

To: Academic Senate
From: Howard Horwitz, chair, Senate Advisory Committee on Budget and Planning
Date: 7 March 2014
Subject: Annual Report from the Senate Advisory Committee on Budget and Planning, 2014

During the 2013-14 academic year, the Senate Advisory Committee on Budget and Planning (SACBP) considered ways to execute its mission in more concrete ways. SACBP is charged with advising the Academic Senate and ultimately the university administration about faculty concerns regarding the budget and budget process at the University of Utah. After informing ourselves about stages of the budget process and about sources and distribution of revenue, committee members decided to develop a questionnaire as a means to indicate faculty awareness of and concerns about the budget process. The Senate has approved the questionnaire (see attached), which we will distribute by email around March 17. The email will offer a web link and invite faculty to complete the survey online.

SACBP expects to complete analysis of faculty responses and compose an advisory letter to the administration by mid April, in time for the Academic Senate Executive Committee to review these materials before the year's final meeting of the Academic Senate. The Executive Committee may wish to suggest revisions to the advisory letter.

Provisional SACBP Agenda Items for 2014-15.

SACBP has defined two topics to investigate next year, and of course would accept guidance from the Academic Senate and Academic Senate Executive Committee. First, we plan to study definitions of "productivity" throughout the university. We will simultaneously look at models of productivity at comparable institutions throughout the nation. We hope to discover how the university manages budgets and whether budgeting accommodates the diverse functions of different units of the university.

SACBP believes this topic continues in the spirit of the questionnaire. The questionnaire implicitly advocates some degree of transparency in the budget process, and transparency is one principle advanced by the Budget Principles and Process Working Group (chaired by Professor Henry White) assembled this year by Senior Vice President for Academic Affairs Ruth Watkins. SACBP supports the Budget Working Group's principle #3, which seeks to ensure that budget allocations are transparent, documented, and accessible. Without disclosing sensitive budget information, SACBP hopes to facilitate the goal of transparency, which would increase the confidence of faculty and enhance faculty governance.

Studying definitions of "productivity" across campus will help SACBP consider how to act upon the concerns and issues revealed by responses to the questionnaire. Sr. Vice President Watkins has asked the Budget Working Group to begin to examine different budgetary models at some universities nationwide. The Budget Working Group has endorsed the principle that the "budget process supports budget model diversity," recognizing that "different budgeting units perform different functions and

have different revenue streams and costs.” SACBP hopes to gain a sense of diversity in the budgeting process in order better to represent faculty concerns and interests to the Academic Senate and university administration. This project should help us refine our sense of the scope of SACBP’s mission.

As a second topic for 2014-15, SACBP has decided to study the percentage of operating funds budgetary units can hold in reserve. The state of Utah mandates that no more than 4% of state funds can be held in reserve. Higher portions of funds from other (non-state) sources can be held in reserve. Clinical revenue, for example, is not limited to the 4% reserve maximum. Yet department chairs and program directors from disciplines funded primarily through state funds may feel the 4% limit too restrictive. SACBP will investigate whether clear advice can be formulated and distributed about ways to establish reserves in order to enhance fiscal flexibility.

Respectfully,

Senate Advisory Committee for Budget and Planning

Enrique Aleman	Howard Horwitz (chair)
Kent Lai	Bub Lutz
Chris Maloney	Sanja Miskovic
Allyson Mower (ex officio)	Nicholas Schapper
Scott Ward	

The Senate Advisory Committee on Budget and Planning consults with the university administration and represents the views and interests of the whole faculty in the administration's long range academic budget and planning. SACBP reports to the Academic Senate. University Policy 6-002 urges SACBP to strive to persuade the administration to make critical budgetary and academic policy decisions in as open and public a way as possible. Through the following questionnaire, SACBP is trying to acquire feedback from faculty about the budget process and some initial data about faculty views of budget priorities.

1. What College are you primarily affiliated with?

College of Architecture and Planning	College of Business
College of Dentistry	College of Education
College of Engineering	College of Fine Arts
College of Health Sciences	Honors College
College of Humanities	College of Law
College of Medicine	College of Mines and Earth Sciences
College of Nursing	College of Pharmacy
College of Science	College of social and Behavioral Science
College of Social Work	

2. Are you aware of the purpose of the Senate Advisory Committee on Budget and Planning

- a. Yes
- b. No
- c. Until I received this survey I did not know of the existence of the SACBP.

Section A: Your current experiences and expectations with the budgetary processes at the university.

3. Are you familiar with the process of budgetary planning, such as decisions on spending priorities, in your Department/Division/Program?

- a. Very familiar.
- b. Somewhat familiar.
- c. Not familiar at all.

4. Are you familiar with the process of budgetary planning, such as decisions on spending priorities, in your College/School?

- a. Very familiar.
- b. Somewhat familiar.
- c. Not familiar at all.

5. Are you familiar with the process of budgetary planning, such as decisions on spending priorities, at the university level?

- a. Very familiar.
- b. Somewhat familiar.
- c. Not familiar at all.

6. Do you believe that faculty should be more aware of the process of budgetary planning?

- a. Yes, very strongly.
- b. I guess so.
- c. Not really.
- d. Faculty do not need to know more about the budget process.

Please comment if you feel that faculty need to know more about the budget process at different levels of the university (department/division/program; college/school; university as a whole).

7. How can the university administration better communicate its budgetary concerns and decisions? (Check all that apply).

- a. Town hall Meetings.
- b. Regular surveys to get input from Faculty and Staff.
- c. The university administration is doing a great job and nothing more is required.
- d. The university administration does not need to communicate with faculty about the budget process.

Any other suggestions:_____.

8. Do you have any specific concerns for the current budgetary planning process of the university?

- a. No.
- b. Yes and they are:_____

9. Should individual faculty be aware of sources of income for individuals/programs/ Divisions/Departments/Colleges?

- a. Yes, of course.
- b. Yes, to some extent.
- c. No.

10. Is it important that faculty who are neither department chairs, program directors, nor deans participate in the process of budgetary planning?

- a. Yes, very important.
- b. Somewhat important.
- c. Not important.

Any specific suggestions:_____.

Section B. Your current knowledge and opinions about the budgetary models at the university (principles and results of the budgetary processes).

11. Are you aware of the sources of income for your salary and benefits?

- a. Yes.
- b. I have a general understanding of funding sources.
- c. I have an incomplete understanding.
- d. No.

If you wish, please provide a brief description of university funding sources, as you understand them:

12. Do you understand how resources are distributed throughout the university?

- a. Yes, I think I understand the model well.

- b. I have a general understanding of funding sources.
- c. I have an incomplete understanding.
- d. No.

If you wish, please provide a brief description of the university budgetary model, as you understand it:

13. Do you think the university explains on its website how resources are distributed throughout the university?

- a. Yes.
- b. No.
- c. I don't know.
- d. I don't know where to find this information on the university website.

Please indicate if the budgetary model should be available on the university website, or by other means.

14. What portion of your department or program's budget seems to depend on Student Credit Hour (SCH) production or productivity funds?

- a. 100%.
- b. A significant portion, but not the entirety, about 75%.
- c. SCH is one factor among others.
- d. I don't know.
- e. I don't know what SCH or productivity funds are.

15. Do you feel that SCH is too great a factor determining the budget of your department or program?

- a. Yes.
- b. No.
- c. SCH should form a larger factor in the determination of a department's or program's budget.
- d. I don't know .