

**Academic Unit Name: COLLEGE OF ARTS AND SCIENCES**

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

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

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

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

**If you have a new recommendation, please use the “Tuition Rec Worksheet” tab** of the “FY17 Academic Budget Worksheets & References” [Excel workbook](#) to identify your new proposal.

As always, **if your recommendation involves creating a new tuition category**, please be sure to identify the original tuition category, the proposed category and a suggested tuition rate for FY17. If you plan to move only a subset of your programs into a new category, please identify those programs by major name, pathway, level and type.

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Because the Legislature has already set resident undergraduate tuition rates for FY 17, we are not recommending any changes to the Legislature’s decision. Non-resident undergraduate tuition is set by the Board of Regents upon recommendation by the President and Provost. We believe that these tuition rates are competitive with our national peers and should remain so.

We are not requesting any new tuition categories. All our graduate students pay tuition at the Tier 1 rate. We are not recommending that the Tier 1 rate be increased.

2. Though the Provost will soon be announcing requirements for FY17 merit increases, **please tell us how your unit plans to deploy funds for merit increases and unit adjustments in FY17**. A salary and tuition revenue model WILL BE available on the [FY17 budget development website](#) by October 26; this model is designed to give you a sense of the magnitude of the support that will be required at various salary percentage increases.
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The College of Arts and Sciences has set aside the necessary funds to fund planned merit increases for faculty, professional staff and classified staff for FY 17.

We have also set aside approximately \$300,000 to fund a hoped-for unit adjustment directed specifically at lecturers, senior lecturers, and principal lecturers. These plans have been discussed with our Elected Faculty Council, and will be more fully worked out in consultation with the EFC during winter quarter, preparatory to submitting these plans to the Provost and the Senate Committee on Planning and Budgeting.

3. As you may recall, last summer, the UW was the sole subject of a state-required audit of net operating fee (tuition) and local fund accounts. This audit reinforced the importance of monitoring expenditures against budgets on a biennial basis, ensuring that academic and administrative units have plans to spend fund balance in a reasonable and mission-driven manner and that these plans are acted upon.

As such, we ask that academic units **provide itemized obligations against fund balance** (as estimated by OPB for the close of FY15, going into FY16) using the **“Carryover Worksheet”** tab of the **“FY17 Academic Budget Worksheets & References”** [Excel workbook](#). Please be as specific as possible.

- In the space below, **please indicate what your unit will do to contribute to an overall decline in the UW’s fund balance**. If your unit has no fund balance, or a negative balance, you need not answer this question.
  - If you would like to describe any items from the worksheet in greater detail, please use the space below.
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Please see the attached EXCEL worksheet. We anticipate that our FY 16 general reserves of \$18.9M (a sum which represents approximately 9.5% of our \$198M annual budget) will be reduced by \$6M to \$7M during FY 16 as a result of imbalances between current revenues and expenditures at the College level. Further reductions in general reserves are anticipated in FY 18 and FY 19. Departmental general reserves of \$1.4M are already very small, and unlikely to decline further. The remainder of our carryover fund balances are already committed to specific purposes, but have not yet been expended. They are thus “balances” and NOT “reserves”. We do not expect these “already committed” fund balances to decline significantly in FY 17 or subsequently. Although some of the specific commitments (for start-ups, for example) will be paid, new such commitments will arise at approximately the same level.

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

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

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We are not requesting any Provost Reinvestment Funds for FY 17.

5. **Please confirm that faculty councils – and, to whatever extent may be possible, student leaders – within your unit/campus have been consulted** as part of this budget planning exercise and given the opportunity to provide input. To confirm this, please do one of the following:
- Briefly describe who was consulted and when, and provide a point of contact for your faculty council.
- OR**
- Include a signed letter from your faculty council chair (a scanned PDF is fine) when you submit the rest of your materials.
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Our Elected Faculty Council (Professor Michael McCann, Chair) was consulted at its regularly scheduled meeting on November 16<sup>th</sup> about this budget submission. The EFC also discussed the College budget in detail at its first two meetings of the fall quarter. Professor McCann can be contacted at [mwmccann@uw.edu](mailto:mwmccann@uw.edu)

The Arts and Sciences Advisory Committee for Students (ASACS: Dilkaranjot Grewal, Chair) was also consulted on this budget submission at its regularly scheduled meeting on November 20<sup>th</sup>. Mr. Grewal can be contacted at [dkjgrewal@gmail.com](mailto:dkjgrewal@gmail.com) ASACS members also received two lengthy briefings on the College budget at their initial meetings in October.

## Academic Unit Carryover Usage Plan

Unit name: College of Arts and Sciences

Carryover going into FY16: **68,095,661**

*Please feel free to add rows, as needed.*

*PLEASE NOTE: You are not expected or required to have carryover line items for each Expense Category.*

Expense Category	Description	Amount
<b>General Reserves/Uncertainty</b>	<i>Description</i>	<i>amount</i>
	<i>General Reserve - 9.5% of total College GOF/RCR budget of 198M</i>	\$ 18,900,354
	<i>Arts Divisional Total</i>	\$ 12,501
	<i>Humanities Divisional Total</i>	\$ 41,192
	<i>Natural Sciences Divisional Total</i>	\$ 821,955
	<i>Social Sciences Divisional Total</i>	\$ 517,303
		\$ -
<b>Education Initiatives</b>	<b>Description</b>	<b>Amount</b>
	<i>Arts Divisional Total</i>	\$ 30,513
	<i>Natural Sciences Divisional Total</i>	\$ 116,872
	<i>Social Sciences Divisional Total</i>	\$ 52,500
<b>Equipment</b>	<b>Description</b>	<b>Amount</b>
	<i>Arts Divisional Total</i>	\$ 10,000
	<i>Humanities Divisional Total</i>	\$ 12,861
	<i>Natural Sciences Divisional Total</i>	\$ 367,500
	<i>Social Sciences Divisional Total</i>	\$ 15,000
		\$ -
<b>Facility/Space Investments</b>	<b>Description</b>	<b>Amount</b>
	<i>Dean Facility Support to Departments</i>	346,000
	<i>Arts Divisional Total</i>	\$ 176,362
	<i>Humanities Divisional Total</i>	\$ 86,000
	<i>Natural Sciences Divisional Total</i>	\$ 535,092
	<i>Social Sciences Divisional Total</i>	\$ 21,000
<b>Faculty Start-Up Expenses</b>	<b>Description</b>	<b>Amount</b>
	<i>(Please indicate # of FTE) Dean's Office Future faculty start-ups in FY17</i>	\$ 2,000,000
	<i>Arts Divisional Start-Up Support Balances, 14 FTE</i>	\$ 155,048
	<i>Humanities Divisional Start-Up Support Balances, 12 FTE</i>	\$ 77,500
	<i>Nat. Sci. Divisional Start-Up Support Balances, 74.67 FTE</i>	\$ 12,637,257
	<i>Soc. Sci. Divisional Start-Up Support Balances, 49 FTE</i>	\$ 922,745
<b>Professional Development</b>	<b>Description</b>	<b>Amount</b>
	<i>Humanities Divisional Total</i>	\$ 21,992
	<i>Natural Sciences Divisional Total</i>	\$ 190,161
	<i>Social Sciences Divisional Total</i>	\$ 109,953
<b>Recruitment</b>	<b>Description</b>	<b>Amount</b>
	<i>Arts Divisional Total</i>	\$ 13,500
	<i>Natural Sciences Divisional Total</i>	\$ 36,500
	<i>Social Sciences Divisional Total</i>	\$ 80,000
<b>Research Initiatives</b>	<b>Description</b>	<b>Amount</b>
	<i>Dean's Office Non-grant research support</i>	\$ 423,458
	<i>Dean's Office Bridge Fund Program</i>	75,000
	<i>Dean's Office Research Support to selected units (Retention)</i>	785,000
	<i>Arts Divisional Total</i>	\$ 22,185
	<i>Humanities Divisional Total</i>	\$ 9,536
	<i>Natural Sciences Divisional Total</i>	\$ 4,215,827
<i>Social Sciences Divisional Total</i>	\$ 1,410,301	
<b>Temporary Salaries</b>	<b>Description</b>	<b>Amount</b>
	<i>Hourly Employees</i>	\$ 70,951
	<i>On-Line Course instructional costs FY16</i>	\$ 1,300,000
	<i>Staff</i>	\$ 2,569,735
	<i>Temp Instruction FY16 Total</i>	\$ 6,663,270
<b>Other</b>	<b>Description</b>	<b>Amount</b>
	<i>DEAN: College and Divisional Reserves distributed to departments in FY16</i>	\$ 5,776,421
	<i>DEAN: FY15 ISS Deficit and On-Line course deficit</i>	\$ 1,191,459
	<i>DEAN: Operation costs for College Advancement and Mar/Comm Groups</i>	\$ 266,000
	<i>DEAN: VRI</i>	\$ 500,000
	<i>Dean's Office Committed grant matches in future</i>	\$ 1,136,188
	<i>Arts Divisional Total</i>	\$ 17,572
	<i>Humanities Divisional Total</i>	\$ 97,209
	<i>Natural Sciences Divisional Total</i>	\$ 3,438,359
<i>Social Sciences Divisional Total</i>	\$ 24,188	
<b>TOTAL</b>		<b>\$ 68,300,318</b>