UNIVERSITY *of* WASHINGTON

Academic Unit Name: The Information School

*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):

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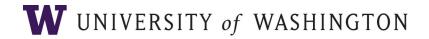
- Please describe whether you expect any substantial enrollment changes (including a change in the resident/nonresident composition) or any changes in the waivers likely to be awarded to your unit's students.

- Discuss the impact on student debt load.

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

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[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.

The iSchool will have sufficient new funding from enrollment and tuition increases to cover expected merit salary increases in FY18 and FY19 of up to 4% for faculty and professional staff, 2-3% for classified staff, 3% for academic student employees, and minimum wage related increases for hourly employees.

Tuition increase estimates for undergraduate and PhD programs are based on the current (November 2016) Planning and Budgeting FY18 tuition revenue model, which indicates positive FY17 ABB true-up and FY18 and FY19 incremental tuition funding increases (from enrollment and tuition changes). The iSchool internal budget modeling includes an assumption that funding will be provided by the Provost and/or state for 2% of GOF salary increases. The School is planning for a 2.6% tuition increase on all fee-based master's degree programs in both FY18 and FY19, which supports expected salary increases costs on fee-based funded positions. This level of tuition increase continues our commitment to iSchool master's students to keep tuition increases below 3% per year while maintaining competitive tuition rates with peer degree programs. iSchool grants and contracts should be able to cover all mandated salary increases as the School has advised PIs to use 4% salary increase in grant proposals.

The iSchool dean and Elected Faculty Council are continuing to assess needs for faculty compression and equity salary adjustments, including individual and possible unit adjustments. If funding in addition to merit increase resources is necessary to make the desired faculty salary adjustments, the iSchool has several options for securing these resources including reducing or delaying replacement of vacant faculty positions and using salary savings or other reserves as bridge funding until future ABB true-up funding for undergraduate enrollment increases is realized. The school also engages in a continual review of staff salaries for equity and competiveness and can make adjustments within existing resources to address any concerns.

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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.

The iSchool engages in a continual process of assessing and adjusting staffing plans, operational budgets and strategic hiring of faculty to address its changing needs.

In terms of faculty hiring, recent academic program growth and vacancies from retirements and other departures have created a need for robust faculty renewal and recruitment in the iSchool. The School has seven open core faculty recruitments this year – three tenure track positions (assistant professor level) and four lecturer positions. Vacancies created by departures in June 2016 and expected retirements will result in at least three additional vacancies by the end of FY17. These changes are reflective of the growth and maturity of the iSchool and provide opportunities for alignment of faculty expertise with cutting-edge and emerging trends in teaching and research in the Information Field. The iSchool may continue to need one to four noncompetitively hired lecturers annually for the next couple of years to fill teaching needs while searches are completed and new faculty ramp up to their full teaching loads.

Current staffing is expected to be optimal for supporting the School for at least the next several years with the exception of possibly needing to adjust support for the undergraduate program minor. With the upcoming move of the iSchool to a single building (in summer 2018), the School will also be assessing the potential for efficiencies with the consolidation of facilities, general operations and administrative support functions.

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.*

The primary challenge facing the iSchool for academic years 2016-17 and 2017-18 is the recruitment and hiring of a new Dean, and a smooth transition and succession of leadership. The Dean has identified outstanding leadership succession as the lens through which key decisions related to diversity, budget, academic program growth, faculty hiring, space planning and fundraising will be appraised during academic year 2016-17. The goal of decisions in these areas and others will be to create a rock-solid foundation for the new iSchool Dean.

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.*

Research Collaborations
The iSchool is promoting and engaging in new research collaborations with other UW units* in the following ways:
– Developing intellectual centers of multidisciplinary collaboration and engagement.
– Providing leadership of multidisciplinary units elsewhere on campus.
– Playing significant roles in and making substantial commitments to multidisciplinary units.
   o Serving on steering committees, working groups and as seminar organizers.
   o Developing affiliations with a wide-variety of centers, labs and programs.
– Partnering on collaborative grant proposals (more than twelve submissions in the last year).
– Providing seed funds to support campus-wide collaborations and investing in cross-campus activities.

Educational Collaborations
The iSchool actively seeks to engage with partners* across campus to expand the range of opportunities for all students, as appropriate to the strengths and interests of our faculty. Specific examples of collaborations include:
– Providing instruction and administrative service and engaging with students in two interdisciplinary graduate degree programs.
– Developing two informal concurrent graduate degree programs.
– Providing a home department to faculty in the Museology degree program; hosting joint offerings for iSchool and Museology students.
– Partnering with the Tacoma and Bothell campuses to create a transcriptable option in Information Assurance and Cybersecurity for undergraduates.
– Exploring developing an option in Biomedical and Health Informatics in collaboration with the School of Medicine.

*Units the iSchool engages with represented in the above examples include: Art, Biology, Center for Human Rights, Center for Communication and Civic Engagement, Center for Statistics and the Social Sciences, Center for Studies in Demography and Ecology, Computer Science and Engineering, Communications, DUB Group, Economics, College of Education, College of the Environment, Evans School, eScience Institute, Human Centered Design and Engineering, Industrial & Systems Engineering, Interactive Data Lab, Jackson School, Law School, UW Libraries, Master of Human-Computer Interaction & Design (MHCID) program, Master of Science in Data Science (MSDS) program, School of Medicine, Museology, Political Science, Public Health, Psychiatry, Psychology, Sociology, Statistics, Tech Policy Lab, Textual Studies, and Urban@UW.

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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.

    The estimated carryover pre-populated in the budget worksheet by the central Budget Office of a negative $53,494 provided was based on mid-biennium fund balances and is due to the timing difference of expenses and ABB revenue. The iSchool's updated projection for carryover at the end up FY17 (carryover into FY18) is reflected in the worksheet (see Excel workbook for details).

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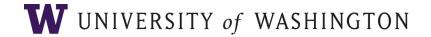
    If your unit has a PRF request that fits within these strict parameters, please describe it in the **"PRF Request" tab** of the Excel workbook. Please also indicate what resources you are willing to commit as a match for PRF support.

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[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.

The Dean and Assistant Dean for Planning and Administration met with members of the iSchool's Student Leadership Council on October 28th and the iSchool's Elected Faculty Council and Leadership Cabinet (comprising academic program chairs, staff unit leaders, EFC chair, and associate deans) on November 18th. These iSchool faculty, staff and student leaders were given an opportunity to provide input, feedback and ask questions about our budget plans and priorities. Additionally, this budget submittal package was provided to these groups via email for review and comment. The School will continue to engage its leaders in a dialogue and seek their advice on priorities throughout the FY18 budget development process.

The chair of the iSchool Elected Faculty Council is Batya Friedman, Professor (batya@uw.edu).

FY17 & FY18 Planned Expenditures - Academic Units

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

<u>For guidance</u>, 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: Information School

Please describe (in 200 words or fewer) what your unit is doing to pursue excellence within existing resources.

Faculty Hiring. New faculty hires have enhanced the iSchool's excellence in Children and Youth Services, Data Science, Native North American Indigenous Knowledge (NNAIK), and Data Curation. The inaugural Distinguished Practitioner in Residence has brought a visionary library leader to the School to help shape the MLIS curriculum, teach, and conduct research focused on the future of libraries. Faculty searches currently underway will strengthen the School's excellence in Human-Computer Interaction, Data Ethics, NNAIK, Data Science, Women in Technology, Professionalism in the Information Industry, Database Management, and Information Systems and Design.

Access to the Informatics program. In addition to increasing enrollment in the high-demand informatics major, the School is creating additional service courses and establishing a minor in informatics with a focus on excellence in the student learning experience, gender balance, diversity and engagement in research.

External engagement and partnerships. The iSchool's corporate and community affiliates program is focused on developing robust, mutually beneficial relationships with external partners that support excellence in faculty work, student learning experiences and the School's fundraising mission.

Faculty productivity and impact. Resources allocated to faculty as a commitment to enhancing their work support the development of cutting-edge research and the success of newly hired and junior faculty.

Please describe (in 200 words or fewer) what your unit is doing to streamline activities and pursue additional efficiencies.

The iSchool continually reviews and assesses staffing and resource allocations to insure that we are effectively and efficiently achieving the mission, goals and objectives of the School. Job roles and responsibilities are reviewed at least annually as are the effectiveness of resources allocated for teaching assistants and reader/graders. Assessment of processes and activities within and across administrative units are routinely conducted, particularly when vacancies occur. With the upcoming move of the iSchool to a single building (in summer 2018), we will be assessing the potential for efficiencies with the consolidation of facilities, general operations and administrative support functions. Moving the iSchool into a single building will also greatly improve the efficiency and effectiveness of engagement for administrative work and research and scholarly collaboration. The iSchool is also in the middle of a three-year initiative to assess and support making the iSchool an outstanding, highly effective and enjoyable workplace. This initiative includes improving our abilities to manage priorities and balance workload, enhancing collaboration between iSchool administrative units, effective use of technology for work engagement, improving efficiency in information sharing, and professional development for staff.

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)	83.00	$ 6,560,000	$ 275,000		$ 85,000	$ 170,000
Self-Sustaining Funds (BT 10, 11)	66.00	$ 7,510,000	$ 1,005,000		$ 85,000	$ 650,000
Grants & Contracts (BT 05)	25.00	$ 2,312,000	$ 331,000	$ 567,000	$ 142,000	$ 331,000
Philanthropy, or Gifts & Discretionary (BT 06)	7.00	$ 551,000	$ 165,000	$ 33,000	$ 99,000	$ 250,000
Total	**181.00**	**$ 16,933,000**	**$ 1,776,000**	**$ 600,000**	**$ 411,000**	**$ 1,401,000**
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)	85.00	$ 7,118,000	$ 297,000		$ 85,000	$ 170,000
Self-Sustaining Funds (BT 10, 11)	68.00	$ 7,657,000	$ 1,088,000		$ 85,000	$ 650,000
Grants & Contracts (BT 05)	26.00	$ 2,448,000	$ 350,000	$ 600,000	$ 150,000	$ 350,000
Philanthropy, or Gifts & Discretionary (BT 06)	7.00	$ 551,000	$ 165,000	$ 33,000	$ 99,000	$ 250,000
Total	**186.00**	**$ 17,774,000**	**$ 1,900,000**	**$ 633,000**	**$ 419,000**	**$ 1,420,000**

Please describe any assumptions and please explain the "other" category: Assumptions: ABB and other GOF/DOF funds subject to central allocation policies will continue as per FY17 practices and parameters outlined in the Provost's memo (e.g., no cuts in state funding); undergraduate tuition increase at +2.1% for FY18; fee-based program tuition increases at 2.6% for FY18; growth in undergraduate program to 210 degrees in FY18 and 450 majors calculated with ABB funding lag; salary increases per Provost's guidelines with 2% funding for GOF positions in FY18; grants & contract does not include indirect cost (no category provided); self-sustaining includes fee-based programs under PCE org code; gifts includes research grants that are counted in BT 06. Not included: Temporary expenditures from carryover/reserves (all types of funds); funding dedicated to Center for Advanced Information Technology (funds revert to the Provost). Other (08) = scholarships and tuition waivers for GA/RA/TA. (_ALL SPREADS BY EXPENSE CATEGORY ARE ROUGH PRORATIONS OF OVERALL BUDGET._)

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

Unit:	Carryover Balance going into FY16:	Est. Carryover going into FY17:
Information School	$ 638,658	$ (53,494) *

Expense Categories & Descriptions	Previous Plan DO NOT UPDATE	Updated Plan PLEASE COMPLETE	Explanation of Changes/Updates
General Reserves/Uncertainty			
All general and contingency reserves are held in self-sustaining fund balances	$ -		
Education Initiatives			
Equipment			
Computer replacement - 3 year cycle (40% share of $317K total accrued fund)[for faculty, staff, TA/RA/GA and computer labs]	$ 127,000	$ 127,000	
Facility/Space Investments			
Completion of iSchool space expansion and reconfiguration project: Furnishing and equipment for research space in Bloedel Hall, completion of furnishings for faculty/Phd suites in Mary Gates Hall, completion of furnishing for reconfiguring Roosevelt Commons Building space from research to staff use and related HVAC and technology fixes. (40% share of $213K total commitment)	$ 85,000	$ -	expended in FY16
Faculty Start-Up Expenses			
Start-up packages for two assistant professors funded by GOF/DOF - recruitments in progress.(estimated $300K cost over 3-5 years starting FY17)	$ 76,658	$ -	shifting all start-up to self-sustaining funds
Professional Development			
Recruitment			
Relocation expenses for two assistant professors - recruitments in progress. Discipline = Native North American Indigenous Knowledge	$ 24,000	$ -	no expense for first hire; all costs for second hire will be charged to self-sustaining funds
Research Initiatives			
Indirect cost recovery allocations to faculty and research scientists	$ 100,000	$ 100,000	
Strategic research initiatives fund - funds to be allocated in FY16, give faculty/researchers one year+ to expend	$ 45,000	$ 20,000	Initiative is in second year, expect to spend down at least half of allocations per year
Student Aid & Waivers			
Temporary Salaries			
Other (Please be specific)			
Center for Advance Information Technology - dedicated fund that was provided by the Provost to a specific faculty member.	$ 181,000	$ 220,000	Updated to end of FY16 balance
	$ -		
TOTAL	$ 638,658	$ 467,000 **	

* 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.