

Academic Unit Name: UW BOTHELL

*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](#).

This space intentionally left blank.

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. [N/A](#)

Neither the School of Nursing master’s program, nor the School of Business MBA, will be increasing tuition rates.

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.

- Tuition generated from FY 18 enrollment increase will be allocated to cover the additional funds needed for merit increases and faculty promotions (modeled on proposed Executive Order 64) in FY 2018.
- Institutional budget recalibration and realignment is underway to gauge efficiencies for optimal resource allocation and potential central pool for commitments and savings (equity and reserve). This broad based exercise will result in a greater understanding of the whole and the parts to leverage for decision making.

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

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.

Due to the campus's strong emphasis on increasing STEM degrees and enrollments, it is expected that significant hiring will continue to take place in STEM and STEM-related areas over the next five years. We continue to be committed to appointments of full-time, competitively-recruited faculty for these appointments. While it is our intention that the majority of these appointments be in the tenure-track ranks, a significant number of new full-time hires will be lecturer appointments as well. Providing sufficient lab and research support for these faculty is a high priority and budget need. Creating an equity pool contribution for UW Bothell 4 (STEM) is also of highest priority.

The significant growth that has taken place in recent years has come with new tenure-track faculty hired primarily at the assistant professor level. Over the next five years, a significant number of these faculty will be coming up for promotion, requiring that sufficient resources be identified to support their promotion increases, and funded per proposed Executive Order 64. In addition, while UWB has experienced relatively few retention pressures, it is expected that they will increase as these assistant professors become promoted and increase their national visibility and marketability.

UW Bothell continues to be committed to decreasing the percentage of faculty teaching part-time. To do so, we have been committing resources to conversion of PT lecturer lines to FT. We plan to continue this practice for the foreseeable future. We are also committed to supporting UW best practices in hiring and promoting lecturer-rank faculty. In addition to insuring that we are following the Provost's guidelines, we are engaging in review recommendations of a General Faculty Organization (GFO) report on lecturer rank faculty.

UW Bothell intends to increase the number of courses available via hybrid and on-line formats over the next five years, requiring that some full-time faculty hiring will be emphasizing individuals with experience in these formats. It is a priority that the infrastructure to support these formats be developed as well, including resources for existing faculty to have support in redesigning courses in on-line and hybrid formats.

UW Bothell remains committed to supporting one of our 21st Strategic Priorities - Diversity. The Diversity Action Plan (DAP), which was completed in 2016, outlines a series of actions the campus should take to move forward with supporting our diversity values. The top priority for the DAP is the development of a Diversity Center. To launch that Center, we will hire a Diversity Center Director and staff. In addition, we need to identify appropriate space for the Diversity Center; and because we have no available vacant spaces, committing space will include relocating existing individuals and remodeling. There are also high needs for Childcare, and a Childcare Advisory Board composed of faculty, students and staff is working together to identify recommendations for campus services both on and off.

UW Bothell is leanly staffed and we have plans to do a staffing audit to assure appropriate support for academic units, create a staff hiring plan in alignment with faculty hiring plan, and appropriate workloads for staff members.

-
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.*
-

Space – According to Office of Financial Management (OFM) space comparison information, UW Bothell has the highest campus density of 4 year public universities in Washington. Current space usage is therefore already stretched while the campus community continues to grow. The space constraint impacts classroom availability, staff and faculty office space and parking. Therefore, there will be additional focus needed on classroom utilization practices, office space optimization and continual investment in parking mitigation initiatives and parking infrastructure.

As UW Bothell continues to grow, it cannot keep pace with the demand for enrollment in its current facilities. To further accommodate the growth and to continue pursuing the Results Washington goal of improving access to world class education in post-secondary STEM programs and high-demand employment fields, UW Bothell completed the Phase 3 - Discovery Hall Science and Academic Building, which houses the School of STEM and provides access to an additional 1,000 students. Discovery Hall and its new programs are already at capacity. As a result, UW Bothell requires additional academic facilities in order to meet the state's demonstrated need for more graduates in high-demand fields and, as part of the Campus Master Planning, is prioritizing a second STEM building as its highest priority.

Co-location of the campus with Cascadia College offers some joint opportunities as they have asked the Legislature for a new parking garage, share in the costs for facilities and grounds maintenance, commuter services, and more. And as we begin discussions of a residence hall, perhaps using a private public partnership model, Cascadia leadership believes their students may be interested in housing as well.

The current residence hall and dining facilities are inadequate to accommodate the current and future growth. Having dining facilities on campus is imperative to support a student-centered environment by engaging students and campus partners in structured activities that contribute to the development of the overall programs.

Conversations to explore an Eastside Strategy have begun in collaboration with UW External Relations, with hopes that slowed physical growth at the Bothell campus may result in expanded growth at other locations on the Eastside.

-
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.*
-

UW Bothell promotes research and educational collaborations across UW's three campuses. Chief among them are the increasing collaborations in support of Cybersecurity. The Center for Information Assurance and Cybersecurity has relocated to UW Bothell this fall. The Center partners actively with UW Tacoma Cybersecurity outreach and curriculum, in partnership with the Joint Base. UW Bothell also partners with the Applied Physics Lab in cybersecurity education. In addition, UW Bothell is partnering with Continuum College in development of

certificates and offerings in Cybersecurity.

A new partnership between the UW Bothell School of Business and the School of Pharmacy at UW Seattle is a model for future collaboration. Through that agreement, students who are pursuing a PhD in Pharmacy can simultaneously achieve an MBA. As this program rolls out, we look forward to exploring whether this model may provide opportunities for additional groups of PhD students in UW Seattle who may wish to pursue an MBA while in their PhD programs.

We continue to collaborate across all three campuses in support of UW's Nursing programs.

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.²
- 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.

UW Bothell Fund Balance represents the fund balance for the entire UW Bothell campus. For this current year, it includes the recommended and necessary reserve of \$4,000,000 to cover potential shortcomings on debt service, lease obligations, and other unforeseen events.

UW Bothell is striving to increase the reserve from 5% to 10%, requiring an additional \$4,000,000 to be added. A significant amount of financial needs are being identified, prioritized and tracked, including but not limited to an equity contribution needed for future capital borrowing. About \$300,000 of HR/Payroll modernization cost is set aside for the future UW Bothell contribution. About \$1,300,000 will be used for additional faculty and startup expenses. The remainder of the balance has been fully allocated across a variety of areas associated with campus growth and infrastructure needs.

² As a reminder, carryover balances are calculated at the end of each biennium and can only be *estimated* mid-biennium.

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.**³

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.

UW Bothell is not requesting any provost reinvestment funds.

No PRF Requests.

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 UW Bothell budget is advised by a number of bodies including, Chancellor’s Leadership Council, Chancellor’s Cabinet, General Faculty Organization Executive Committee, Campus Council on Planning & Budgeting, ASUW Bothell, Deans, General Staff Organization, Academic Affairs Leadership, Administration & Planning leaders, Advancement, and more. We began FY 2018 budget development with the Campus Council. All groups have been consulted with during development of this response. UW Bothell budgeting process is based on active participation and collaboration across campus and we will begin a full budget recalibration process in December 2016.

CHAIR, COUNCIL OF ACADEMIC DEANS

Scott, Elaine

Dean, and Professor of Engineering

Department: School of STEM Engineering and Mathematics Division

scottep@uw.edu

CHAIR, GENERAL FACULTY ORGANIZATION

Casey Mann

Associate Professor

School of STEM Engineering and Mathematics Division

cmann@uw.edu

ASUWB, PRESIDENT

Tanya Kumar

Student

asuwbprs@uw.edu

³ Please refer to the University’s [Sustainable Academic Business Plan](#) for more information about top institutional goals.

UW Bothell Campus Vetting

Group Name	Date	Time
Advisory Board	Nov 1	3:30pm-6:00pm
ASUWB	Nov 1	5:45pm-8:00pm
Enrollment Management	Nov 3	8:00 am – 9:00 am
Administration & Planning	Nov 3	1:00pm-2:30pm
Academic Affairs Leadership Group with Deans	Nov 4	2:00pm-3:00pm
Campus Council on Planning & Budgeting with General Faculty Organization Executive Leadership	Nov 8	10am-12pm
Chancellor/Vice Chancellor team	Nov 8	1pm-5pm
General Staff Organization	Nov 9	11:30am-12:30pm
Chancellor's Leadership Council	Nov 14	1pm-2pm

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: UW Bothell							
UW Bothell is in the beginning stages of a number of initiatives intended to assure the sustainability and excellence of its campus and programs. For example, we are developing a 20 year campus master plan, with support from Capital Planning & Development; developing a campus wide sustainable academic business plan that will help with future planning for achieving strategic financial investments; sharing the results of the recent faculty and staff engagement survey that will result in a set of improvement action plans; and standardizing and streamlining processes. UW Bothell is aligned with TAP goals and principles, and is working to enhance its culture of service to the academy.							
UW Bothell is identifying processes to improve and new ideas to streamline activities, including a new budget approach in Academic Affairs, improved processes in Enrollment Management, looking to shared services campus wide, using Lean to identify and remove wasted efforts, and using visual work flow tools to map progress. Additionally, project management methodology is being used to assure progress toward goal achievement in Administration & Planning. Inclusion of faculty, staff and students to provide input or serve on work groups is critical to this success.							
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)	495	\$ 54,478,662	\$ 20,393,475	\$ 665,255	\$ 582,980	\$ 277,657	
Self-Sustaining Funds (BT 10, 11)	160	\$ 9,643,991	\$ 9,100,743	\$ 228,822	\$ 305,905	\$ (5,932,615)	
Grants & Contracts (BT 05)	39	\$ 4,493,593	\$ 743,287	\$ 464,112	\$ 305,689	\$ 396,181	
Philanthropy, or Gifts & Discretionary (BT 06)	2	\$ 125,566	\$ 515,550	\$ 39,164	\$ 52,102	\$ 149,835	
Total	696	\$ 68,741,813	\$ 30,753,055	\$ 1,397,353	\$ 1,246,677	\$ (5,108,942)	
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)	502	\$ 56,654,022	\$ 21,005,279	\$ 685,213	\$ 600,470	\$ 285,986	
Self-Sustaining Funds (BT 10, 11)	160	\$ 9,933,311	\$ 9,373,765	\$ 235,686	\$ 315,083	\$ (6,110,594)	
Grants & Contracts (BT 05)	39	\$ 4,628,400	\$ 765,586	\$ 478,035	\$ 314,860	\$ 408,067	
Philanthropy, or Gifts & Discretionary (BT 06)	2	\$ 129,333	\$ 531,016	\$ 40,339	\$ 53,665	\$ 154,330	
Total	703	\$ 71,345,067	\$ 31,675,647	\$ 1,439,274	\$ 1,284,077	\$ (5,262,211)	
All expense categories are escalations from Fiscal Year 2016 with the exceptions of Salaries & Benefits in GOF/DOF. Those figures incorporate merit increases and newly hired positions instead of a standard escalation factor of 3%. Cost transfers and similar transactions are recorded as a contra-expense which carries a negative number in the "Other" expenditure category.							

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:	
UW Bothell	\$ 22,588,515	\$ 17,285,060 *	
Expense Categories & Descriptions	Previous Plan DO NOT UPDATE	Updated Plan PLEASE COMPLETE	Explanation of Changes/Updates
General Reserves/Uncertainty			
Reserves	\$ 4,000,000	\$ 4,000,000	
Funds for commitments		\$ -	for commitmets as a new approach to
UW Bothell Units reserves (5% of annual operating budget) at biennium end	\$ 1,400,000		
UW Bothell Units reserves (10% of annual operating budget) at biennium start		\$ 7,085,076	
Education Initiatives			
Equipment			
Discovery Hall lab equipment purchase	\$ 2,000,000	\$ 800,000	
Information Technology campus equipment replacement	\$ 500,000	\$ 500,000	
HR/payroll modernization		\$ 300,000	
Facility/Space Investments			
Founders Hall academic space improvement project (creation of faculty office and research collaboration space)	\$ 2,500,000		
Beardslee Crossing administrative space impovement project	\$ 1,200,000		
Beardslee Crossing administrative space tenant improvement completion		\$ 2,066,212	
Faculty Salary/ Start-Up Expenses			
Start-up package for new tenure-track faculty (STEM; 12.0 FTE over 2 years)	\$ 1,000,000		
Encumberred faculty start-up packages for STEM faculty hired in bien. 13-15	\$ 650,000		
New Faculty Salary expenses (8.0 fte Faculty hird)		\$ 1,040,000	
New Faculty startup package (8.0 fte Faculty hird)		\$ 300,000	
Professional Development			
Recruitment			
Faculty search expenses (10 per year for 2 years)	\$ 70,000		
Research Initiatives			
Research Cost Revovery funds returned to schools to support research initiatives	\$ 600,000		
Student Aid & Waivers			
Temporary Salaries			
Office of Research Staff: Director of Undergraduate Research	\$ 200,000		
Student hourly workers	\$ 800,000	\$ 193,772	
Other (Please be specific)			
Chancellor's Strategic Initiatives	\$ 500,000	\$ 500,000	
Vice Chancellor of Academic Affairs Strategic Initiatives	\$ 2,000,000	\$ 500,000	
Vice Chancellor of Administration, Planning & Finance Strategic Initiatives	\$ 2,000,000		
Vice Chancellor of Advancement & External Relations Strategic Initiatives	\$ 160,000		
Summer quarter revenue returned to schools for academic strategic investment	\$ 3,000,000		
TOTAL	\$ 22,580,000	\$ 17,285,060 **	

* 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.