

**Academic Unit/Campus 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 **Thursday, February 1, 2018**.

Please email your materials to [Jason Campbell](#).

Please note that the responses you provide in this Word document **will** be posted to the OPB website.

**1. What is the academic vitality of your school, college or campus?**

Please provide both quantitative and qualitative information, leveraging published materials and [previous submissions](#) where possible. In your response to this question, you may wish to include responses to some or all of the following prompts. Please note that these are suggestions, not requirements.

- What are the top 3-5 **strategic goals** of your unit? Could any of these goals increase expenditures or decrease revenue for other units?
- What are your unit's **faculty** hiring trends from the last 2-3 years and faculty hiring expectations for the next 2-3 years? (you may provide information by department, if relevant)
- What are your unit's **student**-related initiatives, trends, or goals? (E.g. Curriculum innovation, student engagement in the Husky Experience, trends in your student credit hour production)
- What has your college done in relation to key **university initiatives**? (E.g. [Population Health](#), [Race and Equity Initiative](#), [Husky Experience](#), [Transforming Administration Program](#))

Please respond in 500 words or fewer and please use bullets, rather than dense prose.

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Strategic Goals:

- 1) To provide a broad, deep, and inclusive arts and sciences education to all of our students.
- 2) To build, support, and maintain a world-class faculty.
- 3) To return the finances of the College to a balance between receipts and expenditures.
- 4) To maintain and enhance the diversity of our faculty, staff, and student body.
- 5) To maintain and enhance our role as a leading research institution.
- 6) To continue to be the intellectual hub that connects the other UW Schools and Colleges to each other.

Faculty Hiring Trends

Because personnel costs have been growing by approximately 5%/year over the past several years while our revenues have been essentially flat, we have replaced fewer than half of the faculty who have retired from CAS in FY 17 and FY 18. In FY 19, we anticipate a nearly complete hiring freeze, with very limited hiring continuing into FY 20 and FY 21. By FY 21, we expect these cutbacks in hiring to result in a reduction of approximately 75 tenure-stream faculty lines in CAS, from c. 700 to c. 625, a 10% decrease. Cuts of this magnitude undermine our strategic goals (as above), and imperil our capacity to continue to teach the number of students we must teach in order to remain financially viable.

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Because these cuts are being carried out through the non-replacement of faculty who resign or retire, they are falling unevenly upon the various parts of the College. Natural Sciences faculty are experiencing particularly significant reductions in numbers relative to their enrollments.

Smaller faculty numbers make it imperative that we prioritize faculty hires whose scholarship and teaching cross disciplinary divides, and whose appointments will strengthen multiple areas of the College.

#### Student-Related Initiatives

- 1) Direct Freshman Admissions to each of our four Divisions. We anticipate that this will increase the number of students who graduate with an Arts and Sciences degree, while attracting an undergraduate student body that is strongly committed to its intellectual interests.
- 2) C-21, College to Career Programs. Our C-21 team works closely with Career Services to help our students make the transition from school to employment. The Amazon Mentorship Program, which currently places 250 CAS students yearly with an Amazon mentor, is one such effort.
- 3) Curricular innovations. Our departments continue to revamp courses and to create new majors and minors to respond to changing student interests and shifting enrolment patterns.

#### Key University Initiatives

- 1) CAS faculty have been prominent in planning the President's Population Health Initiative.
- 2) We are a leader in the University's ongoing efforts to diversify its faculty.
- 3) TAP: We continue to expand our Shared Services Program, and to cut administrative costs as part of the College's 1.5% reduction in all permanent budgets.
- 4) Husky Experience: College to Career Programs include A&S Career Lab; Transfer Student Career Accelerator; A&S Career Launch Workshops; and the Amazon Mentorship Program noted above.

## 2. What is the fiscal vitality of your school, college or campus?

To answer this question, please complete the following tabs in the Annual Review Excel workbook:

- On the **purple tabs, i.e. the “Fiscal Reports,”** please:<sup>1</sup>
  - Review the prepopulated FY16 and FY17 fields on each fund source tab. The “Fiscal Vitality References and Tools” workbook (described below) provides information to help with this review.
  - Provide full revenue and expenditure plans for FY18, FY19, FY20, and FY21.
  - If there is an area of your unit that you wish to isolate in more detail (i.e. significant departmental self-sustaining, clinical, etc.), feel free to submit an additional fiscal (i.e. dark purple) tab.
  - Enter totals from each of the tabs into the Summary tab.
- On the **“Alternative Assumptions”** tab, please clearly identify and briefly explain any assumptions used in your calculations that are *different* from the Central Budget Assumptions on OPB’s [FY19 Annual Review Materials webpage](#). You are encouraged to refine and adjust the central assumptions, which are (in many cases) general and imperfect.
- On the **“Fiscal Vitality Qualitative Assessment”** tab of the Fiscal Vitality Report Excel workbook, please describe your unit’s overall financial health. If your unit’s fiscal data shows any negative (i.e. financially unhealthy) trends, please propose actions that your unit will take to improve its financial position.

The following resources are available to help you complete this work:

- **“Fiscal Vitality References & Tools” Workbook** (available on the [FY19 Annual Review Materials webpage](#)):
  - FVRowByRowDefinitions Tab: row-by-row general and unit specific parameters used to compile data in the Fiscal Vitality Reports Summary and Fund Source tabs.
  - BgtTypeClassInfo Tab: list of budget types, classes, super classes, family, and community that are referenced in the FVRowByRowDefinitions tab.
  - FVExpendituresPivot and FVBudgetRevenue&CarryoverPivot Tabs: budget number detail supporting the Summary and Fund Source data in the purple tabs of the Annual Review Excel workbook.
- **FY18 GOF/DOF Budget Base:** By November 22, OPB will provide FY18 permanent and temporary budgeted values, as of October 2017 fiscal month end. You can build off these for your FY18 plan, but you will need to adjust for any budget revisions that have occurred (or will occur) since October 2017 fiscal month end.
- **BI Portal Reports** (click on the B.I.Portal link under “Products”): Each report has Overview, Technical Information, and Interpretation tabs that describe the report, what is included in the data, the data sources, and how to use the report. Note, data may differ between reports, but they can still be used as resources.
  - Biennium To Date Budget Balances
  - Remaining Balance by OrgCode and Category
  - Forecasting Template by Fiscal Year and OrgCode (please note, this tool will imperfectly forecast expenditures if units employ fund shifts or cost transfers)
- **Central Budget Assumptions** (mentioned above), which includes additional resources and guidelines.
- **Q&A Sessions on November 28 and 30.** See the [FY19 Annual Review Materials webpage](#) for details.

In completing this work, please consider the tuition rates that you are recommending as part of Question 3.

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<sup>1</sup> Please note that grants, contracts, and gifts are included in the report to provide the Provost with a more holistic view of a unit’s financial activities. The amounts can be reconciled to FAS for biennium 2015-17. However, the grants & contracts amounts will differ from the Annual Report, prepared by the Office of Research. Also, grants, contracts and gifts amounts might differ from the BI Portal “Remaining Balance by OrgCode and Category Report.” In both cases, and possibly with other BI Portal reports, this is due to differences in data elements, context, and reporting period parameters. While the information is not perfect, it is included to facilitate discussions about the unit’s overall financial health.

**3. What are your school, college, or campus's tuition recommendations for 2018-19 (FY19)?**

Using the "Tuition Recommendations" tab of the Excel workbook, please provide tuition rate recommendations for 2018-19 (FY19). For each recommended tuition *increase*, please provide the information outlined below in 500 words or fewer (total). Here are a few notes and reminders:

- In last year's budget process, units submitted *preliminary* FY19 tuition recommendations, along with their FY18 tuition recommendations. You can review last year's submissions at [this webpage](#), along with a summary of FY19 (and FY18) [tuition recommendations](#). You may reuse responses, if they are still relevant.
  - Rate recommendations for **fee-based programs** are handled through a separate process than tuition-based programs. Please see the [Provost's letter](#) to deans and chancellors for more information about that process.
  - The legislature sets resident undergraduate (RUG) tuition rates. OPB anticipates a 2.0 percent RUG tuition increase in FY19.
  - If your recommendation involves creating a **new tuition category**, please be sure to identify the original tuition category, the proposed category and suggested tuition rate for FY19. 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. Please contact Jed Bradley ([jedbrad@uw.edu](mailto:jedbrad@uw.edu)) for instructions on how to modify the "Tuition Recommendations" tab.
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- 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.
  - 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.
  - Discuss the impact on student debt load.
  - Confirm (yes/no) that tuition recommendations were discussed with students.<sup>2</sup> Please discuss your recommendations with students, even if they are the same as the FY19 proposals you submitted last year.

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<sup>2</sup> If the meeting schedules of faculty and student leadership groups present a challenge, please make accommodations to get approval within the necessary timeframe. If necessary, you may submit an update to OPB at a later date, after faculty and students have had an opportunity to review.

4. 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.<sup>3</sup>
  - Please provide updated numbers in the "Updated Plan" column.
  - If you have new line items, please add rows, as needed.
  - For any major updates, please provide a brief description in the “Explanation of Changes/Updates” column.

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 [FY19 Annual Review Materials webpage](#).

Please note:

- 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 contact [Lisa McDonald](#).
  - If you believe the carryover for your unit is negative due to timing and if you anticipate a positive balance soon, please discuss this below and feel free to provide an updated carryover spending plan.
  - Since the Office of the President and the Attorney General’s Office do not retain carryover funds, as a matter of University policy, those two offices are not expected to complete this question.
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5. **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 Advisory Council for Students (ASACS) members were consulted on the Academic Vitality text on January 26<sup>th</sup> at their regular meeting. They have received regular budget updates throughout the year, but we did not review the Financial Vitality section of this report with them. Student contact is the Chair, Sarah Barrie ([sebarrie@uw.edu](mailto:sebarrie@uw.edu)). The College Council also reviewed the Academic Vitality text, and have been regularly consulted on budget matters. With all the promotion cases we have to deal with in January, we did not go over the specific budget numbers in the Fiscal Vitality section with them. There isn’t time. But the Council is fully informed about the general budget position of the College. Contact person is the Chair, Professor Sarah Elwood-Faustino ([selwood@uw.edu](mailto:selwood@uw.edu))

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