the absence of state funding, fees remain the primary source of revenue for covering compensation for state employees who work in auxiliary services and debt service for buildings that are funded exclusively by the university.

In addition, the university is actively exploring opportunities to reduce student fees and out-of-pocket costs as it looks at alternative pricing structures and new sources of revenues for an array of items and services. Such innovations aim to reduce the reliance on student fees for debt service.

Section C. Other Budget Items

W&M has included four general fund (state supported) requests for FY21 and FY22 as follows:

- **Request 1 – Continue Expansion of the Data Science Major:** The Governor and General Assembly generously provided \$570,000 GF to support three faculty lines as W&M expands its Data Science minor to a major. As described below, the university is already actively recruiting for new faculty in this area. The university requests an additional \$380,000 GF in FY21 and FY22 to fund an additional two faculty so that W&M can expand the program to meet student and industry demand.
- **Request 2 – Expand Student Internship Opportunities:** Consistent with the university's on-going discussions with legislative and executive branch leaders, W&M seeks \$401,900 GF in FY21 and \$466,700 GF in FY22 as the 50% match to institutional funds, which will provide stipends for full-time internships during the Fall, Spring or Summer semester and funding for a new internship coordinator position. Internships are critical to retaining graduates within the Commonwealth.

- **Request 3 - Faculty Industry-Partner Fellows Program:** W&M requests funding to launch a new pilot program that will embed 5 faculty members in regional industries during FY21 and up to 10 faculty in the following years. By working in leading and emerging industries around the Commonwealth, faculty will be able to bring “real world” experience to their teaching and research. Concurrently, regional corporations will benefit from having in-house expertise in academic disciplines that complement their permanent workforce. William & Mary requests \$200,000 GF in each year to support this effort (see Section H for more detail).
- **Request 4 - O&M for New Facilities:** W&M requests funding to support the operation and maintenance of new facilities coming online in the 2020-2022 biennium. The request includes \$77,900 GF in FY21 to support full year funding for the renovated Alumni House. In FY22, the university requests \$507,700 GF to cover the ongoing cost of the Alumni House plus full year costs associated with the Fine and Performing Arts Complex, Phases 1 and 2.

As directed, W&M has not included a request for general fund support for the university’s tech talent initiative proposal that is being reviewed through a separate process. If the Commonwealth does not select William & Mary for funding in the first wave of proposals, it will submit a budget request to the Department of Planning and Budget to provide \$1.53 million GF in FY21 and \$2.23 GF million in FY22 to begin expansion of its computer science programs, which are anticipated to increase the annual number of undergraduate degrees awarded from 70 in FY20 to 160 per year by FY29. These funds will also support the launch of a new professional Master’s Degree in Computer Science with 35 graduates expected annually by FY26.

In addition to requests for additional general fund support, for purposes of this Six-Year Plan, W&M has assumed the Modified Tuition Guarantee (Option 1 above) with growth in tuition rates for out-of-state undergraduate students at 3.5% annually and growth in tuition rates for graduate and professional students ranging between 2% and 4.5% annually. W&M has also assumed undergraduate enrollments consistent with the university’s proposed Performance Plan outlined in Section H below.

With incremental tuition revenue, W&M plans to provide for the following:

- **Priority 1 — Maintain the university’s commitment to provide need-based grant aid to low- and middle-income Virginians.** The university’s academic and financial plan includes \$2.5 million in incremental support for need-based financial aid in FY21 and an additional \$2.8 million in FY22 or \$5.3 million across the biennium.
- **Priority 2 — Continue to support competitive faculty salaries based on merit.** W&M has consistently ranked faculty salaries among its top priorities. In FY19, the university was unable to provide increases given the demands for need-based financial aid. In FY20, with generous support from the state, the university provided its nongeneral fund share to support the 3% across-the-board increase required by the Governor and General Assembly. For FY21 and FY22, the university has targeted an average annual 3% increase for faculty based on merit and has assumed 100% nongeneral fund support in this plan.
- **Priority 3 — Provide competitive staff salaries.** As with faculty, the university has emphasized the need to provide competitive staff salaries between FY13 and FY18, annual salary increases averaged 3% based on merit. Again, in FY19, the university provided no salary increases given its focus on ensuring sufficient need-based aid for Virginia undergraduates. For FY20, the university provided the state-mandated 2.75% base increase for classified staff

along with the average 2.25% merit-based increase set forth in the Appropriation Act. For all other staff, the university leveraged incremental state funds along with institutional resources to provide a 3% across-the-board salary increase. For FY21 and FY22, the university has targeted an average merit-based increase of 3% for all university staff and has assumed 100% nongeneral fund support in this plan.

- **Priority 4 — Reallocate existing resources and increase funding to support the operations of the new Studio for Teaching and Learning Innovation.** W&M has a long history of high-quality teaching and learning for undergraduates and graduates. As with all institutions of higher education, W&M is confronting accelerated change related to population demographics, technological evolution, and economic challenges. The new Studio will focus on three goals: 1) strengthening the student educational experience, 2) reducing inequities in the use of technology across both student and faculty groups, and 3) maximizing the value of investments in teaching and learning. The university will launch the studio's operations in FY20 by reallocating resources from existing programs. As W&M looks to FY21 and FY22, the university will provide an additional \$100,000 in institutional funds to expand the studio's efforts. In addition, W&M will be requesting state support to renovate space in Swem Library that will provide a physical home to this effort (see details in Section F below). In reviewing more than 50 comparable institutions, W&M found that 98% of institutions had designated physical space for this type of effort.
- **Priority 5 – Expand internship opportunities for students, particularly those in computer science related fields.** As noted in the GF requests above, in addition to funds requested from the state for a new staff position to support an expanded internship program, W&M will provide 50% matching funds (\$302,400 in FY21 and \$367,200 in FY22) to provide additional paid internship opportunities for undergraduate students, particularly in the fields of computer and data science.
- **Priority 6 – Launch a professional master's program in computer science.** As part of the university's Tech Talent Pipeline proposal, W&M included the creation of a new Master of Computer Science degree that will be an applied, professional program that prepares students to go directly into the workforce. W&M's current master's level work in computer science is more research intensive, focusing on preparing students for doctoral programs. The Six-Year Plan includes \$383,000 in FY21 and \$690,500 in FY22 in institutional matching funds for enrollment growth, faculty salaries and faculty start-up packages.
- **Priority 7 – Provide competitive stipends for graduate students, particularly in STEM-related disciplines.** In order to attract the best and the brightest graduate students, W&M must provide competitive stipends. Over the last two years, the university has found that among those candidates who declined offers of admissions, that the level of financial aid, stipends and the lack of health insurance coverage has been a major determinant in their decisions to attend another university. W&M has included \$250,000 in FY22 to increase graduate stipends.
- **Priority 8 – Invest in information technology (IT) infrastructure.** The university recently engaged an outside entity to assess its IT hardware, data architectures, use of software and applications, vendor relationships and organizational structure. Based on those findings, the university anticipates needing to make significant investments in its IT platforms throughout the 2020-2026 Six-Year Plan time horizon.

- **Priority 9 – Enhance regional development and entrepreneurship.** As described in the university’s institutional performance pilot/partnership agreement in Section H, W&M is working enthusiastically across the region to identify economic development opportunities in a way that leverages its resources as well as those of other higher education institutions, industry partners and governments. The plan includes \$150,000 in FY22 in anticipation of additional investments that will likely be needed as W&M’s efforts and presence in this area expand.
- **Priority 10 – Provide funding to keep pace with library acquisition costs.** W&M has moved aggressively to renegotiate its library material contracts and electronic subscriptions over the last several years. The university also leverages the Virtual Library of Virginia (VIVA) and actively collaborates with sister institutions to access needed library materials. Despite these efforts, W&M continues to see cost escalations in this field and anticipates annual cost increases of \$100,000 to ensure that W&M meets the needs of its students and faculty.
- **Priority 11 – Support the operation and maintenance of new facilities coming online.** The Alumni House Addition, which was funded through generous philanthropic gifts, will come online in late FY20. Approximately 75% of that facility will be used for E&G purposes. In addition, the university’s Fine and Performing Arts project is expected to be completed in June 2021, requiring a full year of operating and maintenance costs in FY22. W&M will also be completing the construction of an addition to Phi Beta Kappa in late FY21. For planning purposes, the university has assumed the full cost of O&M for these facilities in the appropriate fiscal year they are opening as part of its Six-Year Plan financial plan, but will request the state general fund share of these facilities through the Commonwealth’s budget process.
- **Priority 12 – Cover the institutional costs of state-mandated increases in fringe benefits and other contractual obligations.** W&M has set aside incremental nongeneral funds as part of its academic-financial plan to buffer against likely increases in the rate of employee health insurance, retirement contributions or other fringe benefits required by the state. In addition, many of W&M’s contracts, particularly facilities and equipment contracts have annual cost escalators that require incremental funding if existing dollars cannot be reallocated. These funds are represented in the “Nongeneral Fund for Current Operations” row on the Six-Year Plan.

Section D. Programs and Instructional Sites

Over the last several years, W&M has moved into the online graduate degree market as a means to address the growing need for working professionals to advance and adapt in their careers. Today, the university offers the following programs online or in a hybrid format, that combines online and face-to-face instruction:

- Master of Business Administration,
- Master of Science in Business Analytics,
- Master of Education in Counseling, and
- Executive Doctorate of Education (EdD) in Educational Policy with concentrations in gifted administration, higher education administration, K-12 administration, and school psychology.

Over the next several years, W&M expects to launch new online programs in the following areas:

- Master of Science in Marketing (planned for fall 2020)
- Master of Science in Finance with a concentration in real estate (planned for fall 2020 or spring 2021)
- Master of Science in Accounting/Accounting Analytics (planned for fall 2021)
- Concentration in Military and Veteran Mental Health within the Master of Education in Counseling (launched Fall 2019)
- Master of Education in Curriculum and Instruction (under development)
- Master of Law (LLM) degree (planned for 2020)

Beyond online efforts, W&M is in the midst of curricular changes that respond to areas of growing opportunity for its graduates, in the Commonwealth, nation, and world -- converting its current education minor into an undergraduate major; creating a doctorate in educational psychology; and launching three new bachelor degrees -- a Bachelor of Science in Data Science, a Bachelor of Science in Computational & Applied Mathematics and Statistics, and a Bachelor of Arts in Linguistics. The university also plans to launch a professional Master of Computer Science degree, as described in Section H below and is also exploring several graduate level certificate programs.

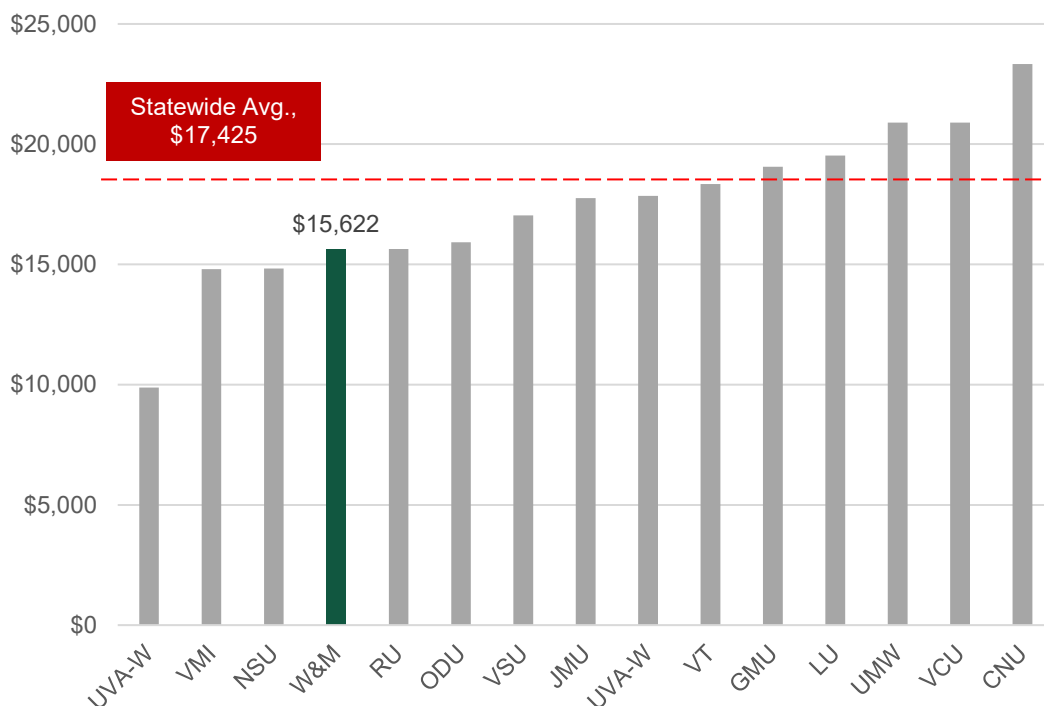
In addition, academic programs are routinely assessed for quality, outcomes and robustness. In Spring 2019, W&M suspended admissions to its Master's in Public Policy program due to low enrollments. The university is currently reviewing the program to assess whether changes to the curriculum, delivery modality, and/or location would increase enrollments and maintain program quality and outcomes.

Finally, W&M is considering options to expand its footprint beyond the Williamsburg campus and its higher education centers in Newport News and Washington, D.C. Preliminary discussions are underway about opportunities to expand continuing education offerings in the Northern Virginia-DC Metro area, Richmond, or Hampton Roads. Those discussions may include collaborations with other Virginia institutions and industry and will help inform the upcoming strategic planning process.

Section E. Financial Aid

Financial aid remains a top priority for W&M. One of the tenets of the Promise was that the university would commit to using institutional funds to ensure that W&M remained accessible for low- and middle-income Virginia students. In FY18, W&M's average net price was the fourth lowest in the state across all income levels and more than \$1,800 less than the average for all Virginia public universities.

Fourth Lowest Net Price Among VA Four-Year Publics



Note: Data provides a weighted average for all low- and middle-income categories.

Source: U.S. Dept. of Education, IPEDS, Financial Aid component, 2017-18.

Additionally, W&M has grown its share of in-state, Pell-eligible undergraduates in recent years to 16.2% of all in-state undergraduates in the 2017-18 academic year.

Section F. Capital Outlay

In April 2019, the Board of Visitors approved the university’s 2020-2026 Six-Year Capital Plan. The top E&G project for the 2020-2022 biennium continues the work already underway to construct the Integrated Science Center, Phase 4. A brief description of that project follows below:

Construct: Integrated Science Center, Phase 4 (ISC 4) \$ 74,950,000 GF

This fourth phase of the Integrated Science Center (ISC) will house Mathematics, Computer Science, Kinesiology, and the Design/Engineering Initiative. The project will construct 124,000 GSF of new space and renovate 10,000 GSF of existing space in order to connect to the adjacent, existing ISC facility. The 2016 General Assembly added the project to the Commonwealth’s long-term capital plan and authorized planning, using university funds. In addition, the university has requested \$2.6 million in supplemental funds to provide incremental faculty offices and support space related to its Tech Talent Pipeline proposal. Without the additional funding, W&M will reconsider the departments assigned to this facility.

The next two priority projects within the E&G program are as follows:

Renovate: Swem Library Studio for Teaching & Learning Innovation**\$ 11,250,000 GF**

Renovation of the ground floor of the Earl Gregg Swem Library in order to create a collaborative teaching and learning center to replace underutilized areas with spaces devoted to development and experimental teaching. The Studio for Teaching & Learning Innovation (6,700 GSF) will serve as a hub that will catalyze innovative teaching across the university, building upon W&M's rich tradition and dedication to exceptional teaching and transformative learning experiences. The new space will be programmed to foster peer-to-peer collaborations across disciplines, scale up best practices, and support faculty in utilizing traditional and next-generation digital resources for improving teaching, enhancing learning outcomes, and advancing scholarship in these areas. In addition, the Center will serve as a university-wide incubator for online learning.

Renovate: Ewell Hall**\$ 21,550,000 GF**

Renovations to update life safety and other building systems, achieve current building code compliance, ensure full accessibility, and reconfigure the interior to suit future use. The building, largely occupied by the Music Department, will become partially vacant when Music moves to its new home in the Fine & Performing Arts Quarter. The vacancy provides an opportune time to complete necessary renovations to the building with the least disruption to campus. Once renovated, the space could potentially house the Modern Languages and Literatures Department, as recommended by a comprehensive review on long-term space planning for the campus. This strategic move would pave the way for renovations needed in other academic buildings and optimize the academic use of these spaces.

As demonstrated by both renovation projects for the Studio for Teaching & Learning Innovation and Ewell Hall, state funding to support the renovation and revitalization of aging E&G facilities is essential to ensure that the physical plant can be utilized efficiently and effectively. In addition, on-going support through the maintenance reserve program ensures that W&M addresses essential repairs in critical facilities, extending the useful life of E&G buildings.

Section G. Restructuring

Since its implementation, restructuring has provided significant benefits to W&M, other Virginia institutions of higher education, and the Commonwealth. The university continues to support the goals of restructuring and encourages exploration of additional areas where operational flexibility can better serve both the institutions and the state. With more than a decade of experience under restructuring, W&M has identified at least six key areas where additional flexibility would improve business operations and benefit both the institution and the Commonwealth.

1. **Procurement.** W&M remains committed to the principles outlined in its management agreement with the Commonwealth, which stipulates that the university maintain the principles of public, transparent, competitive procurement to the maximum extent feasible. In addition, the university has embraced the Commonwealth's efforts to provide increased opportunities for small, women, and minority-owned (SWaM) businesses as evidenced by the university's repeated success at meeting the state's SWaM goals. Based on the experience from other Tier III institutions, W&M believes there is ample opportunity to expand its efforts under restructuring in procurement as it looks to leverage its spend more strategically and to streamline procurement from the beginning of the buying process through the receipt and payment of goods. William & Mary intends to pursue the implementation of a procure-to-pay system during the 2020-2022 biennium.

2. **Employee Compensation.** The flexibility provided to W&M and other Tier III institutions to provide salary increases with institutional funds has been essential to the university's success over the last decade. As the number of classified employees continues to shrink at W&M, the university would welcome the ability to bring classified employees under the university's staffing structure. Maintaining two different staffing models has become increasingly burdensome and inefficient, as the number of classified employees has dropped to less than 150 or 9.7% of W&M's overall staff. In addition, it has created different compensation structures for employees often doing the exact same work. Having the ability to convert all classified employees to staff positions within the university system of human resources would allow W&M to manage its workforce more effectively.
3. **Enrollment Management.** State policy requires the university to maintain its ratio of in-state and out-of-state undergraduate students at current levels. Although W&M remains committed to serving Virginia students, the university would welcome the opportunity, as exists in many states, to increase the number of out-of-state students it serves **while ensuring that the number of in-state students served remains at or above current levels.** The state's requirement to maintain the current ratio between in-state and out-of-state students restricts the university's ability to manage its enrollment based on market demands and programmatic needs. (See Section H below for more detail.)
4. **Tuition Management.** Given fluctuations in state funding and declining growth in overall state support over the last decade, it is essential to W&M's financial health that the Board of Visitors maintains the ability to set tuition and fees for its students. The Board of Visitors is uniquely positioned to understand the institution's operational model, financial needs, and market position relative to peer institutions both within and outside of the Commonwealth. (See Section B above.)
5. **Carryforward of E&G Funds.** The university's ability to carry forward E&G funds from year-to-year is essential given the uncertainties of state funding and the volatility of higher education markets. Institutions must be able to manage funds prudently without fear of penalty if they spend less than budgeted in a given year. With that assurance, institutions can more effectively manage and establish reasonable reserves to ensure they remain financially solvent during economic downturns and do not have to seek additional state support or burden students with additional costs to cover those gaps. Language included under Section 4-1.05c of the Appropriation Act recognizes the importance of this issue as universities seek to improve institutional planning and cost predictability for students and their families, but it limits carryforward to 3% of E&G general fund appropriation. W&M requests that this be expanded to 3% of all total E&G appropriation.
6. **Expedited Program Approval.** W&M will begin piloting a full summer semester in Summer 2020. Although still under development, the university plans to adopt an innovative and flexible model for the semester that enables and fosters truly transdisciplinary learning. It is anticipated that the student summer workload will be structured based on a customizable program framework that includes foundation and specialization course modules from a variety of disciplines rather than standard 15-week semester courses. As W&M looks to develop these new transdisciplinary and multimodal programs, that would not only include coursework but also rely on fully integrated experiential learning opportunities, the university requests flexibility to be able to develop these novel programs to meet workforce needs through an expedited SCHEV program review, where applicable.

Section H. Performance Pilots

On March 11, 2019, President Katherine Rowe wrote to Governor Ralph Northam stating W&M's intent to include a performance pilot/partnership agreement proposal in its preliminary Six-Year Plan. In anticipation of the passage of legislation, then under consideration by the General Assembly, and the enactment of "Tech Talent Investment Program" legislation and related budget provisions, President Rowe stated that the university's proposal would address – in an integrated fashion – the following:

- Expanded support of the Commonwealth's workforce and economic development needs, including the tech talent pipeline and internships;
- Enrollment management, including the university's commitment to in-state, undergraduate enrollment;
- Access, affordability, and cost predictability; and
- Degree completion.

Specifically, W&M proposes a coordinated effort to:

- **Expanding Support of the Commonwealth's Workforce and Economic Development Needs** – W&M responded enthusiastically to the Commonwealth's call for proposals to participate in the **Tech Talent Investment Program**. The university is fully committed to advancing state efforts to increase the number of bachelor's and master's degrees awarded by Virginia public institutions in computer science (CS) and related fields. W&M approaches these efforts holistically, with the Tech Talent Pipeline and Six-Year Plan as key elements of the larger performance pilot. While it recognizes that the State's consideration of W&M's tech talent proposal is on a separate track from the Six-Year Plan, each are integral to the university's ability to deliver on the proposed performance pilot. Under the tech talent umbrella, W&M will more than double the number of undergraduate computer science degrees from 70 to 160 per year; establish a professional master's program in computer science awarding at least 35 MS degrees per year to students who intend to move directly into the workforce, and establish an undergraduate Data Science major. Over the next 20 years, this increased computer science degree production will generate 1,965 new degrees above William & Mary's current baseline, or nearly 8% of the state's needed growth.

W&M brings a particular strength in its ability to attract students from outside the typical pool of computer science students – a key to meeting the Commonwealth's degree goals. That strength depends on W&M's curricular model: a student-oriented education with relatively small class sizes and a high degree of faculty engagement. This model produces graduates that are highly sought by top companies including Amazon, Microsoft and Google. The liberal arts and sciences foundation of W&M graduates, along with their technical skills, allows them to serve as "Business Translators", bridging the gap between senior business leadership and data teams.

W&M will modify and update its Six-Year Plan and this performance pilot as necessary once confirmation is received of state action relative to the university's Tech Talent submission.

In addition, W&M recognizes that the availability of clear and meaningful internship opportunities is key to keeping W&M's talented graduates in the Commonwealth. While the Commonwealth has provided some funding to the State Council of Higher Education in this area, within this performance pilot W&M will establish an internship program that offers opportunities for

computer science and data science students. Funding for this program will be provided by a matching grant program to be funded in part by partner corporations, the university and/or state funds. President Rowe is visiting employers throughout the region, building relationships to support this initiative.

- **Aligning Enrollment Management with Needed Growth** – Judicious enrollment growth is a fundamental element of the university’s Tech Talent proposal, expanding educational opportunity while providing a world-class education in the liberal arts and sciences even as W&M prepares students with the skills and nimbleness for success in the future economy. As noted in the April 2019 Board of Visitors resolution approving William & Mary’s proposal, “the university plans to grow its in-state and out-of-state enrollment as necessary to support the additional eligible degrees.” As a result, a significant element of this performance pilot is the university’s commitment to increase the number of incoming Virginia undergraduates consistent with the overall growth in the number of state high school graduates. Should high school graduation rates decline, the university will not reduce incoming freshman or freshman/transfer enrollment below the FY19 level; however, the remainder of any growth would come from out-of-state students.

The Tech Talent legislation was driven by the Commonwealth’s recognition of an on-going and negative trend: significant out-migration of talent. Since that time, the Commonwealth’s success in attracting Amazon’s east coast headquarters has increased its visibility to out-of-state students while emphasizing the need to grow the tech talent pipeline generated from its public universities. An important way to grow the talent pipeline will be to expand the enrollment of high-quality out-of-state students into Virginia’s universities. The competition for these students is fierce. As part of this proposal, W&M will enroll additional out-of-state students which, when coupled with robust internship opportunities, will result in these students remaining in the Commonwealth, meeting its workforce needs. Current budget language limiting the overall percentage of out-of-state undergraduates will need to be modified or eliminated to support this effort.

As noted above, the university is also targeting growth in graduate programs that support the Commonwealth’s workforce needs. In addition to the initial focus on computer science, graduate programs in math and computational science and business analytics will be critical to workforce transformation. In addition, as part of W&M’s efforts to increase enrollments and internship opportunities, the university is exploring opportunities to better utilize its summer semester in ways that would allow W&M to increase the total number of undergraduate students it educates while providing students with more opportunities to participate in internships during the traditional academic year.

- **Providing Access, Affordability, and Cost Predictability** – As noted elsewhere in this narrative, tuition predictability has been a key component of the Promise. Approved by the Board of Visitors in 2013, the Promise improved tuition predictability by providing a four-year tuition guarantee for Virginia students and increased affordability through the university’s investment in need-based financial aid while reducing the university’s reliance on student loans to meet financial need. As implemented, the Promise reflects the income definitions recommended by the Higher Education Advisory Committee established under TJ21 and would have improved affordability for more than 70% of Virginia households had they all chosen to send their students to W&M.

While the university has worked hard to keep net price below average for in-state students in Virginia, we continue to model the impact of potential tuition increases under the Promise. Based on W&M’s current market and expected spending needs, the Promise would provide for an

average annual increase of 6.5%, with each year's tuition then being guaranteed for four years. (This is the equivalent of 1.6% annually over the period of a four-year degree.) Applying this model going forward, the university projects tuition would increase by over 45% in the next 7 years: from \$17,434 for the incoming class in FY20 to \$25,439 for the incoming class in FY26. The university believes this approach is untenable both for Virginia families and the institution.

In order to slow the rate of growth while maintaining year-to-year tuition predictability for students and their families, this performance pilot includes a revised tuition guarantee for in-state undergraduate students. Promise 2.0 would begin with the incoming FY21 class. Under this plan, W&M would cap year-to-year tuition resets at 3.0% and guarantee no more than a 3% annual tuition increase over the four-year period. Under the Promise 2.0 model, tuition for the incoming class in FY26 would be \$20,817 – almost \$5,000 below the projected rate if W&M continues the Promise in its current form.

- **Promoting Degree Completion** – As noted above, student success and keeping both in-state and out-of-state students within the Commonwealth is critical to growing the State's pool of talent. In support of this goal, W&M will continue providing students with a liberal arts and sciences education that places a strong emphasis on student-centered education, small class sizes and a high degree of faculty engagement. This model supports an overall graduation rate that exceeds 90%, providing a reliable pipeline of talent into the workforce. As noted in Section A, over 90% of W&M graduating seniors are either working or in graduate school within a year of completing their bachelors' degrees. The university expects this level of student success even as it increases both in-state and out-of-state enrollment.

In addition, W&M proposes a pilot program for **Faculty Industry-Partners Fellows** that will embed five (5) faculty members in regional industries during FY21 and up to ten (10) faculty in the following years. By working in leading and emerging industries around the Commonwealth, faculty will be able to bring "real world" experience to their teaching and research. Concurrently, regional corporations will benefit from having in-house expertise in academic disciplines that complement their permanent workforce. Consider the potential impact of a data science faculty specializing in big data integration doing a residency with a healthcare company that develops diagnostic solutions requiring the combination and analysis of data from multiple and dissimilar sources, like free-form doctor notes embedded in a patient file coupled with quantitative laboratory test results and patient demographic data. Or, imagine how an environmental science faculty can help Amazon moderate the impact of its new headquarters and the relocation of thousands of new employees on the natural and urban environment around their new location. Conversely, the knowledge that a social science professor will gather by being embedded in a software development company or government contractor developing internet search modules or studying suspicious behaviors online will allow him or her to infuse actual industry experiences into STEM curricula in a manner that makes learning relevant and contemporary. This program will increase W&M's ability to produce tech-savvy graduates who can also tackle social issues of rising importance like privacy and ethics, health care disparities and environmental sustainability. As technology continues to permeate our everyday lives, new graduates will be increasingly called up to develop and use novel technologies in an ethical manner -- a much-needed competency that is in high demand but short supply.

Faculty assignments would be tailored to the needs of the host business likely ranging from a minimum of 4 weeks up to 12 months. Upon completion of the program, faculty would develop new curricular modules to expand students' understanding of current challenges impacting Virginia's business community and look for opportunities to develop sustainable solutions to address industry needs. Faculty would also be positioned to serve as faculty mentors to students who concomitantly or subsequently

intern in those same businesses through W&M expanded internship program. Another potential outcome of the industry immersion program for faculty would be the creation of student-led startup companies that would support the established and emerging industries in the Commonwealth by providing needed solutions in specific areas that complement existing industry expertise.

W&M seeks \$200,000 in state general fund support in each year of the biennium to initiate and fund this program. The university intends to use these funds to provide academic and logistical support to the selected faculty and their home departments. This support may include a summer stipend for the selected faculty to develop materials aligned with the orientation and particular interests of the host company; partial support for adjunct positions to backfill teaching and advising assignments on campus; a stipend for those who may need temporary housing if selected to work with an industry partner located more than 50 miles from their home residence; and, funding to hire a support position to help coordinate faculty placement in the program. If successful, beginning in FY23, W&M will start absorbing the on-going costs of the program in a gradual manner, and will seek funding from industry partners or philanthropic donors to offset temporary expenses related to the program.

In order to assess W&M's progress in meeting the objectives of its performance pilot agreement, it will track the following metrics over the course of the Six-Year Plan:

- Growth in in-state undergraduate slots consistent with the high school graduation rates.
- Reduction in the rate of increase in in-state, undergraduate tuition between 2020-2026 and the prior six-year period (2014-2020).
- Growth in number of high demand degrees awarded, particularly those identified in the tech talent pipeline.
- Growth in the number of students participating in internships.
- Growth in the number of companies providing matching dollars to support paid internships.
- Creation of a faculty industry-partners fellows program with up to 10 faculty embedded in companies throughout the Commonwealth.

Section I. Evaluation of Previous Six-Year Plan

In its revised 2018-2024 Six-Year Plan, W&M set forth the following priorities:

Priority 1—William & Mary Promise

As described in Sections A, B, and E, the Promise has delivered on its goals to provide predictability, affordability, and access to Virginia students. Funding to support incremental need-based financial aid has remained the top priority for the university since the plan was adopted.

Priority 2—Increase Faculty Salaries

In addition to promoting access and affordability, the Promise's financial model has allowed W&M to put significant resources into its faculty and staff. Prior to the Promise, average salaries for teaching and research faculty at W&M lagged behind its peer institutions by more than 20%. Since the inception of the Promise, the university has increased faculty salaries 4.4% per year on average, which has helped to close the gap. Given the unanticipated increase in financial aid in FY18, W&M did not provide a salary increase

in FY19 as it looked to rebalance its base budget to reflect changes in the federal financial aid calculations and resulting awards for students. For FY20, with generous support from the state for its share of salary increases, the university provided a 3% across-the-board increase to all faculty who meet the criteria outlined by the Virginia Department of Human Resources.

Priority 3—Provide Competitive Staff Salaries

As with faculty, the Board of Visitors has emphasized the need to increase staff salaries to a competitive, market-based level since the inception of the Promise. Between FY13 and FY18, salaries for administrative and professional faculty and university (operational) staff have increased, on average, 3% with classified staff salaries increasing by an estimated 1.5% as authorized by the state. For FY19, the university provided no increases for staff salaries as it dealt with the base budget issues outlined above. Again, given the state's generous support for across-the-board increases of 2.75% for all staff, the university was able to budget additional nongeneral funds to bring university staff increases to 3%, commensurate with faculty increases. For classified staff, the university also provided its share of the average 2.25% merit-based increase required under Chapter 854, 2019 Acts of Assembly.

Priority 4— New Undergraduate Curriculum

As described in Section A, the university has completed implementing its core (COLL) curriculum, which continues its commitment to a liberal arts and sciences education while providing the skills necessary to succeed in the 21st century workforce. The COLL Curriculum is designed to provide students with the fundamental knowledge needed to undertake advanced study in one or more academic disciplines, to inspire scholarly inquiry, and to get students “to think rigorously about important ideas.” The curriculum is intentionally interdisciplinary in nature and focuses on students developing strong communication, analytical, and problem-solving skills. (For more detail see: <https://www.wm.edu/as/undergraduate/coll/index.php>)

Priority 5 and 5A— Degree Production in High Demand Fields and Expansion of Data Science Programs

The 2018-2020 Appropriation Act provided \$1.2 million in GF support in FY20 to increase the production of degrees in high demand fields. Although the funds for degree production were not available until July 1, 2019, W&M proactively recruited faculty to support greater degree production in these fields. Over the past year, the university has conducted faculty searches leading to the hiring of eight new faculty throughout the areas of high-demand degree production.

In addition, given the immediate success of the Data Science minor, the faculty voted unanimously this year to add a major in this area given anticipated and continued interest in this field. W&M is awaiting program approval from SCHEV and has already recruited one faculty member in anticipation of the incremental \$570,000 GF appropriated in FY20 by the Governor and General Assembly during the 2019 General Assembly session for the expansion of this program. The incremental funds allow W&M to ramp up the program more rapidly to meet the pent up demand of students who are seeking credentials in this area.

Finally, the university is continuing to expand its Engineering and Design Initiative, which will be essential to preparing graduates for the future workforce. Over the last two years, W&M has revamped its applied science curriculum and has added the Engineering, Physics and Applied Sciences curriculum as a track within its Physics major. As the university expands Engineering and Design into other parts of the curriculum, its goal is to ensure that students become familiar with “design thinking” so that they can work comfortably in design studios or entrepreneurial incubators across a broad array of industries.

Priority 6— Expand eLearning

As described in Section D, the university has established a strong presence with specific online programs in the School of Business and the School of Education. The university continues to explore new programs across all of its academic units to the extent online delivery can meet student demand effectively.

Priority 7 – RBC Promise Scholars

The Promise Scholars program is a collaborative program between RBC and W&M that seeks to mentor high-achieving, low-income students who have committed to transferring to the university. Under the program, RBC selects a cohort of up to 15 rising second-year students who are Pell-eligible at the time of selection and have high potential to be successful transfers to W&M. Transfer admission to W&M is guaranteed, pending the satisfaction of a GPA requirement in the students' second year at RBC and completion of the associate degree.

In addition, two W&M faculty members are named each academic year as Promise Fellows. In that capacity, each faculty member teaches one required W&M freshman, general education course (COLL 100 or COLL 150) on the RBC campus, giving Promise Scholars the opportunity to experience W&M classes while at RBC. The Promise Fellows continue working as advisers to the Promise Scholars during their time at W&M.

Finally, the Promise Scholars program seeks to make college more affordable for its participants. During their second year at RBC, W&M provides each Promise Scholar with a \$2,000 scholarship. The scholarship increases to \$3,500 for each of the two years at W&M. This increased scholarship offsets the loan component of their financial aid package and provides a debt-free path to a four-year degree.

W&M welcomed the first cohort of 10 Promise Scholars this fall. They arrived on campus with the combined benefits of a merit scholarship, faculty advisers with whom they already have taken courses at RBC, and a cohort of supportive peers with whom they will continue their education at W&M. (Another five students from RBC will transfer to W&M through the standard transfer process. This total of 15 transfer students from RBC reflects substantial overall growth, as the five-year annual average from 2014-2018 was approximately seven students per year.)

Priority 8 – Improve Student Services

Recent and continuing enrollment growth, combined with W&M's focus on financial aid and enhancing the student experience, have contributed to the need for additional resources to support the financial aid office and student affairs activities. Over the last several years, W&M has used institutional funds to add staff positions in Financial Aid, Counseling and Career Advising, and Student Health Services to meet not only enrollment growth, but also increasingly complex student needs.

Priority 9 — Increase Academic Support

The Mason School of Business has instituted a number of new programs including the Online Master of Business Administration and Master of Science in Business Analytics mentioned in the eLearning section over the past couple of years. Over the last three years, the university has provided \$450,000 in institutional funds to provide additional support for the growth in undergraduate business majors and has reallocated incremental revenue from online programs to support the rapid expansion of graduate students.

Priority 10 – Creative Adaption Program

After six successful years of the Creative Adaptation Program (CAP) stimulating innovation, the university paused it this year and decided to devote these resources to innovation in another domain. As shown in W&M's 2020-2026 Six-Year Plan, the university is inaugurating a Studio for Teaching and Learning Innovation in Fall 2019. Funds previously used for the CAP will be dedicated to the new studio, with a special, but not exclusive, focus on digital pedagogy.

Priority 11—Support Base Operations and Continue Business Innovation

Base Operations provides funding to support essential services in selected areas, including academic support, student services, administrative functions, and plant operations as well as incremental funding needed to support the nongeneral fund share of fringe benefit increases and workers compensation. Funds have also been used to add additional police and security staff, implement required compliance training and add staff to support diversity and inclusion.

Priority 12 - Whole of Government

In 2015, Virginia's Secretary of Veterans Affairs commissioned a report, "Growing the Military Mission in the Commonwealth of Virginia", which called for the creation of a "Whole of Government" Center of Excellence (COE) at William & Mary. The report envisioned this effort as the foundation of what could become the Harvard Kennedy School of the South, bringing a focus to issues particularly of interest to the military. The COE would bring to bear the best of W&M's academic efforts in public policy, law, business, and other areas and build on strong connections to the military and its facilities in the region. This effort, in part, would help the military, among others, recruit, retain and develop the next generation of military and civilian talent in defense of the nation. With support from the Secretary's office, the Hampton Roads Military and Federal Facilities Alliance (HRMFFA), state appropriations, and the reallocation of university funding, the university has begun to implement the report's call to action. Faster than many predicted, W&M has a student fully funded by the National Counterterrorism Center as well as other students from across the university participating in COE activities. The first full class will follow new curricular developments, to include potentially shorter certificates and a one-year degree program, and Memorandums of Understanding with the military and interagency organizations. The 2018-2020 Appropriation Act includes funding in FY20 for W&M to develop online curriculum, which will reduce the on-campus requirements for the program to one year and enhance e-opportunities. Once implemented, W&M anticipates that the online, first-year curriculum will also increase interest for potential students in other university graduate degrees who cannot currently commit to a two-year, full-time, on-campus program. The COE is exploring broadening engagements for students and external research funding.

Priority 13 - Counseling Veterans and Their Families

The 2018-2020 Appropriation Act includes funding for W&M to develop a veterans and military concentration in its Master's in Counseling program at the School of Education and to create a certificate program for those already certified as counselors but who want to work specifically with military members, veterans and their families. Work is underway and the program launched this fall. The university is in the final stages of recruiting a director for this program who will work to finalize the course outlines into syllabi and establish internship sites with military bases both in the Commonwealth and nationally.

Section J. Economic Development Annual Report (Due October 1):

Employing more than 2,700 faculty and staff, and enrolling more than 8,500 students, William & Mary is a strong contributor to the regional and state economy. According to a Weldon-Cooper study conducted by the Virginia Business Higher Education Council (VBHEC), the total economic contribution resulting from William & Mary operations during FY15 was \$955 million in GDP, and the total state revenue contribution was \$101 million – more than double the General Fund appropriation for W&M in the same year.

The university also contributes to economic development efforts through the following groups and organizations:

- University Based Economic Development officers (UBED)
- Greater Williamsburg Chamber and Tourism Alliance (and the Business Council)
- Virginia Economic Developers Association (VEDA)
- Greater Williamsburg Partnership (GWP)
- Launchpad, Greater Williamsburg Regional Business Incubator
- Historic Triangle Collaborative (HTC)
- Southeastern Universities Research Association (SURA)
- Richmond-Hampton Roads Megaregion Collaborative
- Northern Virginia Technology Council

William & Mary's Mason School of Business is home to the Alan B. Miller Entrepreneurship Center. The Center exists to educate, inspire, and support individuals in developing the skills and mindset of an entrepreneur. This fall William & Mary will open an expanded entrepreneurship hub for students at a mixed-use property, Tribe Square, owned by the William & Mary Real Estate Foundation. The renovation is funded largely with private dollars and will more than triple the footprint of the current space and locate it on a central part of the campus. Furthermore, Launchpad, the region's business incubator for the City of Williamsburg, James City County and York County, will relocate to the entrepreneurship hub and has entered into a management agreement with the university to contribute to the cost of the incubator's operation. Through this initiative, resident entrepreneurs working on real startups will be collocated with undergraduates who are learning to think like entrepreneurs.

This university hub will be supported by the existing Alan B. Miller Entrepreneurship Center at the Raymond A. Mason School of Business and will offer students programming, co-working space, makerspace access, networking opportunities, mentorship and additional support as they pursue not just business start-ups, but entrepreneurial projects and ways of thinking across disciplines. Launchpad will work in conjunction with the hub with W&M managing staffing and programming for the incubator.

William & Mary often serves as a leader and convener of programs benefiting the region and state. For example, William & Mary representatives serve as members of the Richmond-Hampton Roads Megaregion Collaborative, which meets on campus to bring together business leaders from the two regions to enhance connectivity and spur regional collaboration. Additionally, President Rowe has developed strong relationships with corporate partners such as Newport News Shipbuilding. Their Digital Shipbuilding Mobile Experience Trailer was on campus this spring, and CEO Jennifer Boykin co-wrote an op-ed in the *Daily Press* in support of stronger collaboration between higher education, industry partners

and state government. President Rowe also has been named to the nation's largest technology council, the Northern Virginia Technology Council.

Each year William & Mary students volunteer for more than 245,000 hours of service. Calculated at minimum wage that amounts to nearly \$2 million in contributed labor in areas of need, often financially distressed communities. William & Mary's School of Education offers graduate courses to provide in-depth training to teachers in preparation for serving as math specialists in K-5 schools. These school divisions are rural, have been cited for deficiencies in mathematics by the Virginia Department of Education, and are characterized as low socio-economic status areas. Further, as a university recognized as being military friendly, William & Mary not only encourages enrollment by veterans but also provides assistance to them through the Puller Veterans Benefits Clinic at the law school.

William & Mary graduates in the Class of 2018 were hired by 418 distinct employers and are working in more than 58 different industries, including high tech/information technology, consulting, education, financial services, government, healthcare, law, and many others. Those not joining the workforce enrolled in 107 distinct graduate programs. Our graduates also work with the more than 140 executives from more than 30 industries collaborating with William & Mary's Mason School of Business as part of its Executive Partners Network, and 15,100 employers with the Cohen Career Center's Tribe Careers program. William & Mary has a broad reach that makes it an active, engaged partner in improving the economy of the Commonwealth.

2019 SIX-YEAR PLAN: 2020-22 through 2024-26

Due: July 1, 2019

Institution:

Institution UNITID:

Individual responsible for plan

Name:

Email address:

Telephone number:

**Part 1A: Tuition and Fees Predictability Plans for Institutions without Undergraduate Tuition Differentials
William & Mary**

In-State Undergraduate Tuition and Fees Predictability Plans

Instructions: Provide no less than three years (the worksheet allows for four years based on the biennial budget structure) of planned increases in in-state undergraduate tuition and mandatory E&G fees and mandatory non-E&G fees. The tuition and fee charges for in-state undergraduate students should reflect the institution's estimate of reasonable and necessary charges to students based on the mission, market capacity and other factors. Plans shall include a range of tuitions based on available state resources, but must contain a scenario that includes the assumption of no new state general fund support (SCENARIO 1). Add scenarios and tables, if more are needed, and provide brief information about the assumptions for each scenario. Include more detailed information about assumptions used to calculate increases in Section B of the Narrative document. Include anticipated tuition and fee charges affecting first-year students. (Please do not alter the shaded cells that contain formulas.)

In-State Undergraduate Tuition and Mandatory E&G Fees

	2019-20	2020-21		2021-22		2022-23		2023-24	
	Charge	Charge	% Increase	Charge	% Increase	Charge	% Increase	Charge	% Increase
Scenario 1: No new GF	17,570	18,093	3.0%	18,632	3.0%	19,187	3.0%	19,759	3.0%
Scenario 2: Tuition Moderation	17,570	17,570	0.0%	17,570	0.0%	17,570	0.0%	17,570	0.0%
Scenario 3:			%		%		%		%

Assumptions for:

Scenario 1	Assumes no new GF. Assumes that the out-of-state enrollment cap has been modified/removed.
Scenario 2	Assumes additional GF dollars to support 0% tuition moderation. FY 21- \$1.45 million, FY 22- \$4 million, FY 23- \$8.1 million, FY 24- \$13.3 million (total each year is increase above current GF levels, so would need a total increase of \$13.3 million in general funds by FY 24)
Scenario 3	

In-State Undergraduate Mandatory Non-E&G Fees

	2019-20	2020-21		2021-22		2022-23		2023-24	
	Charge	Charge	% Increase	Charge	% Increase	Charge	% Increase	Charge	% Increase
Scenario 1:	6,058	6,300	4.0%	6,552	4.0%	6,814	4.0%	7,087	4.0%
Scenario 2:			%		%		%		%

Assumptions for:

Scenario 1	Assumed 3% salary increases each year plus known fee increases related to debt service costs and other general contract cost and fringe benefit increases.
Scenario 2	

**Part 1B: Tuition and Fees Predictability Plans for Institutions with Undergraduate Tuition Differentials
William & Mary**

In-State Undergraduate Tuition and Fees Predictability Plans

Instructions: Provide no less than three years (the worksheet allows for four years based on the biennial budget structure) of planned increases in in-state undergraduate tuition and mandatory E&G fees and mandatory non-E&G fees. The tuition and fee charges for in-state undergraduate students should reflect the institution's estimate of reasonable and necessary charges to students based on the mission, market capacity and other factors. Plans shall include a range of tuitions based on available state resources, but must contain a scenario that includes the assumption of no new state general fund support (SCENARIO 1). Add scenarios and tables, if more are needed, and provide brief information about the assumptions for each scenario. Include more detailed information about assumptions used to calculate increases in Section B of the Narrative document. Include anticipated tuition and fee charges affecting first-year students. For institutions that have differential tuition and fee charges by program or level, provide (a) anticipated tuition and fee charges for majority students; (b) a weighted average charge of all first-year students (with a detailed worksheet as attachment); and (c) additional spreadsheets with associated anticipated charges for all undergraduate students by program and level. (Please do not alter the shaded cells that contain formulas.)

In-State Undergraduate Tuition and Mandatory E&G Fees

	2019-20	2020-21		2021-22		2022-23		2023-24	
	Charge	Charge	% Increase	Charge	% Increase	Charge	% Increase	Charge	% Increase
Scenario 1: No new GF									
Majority First-Year Students			%		%		%		%
All First-Year Students			%		%		%		%
Scenario 2:									
Majority First-Year Students			%		%		%		%
All First-Year Students			%		%		%		%
Scenario 3:									
Majority First-Year Students			%		%		%		%
All First-Year Students			%		%		%		%

Assumptions for:

Scenario 2	
Scenario 3	

In-State Undergraduate Mandatory Non-E&G Fees

	2019-20	2020-21		2021-22		2022-23		2023-24	
	Charge	Charge	% Increase	Charge	% Increase	Charge	% Increase	Charge	% Increase
Scenario 1:			%		%		%		%
Scenario 2:			%		%		%		%

Assumptions for:

Scenario 1	
Scenario 2	

**Part 2: Tuition and Other Nongeneral Fund (NGF) Revenue
William & Mary**

Tuition and Fee Increases and Nongeneral Fund (NGF) Revenue Estimates Based on the Assumption of No New General Fund (GF)

Instructions: Based on enrollment changes and other institution-specific assumptions, provide the total revenue for educational and general (E&G) programs, by student level and domicile. Provide other anticipated NGF revenue, tuition used for financial aid (Program 108) and anticipated non-E&G fee revenue for in-state undergraduates and then all other students. (Please do not alter the shaded cells that contain formulas.)

Items	2018-2019 (Estimated)	2019-2020 (Estimated)	2020-2021 (Planned)	2021-2022 (Planned)
	Total Revenue	Total Revenue	Total Revenue	Total Revenue
E&G Programs				
Undergraduate, In-State	\$66,047,500	\$69,266,800	\$71,891,800	\$74,710,200
Undergraduate, Out-of-State	\$82,384,600	\$85,246,900	\$89,789,800	\$96,089,200
Graduate, In-State	\$12,486,500	\$12,887,000	\$13,336,800	\$13,924,800
Graduate, Out-of-State	\$13,003,500	\$12,973,700	\$13,586,600	\$14,445,700
Law, In-State	\$5,573,600	\$5,725,400	\$5,839,900	\$5,956,700
Law, Out-of-State	\$15,990,400	\$16,325,100	\$16,651,600	\$16,984,600
Medicine, In-State	\$0	\$0	\$0	\$0
Medicine, Out-of-State	\$0	\$0	\$0	\$0
Dentistry, In-State	\$0	\$0	\$0	\$0
Dentistry, Out-of-State	\$0	\$0	\$0	\$0
PharmD, In-State	\$0	\$0	\$0	\$0
PharmD, Out-of-State	\$0	\$0	\$0	\$0
Veterinary Medicine, In-State	\$0	\$0	\$0	\$0
Veterinary Medicine, Out-of-State	\$0	\$0	\$0	\$0
Other NGF	\$7,618,200	\$7,276,300	\$7,276,300	\$7,276,300
Total E&G Revenue - Gross	\$203,104,300	\$209,701,200	\$218,372,800	\$229,387,500
Total E&G Revenue - Net of Financial Aid	\$163,208,100	\$167,067,000	\$173,217,200	\$181,422,200

Tuition used for Financial Aid (Pgm 108)	\$39,896,200	\$42,634,200	\$45,155,600	\$47,965,300
---	--------------	--------------	--------------	--------------

Non-E&G Fee Revenue				
In-State undergraduates	\$23,757,200	\$24,678,400	\$25,665,500	\$26,692,100
All Other students	\$19,702,500	\$20,434,900	\$21,252,300	\$22,102,400
Total non-E&G fee revenue	\$43,459,700	\$45,113,300	\$46,917,800	\$48,794,500

Part 3: ACADEMIC-FINANCIAL PLAN

William & Mary

Academic and Financial Plan

3A: Six-Year Plan for Academic and Support Service Strategies for Six-year Period (2020-2026)

Instructions for 3A: In the column entitled "Academic and Support Service Strategies for Six-Year Period (2020-2026)," please provide short titles to identify institutional strategies associated with goals in the Virginia Plan. Provide a concise description of the strategy in the Description of Strategy column (column J). Within this column, provide a specific reference as to where more detailed information can be found in the Narrative document. Note the goal(s) with which the strategy is aligned with the Virginia Plan (in particular, the related priority areas) in the VP Goal column and give it a Priority Ranking in column A. Additional information for 2022-2026 should be provided in column K (Two Additional Biennia). Strategies for student financial aid, other than those that are provided through tuition revenue, should not be included on this table; they should be included in Part 4, General Fund Request, of the plan. If an institution wishes to include any information about FTEs or fringe benefit adjustments (using DPB's FY2020 start-up instructions available by the end of May), it should list them as strategies in the Academic Plan not the Financial Plan. Funding amounts in the first year should be incremental. However, if the costs continue into the second year, they should be reflected cumulatively. Additional rows for strategies must be added before the gray line. Please update total cost formulas if necessary. **ASSUME NO ADDITIONAL GENERAL FUND IN THIS WORKSHEET.**

SECTION A: ACADEMIC AND SUPPORT SERVICE STRATEGIES FOR SIX-YEAR PERIOD (2020-2026)										
Priority Ranking	Strategies (Short Title)	VP Goal	Biennium 2020-2022 (7/1/20-6/30/22)						Description of Strategy	Two Additional Biennia
			2020-2021			2021-2022				
			Total Amount	Reallocation	Amount From Tuition Revenue	Total Amount	Reallocation	Amount From Tuition Revenue		
1	William & Mary Promise (Dollars below in specific lines for financial aid)	1	\$0	\$0	\$0	\$0	\$0	\$0	Mitigate the impact of tuition and fee increases on low and middle income students and their families. (p. 6, p.14).	Continue to mitigate the impact of tuition in future years.
4	Studio for Teaching & Learning Innovation	2	\$1,044,100	\$1,044,100	\$0	\$1,144,100	\$1,044,100	\$100,000	Catalyze innovative teaching across the university (p.6-7).	Monitor the progress of the reallocation of resources to see if achieving desired results.
5	Expand Student Internship Opportunities	2,4	\$302,400	\$0	\$302,400	\$367,200	\$0	\$367,200	Expand opportunities particularly in computer and data science related fields (p. 7).	Assess expanded internship program based upon student feedback and continue to identify partners to participate in the program.
6	Launch a Professional Master's Program in Computer Science	2,4	\$383,000	\$0	\$383,000	\$690,500		\$690,500	Matching funds for enrollment growth, faculty salaries and start up (p. 7).	
7	Provide Competitive Stipends for Graduate Students	2,4	\$0	\$0	\$0	\$250,000	\$0	\$250,000	Increase stipends to remain competitive particularly in STEM-related disciplines (p. 7).	Continue to monitor peer institutions and market trends.
8	Invest in information technology infrastructure	2,3,4	\$204,300	\$0	\$204,300	\$716,200	\$0	\$716,200	IT investment anticipated with current IT infrastructure study being conducted (p.7).	Assess any changes to IT infrastructure, and make additional changes as changing technology/needs demand.
9	Enhance Regional Development & Entrepreneurship	3,4	\$0	\$0	\$0	\$150,000	\$0	\$150,000	Identify economic development opportunities that leverages resources of W&M, other institutions, industry partners and governments (p.7, p.13).	Continue to collaborate with partners as the strategies around regional workforce development and entrepreneurship develop.
Total 2020-2022 Costs (Included in Financial Plan "Total Additional Funding Need")			\$1,933,800	\$1,044,100	\$889,700	\$3,318,000	\$1,044,100	\$2,273,900		

3B: Six-Year Financial Plan for Educational and General Programs, Incremental Operating Budget Need 2020-2022 Biennium

Instructions for 3B: Complete the lines appropriate to your institution. As completely as possible, the items in the Academic Plan (3A) and Financial Plan (3B) should represent a complete picture of the institution's anticipated use of projected tuition revenues. For every strategy in 3A and every item in 3B of the plan, the total amount and the sum of the reallocation and tuition revenue should equal one another. Two additional rows, "Anticipated Nongeneral Fund Carryover" and "Nongeneral Fund Revenue for Current Operations" are available for an institution's use, if an institution cannot allocated all of its tuition revenue to specific strategies in the plan. Also, given the long standing practice that agencies should not assume general fund support for operation and maintenance (O&M) of new facilities, O&M strategies should not be included in an institution's plan, unless they are completely supported by tuition revenue. **Please do not add additional rows to 3B without first contacting Jean Huskey.**

Assuming No Additional General Fund		2020-2021			2021-2022		
Items	Total Amount	Reallocation	Amount From Tuition Revenue	Total Amount	Reallocation	Amount From Tuition Revenue	
Total Incremental Cost from Academic Plan¹	\$1,933,800	\$1,044,100	\$889,700	\$3,318,000	\$1,044,100	\$2,273,900	
2 Increase T&R Faculty Salaries (\$)	\$2,367,900	\$0	\$2,367,900	\$4,806,800	\$0	\$4,806,800	
T&R Faculty Salary Increase Rate(%) ²	3.00%		3.00%	3.00%		3.00%	
3 Increase Admin. Faculty Salaries (\$)	\$1,257,300	\$0	\$1,257,300	\$2,552,400	\$0	\$2,552,400	
Admin. Faculty Salary Increase Rate (%) ²	3.00%		3.00%	3.00%		3.00%	
3 Increase Classified Staff Salaries (\$)	\$283,200	\$0	\$283,200	\$574,900	\$0	\$574,900	
Classified Salary Increase Rate (%) ²	3.00%		3.00%	3.00%		3.00%	
3 Increase University Staff Salaries (\$)	\$723,500	\$0	\$723,500	\$1,468,700	\$0	\$1,468,700	

Part 3: ACADEMIC-FINANCIAL PLAN

William & Mary

Academic and Financial Plan

3A: Six-Year Plan for Academic and Support Service Strategies for Six-year Period (2020-2026)

Instructions for 3A: In the column entitled "Academic and Support Service Strategies for Six-Year Period (2020-2026)," please provide short titles to identify institutional strategies associated with goals in the Virginia Plan. Provide a concise description of the strategy in the Description of Strategy column (column J). Within this column, provide a specific reference as to where more detailed information can be found in the Narrative document. Note the goal(s) with which the strategy is aligned with the Virginia Plan (in particular, the related priority areas) in the VP Goal column and give it a Priority Ranking in column A. Additional information for 2022-2026 should be provided in column K (Two Additional Biennia). Strategies for student financial aid, other than those that are provided through tuition revenue, should not be included on this table; they should be included in Part 4, General Fund Request, of the plan. If an institution wishes to include any information about FTEs or fringe benefit adjustments (using DPB's FY2020 start-up instructions available by the end of May), it should list them as strategies in the Academic Plan not the Financial Plan. Funding amounts in the first year should be incremental. However, if the costs continue into the second year, they should be reflected cumulatively. Additional rows for strategies must be added before the gray line. Please update total cost formulas if necessary. **ASSUME NO ADDITIONAL GENERAL FUND IN THIS WORKSHEET.**

SECTION A: ACADEMIC AND SUPPORT SERVICE STRATEGIES FOR SIX-YEAR PERIOD (2020-2026)										
Priority Ranking	Strategies (Short Title)	VP Goal	Biennium 2020-2022 (7/1/20-6/30/22)						Description of Strategy	Two Additional Biennia
			2020-2021			2021-2022				
			Total Amount	Reallocation	Amount From Tuition Revenue	Total Amount	Reallocation	Amount From Tuition Revenue		
			Concise Information for Each Strategy			Information for 2022- 2026				
	University Staff Salary Increase Rate (%) ²		3.00%		3.00%	3.00%		3.00%		
11	O&M for New Facilities		\$198,200	\$0	\$198,200	\$1,291,900	\$0	\$1,291,900		
1	Add'l In-State Student Financial Aid from Tuition Rev		\$2,216,200	\$0	\$2,216,200	\$4,705,200	\$0	\$4,705,200		
1	Add'l Out-of-State Student Financial Aid from Tuition Rev		\$305,200	\$0	\$305,200	\$625,900	\$0	\$625,900		
	Anticipated Nongeneral Fund Carryover		\$0	\$0	\$0	\$0	\$0	\$0		
12	Nongeneral Fund for Current Operations		\$330,400	\$0	\$330,400	\$1,186,600	\$0	\$1,186,600		
10	Library Enhancement		\$100,000	\$0	\$100,000	\$200,000	\$0	\$200,000		
	Utility Cost Increase		\$0	\$0	\$0	\$0	\$0	\$0		
	Total Additional Funding Need		\$9,715,700	\$1,044,100	\$8,671,600	\$20,730,400	\$1,044,100	\$19,686,300		

Notes:

(1) Please ensure that these items are not double counted if they are already included in the incremental cost of the academic plan.

(2) If planned, enter the cost of any institution-wide increase.

**Part 4: General Fund (GF) Request
William & Mary**

Requesting General Fund Support

Instructions: Indicate items for which you anticipate making a request for state general fund in the 2020-22 biennium. The item can be a supplement to a strategy or item from the academic and financial plan or it can be a free-standing request for which no tuition revenue would be used. If it is a supplement to a strategy or item from the academic and financial plan, then describe in the Notes column how additional general fund will enhance or expand the strategy. Requests for need-based financial aid appropriated in program 108 should be included here. If additional rows are added, please update the total costs formulas.

Priority Ranking	Initiatives Requiring General Fund Support						Notes
	Biennium 2020-2022 (7/1/20-6/30/22)						
	Strategies (Match Academic-Financial Worksheet Short Title)	VP Goal	2020-2021		2021-2022		
			Total Amount	GF Support	Total Amount	GF Support	
1			Continue Expansion of Data Science Major	2,4	\$380,000	\$380,000	\$380,000
2	Expand Student Internship Opportunities	2,4	\$704,300	\$401,900	\$833,900	\$466,700	
3	Faculty Industry-Partner Fellows Program	2,4	\$200,000	\$200,000	\$200,000	\$200,000	
4	O&M for New Facilities	2	\$77,900	\$77,900	\$507,700	\$507,700	
			\$1,362,200	\$1,059,800	\$1,921,600	\$1,554,400	

Part 5: Financial Aid Plan
William & Mary

FINANCIAL AID PLAN

Instructions: Provide a breakdown of the projected source and distribution of tuition and fee revenue redirected to financial aid. To ensure compliance with the state prohibition that in-state students not subsidize out-of-state students and to provide the review group with a scope of the strategy, projections must be made for each of the indicated categories. Please be aware that this data will be compared with similar data provided by other institutional offices in order to ensure overall consistency. (Please do not alter shaded cells that contain formulas.)

Note: If you do not have actual amounts for *Tuition Revenue for Financial Aid* by student category, please provide an estimate. If values are not distributed for *Tuition Revenue for Financial Aid*, a distribution may be calculated for your institution.

Allocation of Tuition Revenue Used for Student Financial Aid

***2018-19 (Estimated)** Please see footnote below.

T&F Used for Financial Aid	Gross Tuition Revenue	Tuition Revenue for Financial Aid (Program 108)	% Revenue for Financial Aid	Distribution of Financial Aid
Undergraduate, In-State	\$66,047,500	\$12,341,300	18.7%	\$20,788,900
Undergraduate, Out-of-State	\$82,384,600	\$15,394,000	18.7%	\$6,946,400
Graduate, In-State	\$12,486,500	\$2,284,500	18.3%	\$1,383,000
Graduate, Out-of-State	\$13,003,500	\$2,379,000	18.3%	\$3,280,500
First Professional, In-State	\$5,573,600	\$1,937,800	34.8%	\$1,720,600
First Professional, Out-of-State	\$15,990,400	\$5,559,600	34.8%	\$5,776,800
Total	\$195,486,100	\$39,896,200	20.4%	\$39,896,200
Total from Tuition & Other NGF Revenue worksheet	\$203,104,300	\$39,896,200	19.6%	
In-State Sub-Total	\$84,107,600	\$16,563,600	19.7%	\$23,892,500

2019-20 (Planned)

T&F Used for Financial Aid	Gross Tuition Revenue	Tuition Revenue for Financial Aid (Program 108)	% Revenue for Financial Aid	Distribution of Financial Aid
Undergraduate, In-State	\$69,266,800	\$13,660,800	19.7%	\$23,276,900
Undergraduate, Out-of-State	\$85,246,900	\$16,812,500	19.7%	\$7,196,400
Graduate, In-State	\$12,887,000	\$2,323,900	18.0%	\$1,383,000
Graduate, Out-of-State	\$12,973,700	\$2,339,600	18.0%	\$3,280,500
First Professional, In-State	\$5,725,400	\$1,946,700	34.0%	\$1,720,600
First Professional, Out-of-State	\$16,325,100	\$5,550,700	34.0%	\$5,776,800
Total	\$202,424,900	\$42,634,200	21.1%	\$42,634,200
Total from Tuition & Other NGF Revenue worksheet	\$209,701,200	\$42,634,200	20.3%	
In-State Sub-Total	\$87,879,200	\$17,931,400	20.4%	\$26,380,500
Additional In-State	\$3,771,600	\$1,367,800	36.3%	\$2,488,000

2020-21 (Planned)

T&F Used for Financial Aid	Gross Tuition Revenue	Tuition Revenue for Financial Aid (Program 108)	% Revenue for Financial Aid	Distribution of Financial Aid
Undergraduate, In-State	\$71,891,800	\$14,671,100	20.4%	\$25,493,100
Undergraduate, Out-of-State	\$89,789,800	\$18,323,600	20.4%	\$7,501,600
Graduate, In-State	\$13,336,800	\$2,310,100	17.3%	\$1,383,000
Graduate, Out-of-State	\$13,586,600	\$2,353,400	17.3%	\$3,280,500
First Professional, In-State	\$5,839,900	\$1,946,700	33.3%	\$1,720,600
First Professional, Out-of-State	\$16,651,600	\$5,550,700	33.3%	\$5,776,800
Total	\$211,096,500	\$45,155,600	21.4%	\$45,155,600
Total from Tuition & Other NGF Revenue worksheet	\$218,372,800	\$45,155,600	20.7%	
In-State Sub-Total	\$91,068,500	\$18,927,900	20.8%	\$28,596,700
Additional In-State	\$3,189,300	\$996,500	31.2%	\$2,216,200
Additional In-State from Financial Plan		\$2,216,200	#DIV/0!	

2021-22 (Planned)

T&F Used for Financial Aid	Gross Tuition Revenue	Tuition Revenue for Financial Aid (Program 108)	% Revenue for Financial Aid	Distribution of Financial Aid
Undergraduate, In-State	\$74,710,200	\$15,661,400	21.0%	\$27,982,100
Undergraduate, Out-of-State	\$96,089,200	\$20,143,000	21.0%	\$7,822,300
Graduate, In-State	\$13,924,800	\$2,288,900	16.4%	\$1,383,000
Graduate, Out-of-State	\$14,445,700	\$2,374,600	16.4%	\$3,280,500
First Professional, In-State	\$5,956,700	\$1,946,700	32.7%	\$1,720,600
First Professional, Out-of-State	\$16,984,600	\$5,550,700	32.7%	\$5,776,800
Total	\$222,111,200	\$47,965,300	21.6%	\$47,965,300
Total from Tuition & Other NGF Revenue worksheet	\$229,387,500	\$47,965,300	20.9%	
In-State Sub-Total	\$94,591,700	\$19,897,000	21.0%	\$31,085,700
Additional In-State	\$3,523,200	\$969,100	27.5%	\$2,489,000
Additional In-State from Financial Plan		\$4,705,200	#DIV/0!	

** Please note that the totals reported here will be compared with those reported by the financial aid office on the institution's annual S1/S2 report. Since the six-year plan is estimated and the S1/S2 is "actual," the numbers do not have to match perfectly but these totals should reconcile to within a reasonable tolerance level. Please be sure that all institutional offices reporting tuition/fee revenue used for aid have the same understanding of what is to be reported for this category of aid.*

Part 6: Economic Development Annual Report for 2018-19
William & Mary

ECONOMIC DEVELOPMENT: CONTRIBUTIONS (HB515; which was enacted as Chapter 149, Virginia Acts of Assembly, 2016 Session)

Requirement: As per § 23.1-306 (A) of the Code of Virginia each such plan and amendment to or affirmation of such plan shall include a report of the institution's active contributions to efforts to stimulate the economic development of the Commonwealth, the area in which the institution is located, and, for those institutions subject to a management agreement set forth in Article 4 (§ 23.1-1004 et seq.) of Chapter 10, the areas that lag behind the Commonwealth in terms of income, employment, and other factors.

Instructions: The reporting period is FY19. **THE REPORT IS NOT DUE UNTIL OCTOBER 1.** The metrics serve as a menu of items that institutions should respond to as applicable and when information is available to them. Leave fields blank, if information is unavailable. (Please do not alter shaded cells that contain formulas.) Please note the narrative question at the bottom of the page. The response should be provided in the separate Narrative document, Section J.

6A: Provide information for research and development (R&D) expenditures through June 30, 2019 by source of fund with a breakdown by Science and Engineering (S&E) specific and non-S&E. (Definition: The response is an unaudited version of the data to be submitted to the NSF Higher Education R&D [HERD] Survey in early 2020.)

VA PLAN Strategy Reference	6A: Research and Development (R&D) Expenditures by Source of Fund	*S&E	Non S&E	Total
	Source of Funds			
4.3	Federal Government	\$14,436,230	\$3,730,142	\$18,166,372
	State and Local Government	\$1,283,408	\$264,519	\$1,547,928
	Institution Funds	\$2,399,905	\$281,520	\$2,681,425
	Business	\$1,568,186	\$242,297	\$1,810,483
	Nonprofit Organizations	\$2,414,941	\$145,757	\$2,560,697
	All Other Sources	\$181,875	\$405,336	\$587,211
	Total	\$22,284,545	\$5,069,571	\$27,354,116

* S&E - Science and Engineering

6B: For the following items, provide responses in appropriate fields. Insert an X for yes/no responses. Use Number/Amount field for other information. A Comments field has been provided for any special information your institution may want to provide.

VA PLAN Strategy Reference	6B: General Questions	Yes	No	Number/Amount	Comments
4.1	1. Does your institution offer an innovation- or entrepreneurship-themed student living-learning community (student housing)?		X		
4.1	2. Does your institution offer startup incubation/accelerator programs? If yes, please comment if people/companies external to the institution can access them and, if so, how. (Definition: Incubation or accelerator programs are structured multi-week or multi-month programs for which a cohort of start-up companies are chosen; includes mentoring and connections to investors)		X		We had substantial ad-hoc venture support through our programming and resources including mentorship and connections in 2018-2019 but not a formal cohort-based incubator program. This will change in 2019-2020 with our management of the regional Launchpad Incubator.
4.2	3. Does your institution have an entrepreneurship center? If yes, please comment if people/companies external to the institution can access it and, if so, how.	X			We have open events as well as "member-only" events. In 2018-2019, our "Innovators Toolkit" series of workshops were open to regional entrepreneurs and local company partners such as Ferguson Ventures.
4.2	4. Does your institution use Entrepreneur(s)-in-Residence? (Definition: EIRS are usually experienced founders of high-growth start-up companies who partner with a university to explore active research projects and seek out opportunities to commercialize the products of research; alternatively, an EIR could be a grad student, post-doc, business major, etc., who assists to evaluate IP and provide assessments of market pull potential, business planning, etc.)		X		
4.1	5. Number of students paid through externally funded research grants or contracts.			358	
4.1	6. Please answer Yes if (i) your institution's written tenure policy specifically mentions the development of intellectual property and/or the commercialization of research; or (ii) the policies of any schools or other divisions mention IP and/or commercialization as a consideration for promotion and tenure; or (iii) the instructions for compiling a P&T portfolio include providing information about patents, licenses, and other commercialization activities? If Yes, please provide a brief explanation in the comments field. If No, use the comments field to describe other ways a promotion and tenure committee might value those contributions, if any.		X		Our policies encourage commercialization insofar as the commercialization of research, especially in certain disciplines, is understood as one indicator of the research's impact.
4.2	7. Does your institution or an affiliated entity offer translational research and/or proof of concept funding? If yes, please provide the dollar amount awarded in FY19 in the number/amount field. In the comments field, please provide the number of grants awarded; additional comments can also be entered if needed.		X		
4.2	8. Does your institution or an affiliated entity offer a seed fund or venture capital fund that awards money to start-ups? If yes, please comment on whether it awards funding only to university-based start-ups or to the general public as well? If yes, please provide dollar amount awarded in FY19 in the number/amount field and the number of awards made in the comments field.	X		750	University only. Small, non-equity, grants - https://millercenter.mason.wm.edu/seed-funding/ , 1 grant made in 2018-2019.

6C: Provide information for federal research and commercialization grants by type, number, and dollar value with a breakdown by college and department. If additional rows are needed, please contact Jean Mottley (jeanmottley@schev.edu) for assistance.

VA PLAN Strategy Reference	6C: Research and Commercialization Grants	No.	\$ Value	College	Department
4.3	SBIR - Small Business Innovation Research	0			
	STTR - Small Technology Transfer Research	0			

6D: The Intellectual Property (IP) section captures information on disclosure, patent, and licensing activities. It is divided into three tables. Tables 1 and 2 capture information regardless of source of funds or nature of entity to whom IP is transferred. Table 3 is required by § 23.1-102 subdivision 2 of the Code of Virginia. It details assignment of IP interests to persons or nongovernmental entities and the value of externally sponsored research funds received during the year from a person or nongovernmental entity by the institution, any foundation supporting the IP research performed by the institution, or any entity affiliated with the institution. Information is sought on research that yields IP regardless of the project's intent. Information is sought about IP transferred as a result of either basic or applied research. Tables 2 and 3 capture separate aggregate data on entities that have a principal place of business in Virginia and those with a principal place of business outside of Virginia.

VA PLAN Strategy Reference	6D: Table 1 - All Activity for FY 2018-19	No.
4.2	1. Number of Intellectual Property disclosures received	10
	2. Number of Provisional Patent Applications filed during the year	8
	3. Number of Patent Applications filed during the year (by type)	
	Design	0
	Plant	0
	Utility	6
	Total	6
	4. Total number of Patent Applications pending (by type)	
	Design	0
	Plant	0
	Utility	20
	Total	20
	5. Number of Patents awarded during the year (by type)	
	Design	0
	Plant	0
	Utility	3
	Total	3

VA PLAN Strategy Reference	6D: Table 2 - All Activity for FY 2018-19	Principal Place of Business in VA	Principal Place of Business Outside VA
4.2	1. Total number of intellectual property licenses executed in FY18-19	2	3
	2. Number of start-ups created through IP licensing in FY18-19	1	1
	3. Amount of licensing revenue in FY18-19 resulting from all intellectual property licenses	0-\$500K	0-\$500K

4. Number of jobs created as a result of university start-ups	0	0
---	---	---

VA PLAN Strategy Reference	6D: Table 3 - Research Supported by Persons or Nongovernmental Entities	Principal Place of Business in VA	Principal Place of Business Outside VA
4.2	1. Value of funds received (not expended) from persons or nongovernmental entities to support research	\$0	\$0
	2. Number of patents awarded during the year (by type) developed in whole or part from research projects funded by persons or nongovernmental entities:	This is a subset of Table 1, #5.	
	a. Design Patent	0	0
	b. Plant Patent	0	0
	c. Utility Patent	0	0
	d. Total	0	0
	3. Number of assignments of intellectual property interests to persons or nongovernmental entities (definition: "assignment" is the outright conveyance, sale and transfer of the IP, in contrast to "license" of IP rights, which is the contractual permission given to another party to use the IP)	0	0

6E: These items are VCCS specific. Please provide responses in appropriate fields. A Comments field has been provided for any special information the VCCS may want to provide.

VA PLAN Strategy Reference	6E: General Questions - VCCS Specific	Number	Comments
4.1	1. Number of training programs leading to workforce certifications and licensures.		
	2. Number of students who earned industry recognized credentials stemming from training programs.		
	3. Number of industry-recognized credentials obtained, including certifications and licenses.		
	4. Number of Career/Technical Education certificates, diplomas and degrees awarded that meet regional workforce needs.		

NARRATIVE REQUIREMENT (Section J):

Contributions to Economic Development – Describe the institution’s contributions to stimulate the economic development of the Commonwealth and/or area in which the institution is located. *If applicable*, the information should include:

- University-led or public-private partnerships in real estate and/or community redevelopment.
- State industries to which the institution’s research efforts have direct relevance.
- High-impact programs designed to meet the needs of local families, community partners, and businesses.
- Business management/consulting assistance.