

Academic Unit Name: Arts & Sciences

Please complete this Word document and the accompanying Excel workbook (both of which were provided to your unit via email), and submit them to the Office of Planning & Budgeting (OPB) on or before **Friday, November 18**. Please email your materials to [Becka Johnson Poppe](#).

1. In the **“Planned Expenditures”** tab of the Excel workbook, please:
 - a) Describe what your unit (school, college, or campus) is doing to **pursue excellence within existing resources**;
 - b) Describe what your unit is doing to **streamline activities, and pursue additional efficiencies**; and,
 - c) Provide information regarding your unit’s **projected FTEs and planned expenditures for FY17 and FY18**:
 - i) When reporting FTE, please assume that 1.0 FTE faculty is equivalent to a nine-month appointment, and 1.0 FTE staff is equivalent to a twelve-month appointment. If this is problematic for any reason, you may report FTE in different terms, but please clearly state your assumptions.
 - ii) Expenditure estimates should be broken down by:
 - *Fund type*: permanent ABB funds (i.e. GOF and DOF, excluding carryover) and, if applicable, funds derived from self-sustaining efforts, grants and contracts, philanthropy, and other sources.
 - *Expenditure type*: salaries and benefits, goods and services, contractual services, travel, and other.
 - iii) Please describe any assumptions you are making in your response, such as those related to the availability of state or federal funding or projections based on the first complete month of expenditures in FY17, etc. Also, please explain the “other” category, if you put expenses into that column.

For guidance, please see the example posted at the [FY18 Budget Development webpage](#).

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2. Using the “**Tuition Recommendations**” tab of the Excel workbook, please provide your **tuition rate recommendations for 2017-18 (FY18) and 2018-19 (FY19)**.¹ Please note that units will have an opportunity to revisit their 2018-19 tuition recommendations during the FY19 unit budget process.

As always, **if your recommendation involves creating a new tuition category**, please be sure to identify the original tuition category, the proposed category and suggested tuition rates for FY18 and/or FY19 (depending on the year the new category would begin). 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.

For each recommended tuition increase, please provide the following information in 500 words or fewer (total):

- Please provide information to justify the increase. This can include information about enrollment plans, peer comparisons, and/or market analyses. Please include information about how the incremental revenue generated will be spent by the school/college/department.

It is our understanding that all of the state’s institutions of higher education will be requesting a 2% increase in resident undergraduate tuition. This is our recommendation also. The costs of delivering a high-quality, accessible education continue to rise, in Arts and Sciences as across the entire University of Washington. Salary costs are a particular “cost driver”, as the vast majority of our budget is devoted to salary costs. Any incremental revenue arising from a tuition increase will go to meeting the rising costs of salaries.

- Please describe whether you expect any substantial enrollment changes (including a change in the resident/nonresident composition) or any changes in the waivers likely to be awarded to your unit’s students.

We expect no substantial enrollment changes in the College of Arts and Sciences. Graduate enrollments will be stable, or may even decrease slightly. These we do control, albeit at the level of individual departments. We do not control the size of our undergraduate student body. Admissions decisions are made at the central administration level.

- Discuss the impact on student debt load.

The impact on student debt load of a 2% increase in resident undergraduate tuition should be very modest. Such an increase would be slightly less than the statewide increase in the state median family wage, based on a 15 year rolling average, which is the metric the Legislature has established for such increases. Average UW student debt loads are, at present, among the lowest in the country. We do not expect this to change as a result of a 2% tuition hike.

- Confirm (yes/no) that tuition recommendations were discussed with students.²

Yes, this tuition recommendation was discussed with the Arts and Sciences Advisory Council for Students on November 18, and will be discussed again on December 2nd. The ASACS recommendation, when completed, will be communicated to OPB separately from this document.

¹ Please note rate recommendations for *fee-based* programs are handled through a separate process than tuition-based programs.

² If the meeting schedules of faculty and student leadership groups present a challenge, please make accommodations to get approval within the necessary timeframe. However, please note that OPB reviews tuition recommendations on a monthly basis. If necessary, you may submit an update to OPB at a later date, after faculty and students have had an opportunity to review.

3. A number of variables (e.g. the outcome of the 2017 legislative session) will heavily influence the availability of funds for FY18 merit increases and unit adjustments. Despite these unknowns, planning for compensation increases has no doubt begun already. **Please describe how your unit plans to deploy existing resources, establish new revenue streams, and/or pursue additional efficiencies to support merit increases and unit adjustments in FY18.** If tuition increases are a critical aspect of your plan, please make sure to contemplate potential new revenue streams or increased efficiencies. *Please respond in 300 words or fewer.*

A salary and tuition revenue model will be available on the [FY18 Budget Development webpage](#) by **Tuesday, November 1**. This model is designed to give you a sense of the magnitude of support that will be required at various salary percentage increases.

A 1% hike in resident undergraduate tuition yields approximately \$1.3M to CAS under the ABB budget algorithm, presuming that SCH and degrees granted remain stable. A 1% increase in faculty and professional staff salaries costs CAS approximately \$1.4M. Classified staff salaries and ASE salaries are not included in these calculations.

At the College level, we have no other revenue sources of any consequence apart from tuition. Costs of salary increases will be met by increased tuition (should that be approved); by drawing down reserves; and by redeploying existing resources.

4. In-depth conversations about academic personnel needs and policies will occur in other settings throughout the year. However, since such needs and policies are inextricably linked to budgeting, **please provide a high-level overview of your unit's emerging or changing personnel needs.** In your response, please contemplate faculty, including lecturers, and staff. *Please answer in 300 words or fewer.*

At your unit's meeting with the Provost, **please be prepared to discuss** your unit's succession planning activities and adherence to the [instructional responsibility policy](#), the Provost's [guidelines for appointment of full-time and part-time lecturers](#), and faculty compensation policies.

As is true nationally, so too at UW, our faculty demographic profile continues to age. We see the consequences of this in many ways, including the increasing difficulty of recruiting new chairs and other departmental-level faculty administrators. But we have little or no ability to alter this profile. With very limited hiring over the next several years due to budgetary constraints, the average age of our faculty will almost certainly continue to increase.

We believe that our current ratios of lecturers to tenure-stream faculty are appropriate, and do not anticipate these changing significantly over the next several years.

The demands upon department-level administrative staff are increasing significantly, and we do anticipate that over the next several years quite a number of department administrators are likely to retire.

5. **Please identify any significant obstacles or challenges** that your unit faces, other than resource constraints. **Please plan to discuss these with the Provost.** If applicable, please summarize any operational risks that, from your perspective, the UW must work to mitigate over time. *Please answer in 300 words or fewer.*
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We continue to deal with the consequences of the striking enrollment shifts in student enrollment patterns that have occurred since 2008. We may be starting to see some slowdown in the rate of increase in student numbers in our natural science departments, but it is still too soon to tell whether this is a perturbation or a longer-term trend. The growing number of professional schools launching or planning to launch undergraduate degree programs also pose challenges to us, as these are likely to reduce even further student enrollments in CAS subject areas that have already seen sharp declines in student numbers.

6. What is your unit doing to promote and engage in **new research and educational collaborations with other UW schools, colleges, and campuses?** *Please answer in 200 words or fewer.*
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The College of Arts and Sciences has for long had research and teaching collaborations with almost every other School or College on the Seattle campus. Many of our faculty hold joint appointments in other units. We provide much of the teaching for students majoring in Engineering, Business, Environment, and Public Health, among others. Over the past year, we have signed new agreements with the College of the Environment concerning Pack Forest and a new Curator of Fish for the Burke Museum. We are partnering with Engineering on new research initiatives, including a MURI proposal, involving materials science, electrical engineering, and the physics of condensed matter. We are in the midst of negotiating new agreements with four other schools or colleges whose faculty rely upon the services provided to them by our Center for Studies in Demography and Ecology.

7. Please **update the carryover usage plan you submitted as part of last year’s budget development process**. To do so, please complete the **“Updated Carryover Usage Plan”** tab of the Excel workbook. Please note:
- Your worksheet is pre-populated with the carryover usage plan you submitted last year and new estimated carryover totals.³
 - Please provide updated numbers under "Updated Plan" (Column F).
 - If you have new line items, please add rows, as needed.
 - For any major updates, please provide a brief description of the change (Column G).

Please note, although cost allocations for the HR/Payroll Modernization Program won’t be available until the new system goes live, units are encouraged to incorporate the original allocations (from the HR/Payroll Cost Allocation plan) into their carryover spending plans. For units that made prepayments, all funds have been held in reserve, and will be applied to your future cost allocations.

If you would like to describe any items from the worksheet in greater detail, please use the space below. For **additional guidance**, please see the example posted at the [FY18 Budget Development webpage](#).

If your unit has a **deficit** instead of a carryover, please confirm that you have an updated deficit mitigation plan in place with OPB. If you do not, please explain why.

8. For FY18, the Provost will be deploying *permanent* Provost Reinvestment Funds (PRF) primarily, if not exclusively, to cover compensation increases. Thus, **units are asked to limit PRF requests to temporary funding needed to address critical compliance and/or high institutional priority needs**.⁴

If your unit has a PRF request that fits within these strict parameters, please describe it in the **“PRF Request”** tab of the Excel workbook. Please also indicate what resources you are willing to commit as a match for PRF support.

We are not requesting any Provost Reinvestment Funds.

³ As a reminder, carryover balances are calculated at the end of each biennium and can only be *estimated* mid-biennium.

⁴ Please refer to the University’s [Sustainable Academic Business Plan](#) for more information about top institutional goals.

9. **Please confirm that faculty councils AND student leaders within your unit/campus have been consulted** and given the opportunity to provide input as part of this budget planning exercise.

To confirm this, please do **one** of the following:

- Briefly describe who was consulted and when, and provide points of contact for your faculty council and student leadership.
- OR**
- Include signed letters from your faculty council chair and student leadership (a scanned PDF is fine) when you submit the rest of your materials.
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The Arts and Sciences (Elected) College Council discussed the College's overall budget situation in detail on October 10 and October 17. This budget submission was discussed with them on December 4th. Point of Contact for the Council is its Chair, Professor Barbara Wakimoto (wakimoto@uw.edu).

The Arts and Sciences Advisory Council for Students discussed the College's overall budget situation on October 14 and October 21. This submission was discussed with them on December 2nd. Point of Contact for ASACS is its Chair, Barrie Sue Sugarman (bsugar67@uw.edu)

FY17 & FY18 Planned Expenditures - Academic Units

Please use the fields below to provide information for your school, college or campus.

For guidance, please see the example posted at the FY18 Budget Development webpage: <http://opb.washington.edu/fy18-unit-budget-development>

BT = Budget Type OC = Object Code

NAME OF AREA: College of Arts & Sciences						
<i>We are focusing the College's hiring on targeted areas of excellence, while limiting the overall number of new hires. We continue to build upon the intellectual connections that unite our four divisions. We are working hard to retain top faculty, and to recruit the very best new faculty to join us. Because advising is critical to undergraduate academic success, we continue to look carefully at our deployment of advising resources within the College, to ensure that students receive the advising help they need. We are also doing all we can to support our Advancement team and volunteers in the ongoing capital campaign.</i>						
<i>We have developed a new online introductory Humanities course, which will debut in Winter Quarter 2017, and continue to evaluate the success of our online calculus offerings. We continue to reallocate temporary instructional funds to areas of greatest student demand, in order to ensure that students can graduate in a timely manner. Our building projects (Denny Hall and Life Sciences Building) are on time and on or under budget, as a result of continuing efforts to monitor expenditures. We are also working with Admissions and with faculty representatives to ensure access for students who wish to attend UW to study areas in which we currently have capacity to teach more students.</i>						
FISCAL YEAR 2017						
Fund Source	FTE	Projected Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)	1592.00	\$ 182,000,000	\$ 9,200,000	\$ 310,000	\$ 1,200,000	\$ -
Self-Sustaining Funds (BT 10, 11)	132.00	\$ 9,000,000	\$ 4,900,000	\$ 1,000,000	\$ 475,000	\$ (700,000)
Grants & Contracts (BT 05)	525.00	\$ 45,000,000	\$ 31,000,000	\$ 1,100,000	\$ 3,200,000	\$ 1,600,000
Philanthropy, or Gifts & Discretionary (BT 06)	144.00	\$ 41,000,000	\$ 4,800,000	\$ 1,000,000	\$ 1,800,000	\$ 3,700,000
Total	2393.00	\$ 277,000,000	\$ 49,900,000	\$ 3,410,000	\$ 6,675,000	\$ 4,600,000
FISCAL YEAR 2018						
Fund Source	FTE	Planned Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)	1582.00	\$ 188,000,000	\$ 10,300,000	\$ 315,000	\$ 1,300,000	\$ -
Self-Sustaining Funds (BT 10, 11)	132.00	\$ 9,270,000	\$ 5,000,000	\$ 1,010,000	\$ 480,000	\$ (700,000)
Grants & Contracts (BT 05)	525.00	\$ 46,000,000	\$ 32,000,000	\$ 1,100,000	\$ 3,300,000	\$ 1,700,000
Philanthropy, or Gifts & Discretionary (BT 06)	144.00	\$ 42,000,000	\$ 5,000,000	\$ 1,000,000	\$ 1,800,000	\$ 3,700,000
Total	2383.00	\$ 285,270,000	\$ 52,300,000	\$ 3,425,000	\$ 6,880,000	\$ 4,700,000
<i>Other category includes graduate tuition for BT 05 and 06; includes revenue collected BT 10, 11; Assumes a 3% salary increase in FY18</i>						

Updated Carryover Usage Plan - Academic Units

Please use this template to provide an update on the carryover usage plan you submitted last year.

INSTRUCTIONS: Please do not change the numbers under "Previous Plan" (Column D). Instead, please provide updated numbers under "Updated Plan" (Column F). If you have new line items, please add rows, as needed. For any updates, please provide a brief description of the change (Column G). As a reminder, you are not expected or required to have carryover line items for each Expense Category. See the Word template for notes regarding HR/Payroll cost allocations.

For additional guidance, please see the example posted at the FY18 Budget Development webpage: <http://opb.washington.edu/fy18-unit-budget-development>

	Carryover Balance going into FY16:	Est. Carryover going into FY17:	
Unit: College of Arts & Sciences	\$ 68,095,661	\$ 73,115,990 *	
Expense Categories & Descriptions	Previous Plan DO NOT UPDATE	Updated Plan PLEASE COMPLETE	Explanation of Changes/Updates
General Reserves/Uncertainty			
General Reserve - 9.5% of total College GOF/RCR budget of 198M	\$ 18,900,354	\$ 18,770,246	
Arts Divisional Total	\$ 12,501	\$ 29,461	Units re-prioritize funds
Humanities Divisional Total	\$ 41,192	\$ 103,038	Units re-prioritize funds
Natural Sciences Divisional Total	\$ 821,955	\$ 870,649	Units re-prioritize funds
Social Sciences Divisional Total	\$ 517,303	\$ 535,379	Units re-prioritize funds
Education Initiatives			
Arts Divisional Total	\$ 30,513	\$ 28,431	
Natural Sciences Divisional Total	\$ 116,872	\$ 251,600	new initiatives in FY17
Social Sciences Divisional Total	\$ 52,500	\$ 68,720	new initiatives in FY17
Humanities Divisional Total		\$ 19,698	new initiatives in FY17
Equipment			
Arts Divisional Total	\$ 10,000	\$ -	
Humanities Divisional Total	\$ 12,861	\$ 10,000	
Natural Sciences Divisional Total	\$ 367,500	\$ 96,072	
Social Sciences Divisional Total	\$ 15,000	\$ 17,201	new equipment in FY17
Dean Support for Servers moving to Tower		\$ 500,000	new in FY17
Facility/Space Investments			
Dean Facility Support to Departments	\$ 346,000	\$ 1,121,000	
Arts Divisional Total	\$ 176,362	\$ 79,472	
Humanities Divisional Total	\$ 86,000	\$ 77,095	
Natural Sciences Divisional Total	\$ 535,092	\$ 62,435	
Social Sciences Divisional Total	\$ 21,000	\$ 15,000	
New Burke Support		\$ 2,500,000	
Faculty Start-Up Expenses			
Dean's Office Future faculty start-ups in FY17	\$ 2,000,000	\$ 1,000,000	
Arts Divisional Start-Up Support Balances, 14 FTE	\$ 155,048	\$ 115,019	Start-Up balances for 17 FTE
Humanities Divisional Start-Up Support Balances, 12 FTE	\$ 77,500	\$ 171,500	Start-Up balances for 9 FTE
Nat. Sci. Divisional Start-Up Support Balances, 74.67 FTE	\$ 12,637,257	\$ 11,769,825	Start-Up balances for 88.67 FTE
Soc. Sci. Divisional Start-Up Support Balances, 49 FTE	\$ 922,745	\$ 891,090	Start-Up balances for 53 FTE
Professional Development			
Humanities Divisional Total	\$ 21,992	\$ 7,000	
Natural Sciences Divisional Total	\$ 190,161	\$ 141,625	
Social Sciences Divisional Total	\$ 109,953	\$ 80,290	
Recruitment			
Arts Divisional Total	\$ 13,500	\$ -	
Natural Sciences Divisional Total	\$ 36,500	\$ 45,500	
Social Sciences Divisional Total	\$ 80,000	\$ 18,500	
Humanities Divisional Total		\$ 1,831	new in FY17
Research Initiatives			
Dean's Office Non-grant research support	\$ 423,458	\$ 309,164	
Dean's Office Bridge Fund Program	\$ 75,000	\$ 47,832	
Dean's Office Research Support to selected units (Retention)	\$ 785,000	\$ 1,583,663	
Arts Divisional Total	\$ 22,185	\$ 9,407	
Humanities Divisional Total	\$ 9,536	\$ 5,358	
Natural Sciences Divisional Total	\$ 4,215,827	\$ 3,339,309	
Social Sciences Divisional Total	\$ 1,410,301	\$ 1,280,858	
Student Aid & Waivers			
Temporary Salaries			
Hourly Employees	\$ 70,951	\$ 36,500	
On-Line Course instructional costs FY16	\$ 1,300,000	\$ 187,200	
Staff	\$ 2,569,735	\$ 2,310,564	
Temp Instruction FY16 Total	\$ 6,663,270	\$ 5,452,000	
FY16 Funds Departments designated for use in FY17		\$ 4,356,178	new in FY17
Other (Please be specific)			
DEAN: College and Divisional Reserves distributed to departments in FY16	\$ 5,776,421	\$ 6,900,000	
DEAN: FY15 ISS Deficit and On-Line course deficit	\$ 1,191,459	\$ 2,200,000	
DEAN: Operation costs for College Advancement and Mar/Comm Groups	\$ 266,000	\$ 1,932,734	includes salaries for FY17
DEAN: VRI	\$ 500,000	\$ 1,200,000	
Dean's Office Committed grant matches in future	\$ 1,136,188	\$ 286,070	
Arts Divisional Total	\$ 17,572	\$ -	
Humanities Divisional Total	\$ 97,209	\$ 103,691	
Natural Sciences Divisional Total	\$ 3,438,359	\$ 2,111,544	
Social Sciences Divisional Total	\$ 24,188	\$ 66,151	
TOTAL	\$ 68,300,318	\$ 73,115,990 **	

* As a reminder, carryover balances are calculated at the end of each biennium and can only be *estimated* mid-biennium.

** Because carryover balances are estimated and many of these priorities transcend multiple years, we do not expect this total to exactly match your unit's carryover total.