Humanities, Arts and Cultural Studies: 2015-16 Budget and Faculty Resources

Annual Budget Meeting

June 19, 2015
Meeting Agenda

- Opening Comments—Provost and Dean
- Budget Background and Context (pages 3-6)
- Financial Overview (BIA Context Document)
- Budget Process and Metrics (pages 7-10)
- Faculty Resource Planning (pages 11-13)
- HArCS Challenges and Opportunities (pages 14-20)
- HArCS Reserve Balances (page 21)
- HArCS Financial Status (Financial Status attachment)
- Graduate Student Support (page 22-23)
- College Structure (page 24)
Background and Context

The campus Budget Model and the increasing shift of budget responsibility from the central campus to the deans have required a major re-evaluation of resource allocation practices within HArCS. However, we must ensure that the following HArCS priorities drive any changes or development of new resource allocation models:

- Enrich graduate education
- Support faculty research excellence
- Maintain excellence in undergraduate education
- Support faculty and student diversity
- Support the mission of the land grant university
Background and Context

Pre-Budget Model:

- Between 2008-12, the HArCS Base Budget was reduced by almost $4.8 million, resulting in a 17% overall reduction.
- Faculty FTE reductions were also significant with a 12% (approximately 25 faculty positions) permanent reduction phased in over a three-year period (equivalent of a $2.8 million reduction).
- Staff positions (PSS) were reduced by approximately 9% between 2010 and 2014.
- Already lean general operating budgets were cut with major impacts on academic units. Restricted or eliminated were funds for: outside speakers, phones for some faculty/lecturers, photocopying of course materials, and general supplies.
Background and Context

New Budget Model:

• **$23,000 allocation in 2013-14.** HArCS received $1,084,000 in new tuition funds, but also was allocated a $1,061,000 Base Budget reduction because of a reduction in SCHs, degrees awarded, and majors.

• **$206,000 allocation in 2014-15.** HArCS received $875,000 in new tuition funds, but also was allocated a $669,000 Base Budget reduction because of a reduction in SCHs, degrees awarded, and majors.

• **$656,000 allocation in 2015-16.** HArCS received $690,000 in new tuition funds, but also was allocated a $34,000 Base Budget reduction because of a reduction in SCHs, degrees awarded, and majors.
Background and Context

New Budget Model:

• HArCS lost $1.8 million in redistributed tuition funds for the first three years of the model.
• HArCS funds flowed to three of the general campus academic units: CAES, COE, and MPS.
• The main reason for the HArCS redistribution of funds is related to decisions related to new student enrollment in fall 2009-11.
• Since fall 2012, the campus has admitted more new HArCS majors, and the HArCS share of the tuition model metrics is expected to increase substantially over the next few years.
• While it is not likely that HArCS metric increases will result in a 100% return of the redistributed tuition funds, we anticipate that we will gain back more than $1 million over the next few years.
Budget Process and Metrics

HArCS as a % of New Students, Majors, SCHs, and Degrees Awarded

<table>
<thead>
<tr>
<th>Year</th>
<th>New Students</th>
<th>Majors</th>
<th>Degrees Awd</th>
<th>SCHs</th>
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<tbody>
<tr>
<td>2006-07</td>
<td>11.6%</td>
<td>11.8%</td>
<td>14.1%</td>
<td>22.4%</td>
</tr>
<tr>
<td>2007-08</td>
<td>12.0%</td>
<td>12.2%</td>
<td>15.1%</td>
<td>21.9%</td>
</tr>
<tr>
<td>2008-09</td>
<td>12.5%</td>
<td>12.3%</td>
<td>14.4%</td>
<td>21.9%</td>
</tr>
<tr>
<td>2009-10</td>
<td>8.6%</td>
<td>11.6%</td>
<td>14.6%</td>
<td>21.7%</td>
</tr>
<tr>
<td>2010-11</td>
<td>8.6%</td>
<td>10.8%</td>
<td>14.6%</td>
<td>21.1%</td>
</tr>
<tr>
<td>2011-12</td>
<td>7.8%</td>
<td>9.7%</td>
<td>14.3%</td>
<td>20.5%</td>
</tr>
<tr>
<td>2012-13</td>
<td>9.6%</td>
<td>9.4%</td>
<td>12.6%</td>
<td>19.5%</td>
</tr>
<tr>
<td>2013-14</td>
<td>9.4%</td>
<td>9.2%</td>
<td>10.8%</td>
<td>19.6%</td>
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<tr>
<td>2014-15</td>
<td>8.6%</td>
<td>10.1%</td>
<td>11.0%</td>
<td>19.9%</td>
</tr>
<tr>
<td>2015-16</td>
<td>9.8%</td>
<td>10.3%</td>
<td>11.5%</td>
<td>20.2%</td>
</tr>
<tr>
<td>2016-17</td>
<td>10.0%</td>
<td>10.5%</td>
<td>12.0%</td>
<td>20.5%</td>
</tr>
</tbody>
</table>

UC DAVIS
DIVISION OF HUMANITIES, ARTS AND CULTURAL STUDIES
New Tuition Revenue:

- While the new tuition funds flowing to HArCS have been relatively small compared to other units, HArCS, with input from the HArCS Steering Committee and the Chairs and Directors, is proposing the following key investments between 2014-15 and 2019-20:
  - $1 million for additional lecturers and TA/AI positions
  - $850,000 to eliminate the 2013-14 benefits shortfall
  - $832,000 for 8 new faculty positions
  - $228,000 for staff and general operating expenses
  - $150,000 to fund increases in the UCOP tax
  - $72,000 to help retire the $672,000 Budgetary Savings Target (BST)
## HArCS Budget Planning

<table>
<thead>
<tr>
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<tr>
<td><strong>Undergraduate Tuition:</strong></td>
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<td>Budget Model Redistribution</td>
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<td>$875,000</td>
<td>$690,000</td>
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<td>$656,000</td>
<td>$650,000</td>
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<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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<tr>
<td><strong>Total Tuition and Stabilization Funds</strong></td>
<td>$23,000</td>
<td>$806,000</td>
<td>$656,000</td>
<td>$650,000</td>
<td>$650,000</td>
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<td>$450,000</td>
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<tr>
<td><strong>Projected Uses of New Funds:</strong></td>
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<td></td>
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<tr>
<td>Buydown Benefits Shortfall ($850,000)</td>
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<td>$185,000</td>
<td>$136,000</td>
<td>$182,000</td>
<td>$157,000</td>
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<td>$0</td>
<td>$104,000</td>
<td>$104,000</td>
<td>$208,000</td>
<td>$208,000</td>
<td>$208,000</td>
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<tr>
<td>New Supplemental Teaching Positions (TAs/Unit 18)</td>
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<td>$90,000</td>
<td>$160,000</td>
<td>$285,000</td>
<td>$235,000</td>
<td>$110,000</td>
<td>$100,000</td>
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<td>Permanent Buydown of Budgetary Saving Target (BST)</td>
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<td>$600,000</td>
<td>$72,000</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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<tr>
<td>Staff and Operating Fund Increases</td>
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<td>$0</td>
<td>$110,000</td>
<td>$100,000</td>
<td>$0</td>
<td>$0</td>
<td>$18,000</td>
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<td>UCOP Tax Increase on GF</td>
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<td>$25,000</td>
<td>$25,000</td>
<td>$25,000</td>
<td>$25,000</td>
<td>$25,000</td>
<td>$25,000</td>
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<tr>
<td><strong>Total Uses</strong></td>
<td>$23,000</td>
<td>$806,000</td>
<td>$656,000</td>
<td>$650,000</td>
<td>$650,000</td>
<td>$500,000</td>
<td>$450,000</td>
</tr>
</tbody>
</table>

**Onetime Benefits Bridge Funding Needed**

(Campus provided $600k in one-time funds for benefits in 2013-14)

$250,000 | $759,000 | $574,000 | $438,000 | $256,000 | $99,000 | $0 | $2,376,000

**Total** | $23,000 | $806,000 | $656,000 | $650,000 | $650,000 | $500,000 | $450,000 | $3,735,000
HArCS Stabilization Funds:

- As part of Interim Dean Kaiser’s appointment, the division was allocated $600,000 of Base Budget funds to help stabilize the HArCS funding levels under the new budget model.
- In consultation with the HArCS chairs and directors, and the HArCS Steering Committee, the funds will be used to permanently help retire the 1990s’ Budgetary Savings Target (BST) of $672,000.
- In the past, HArCS would permanently keep a certain number of faculty “shells” vacant in order to generate salary savings to fill the BST “gap.”
- While this practice was an effective and predictable way of handling this large permanent cut, it had a detrimental impact on faculty hiring.
- The $600,000 allocation enables HArCS to hire additional new faculty over the next few years.
Faculty Resource Planning

Faculty resources tracking system:

- In response to the new campus system for allocating and managing faculty resources, HArCS developed a tracking system to help manage faculty resources and ensure that enough new faculty are hired to meet enrollment needs, replace retirements, and invest in emerging fields.

- Because of the timing issues related to Partner Opportunity Program (POP) funding, UC Presidential Post Docs, and Target of Excellence (TOE) hiring, the faculty resources tracking system only assigns costs at the point when the one-time funds expire for these programs.

- For example, the tracking system includes the cost for a UC Presidential Post Doc only in the sixth year after the UCOP funding has expired: this allows a great deal of flexibility to hire at a faster rate than booking the expense in the year that the faculty starts on campus.

- The tracking system also captures the salary and benefits funding from retirements and other separations.

- The tracking system also includes funds allocated for faculty retentions (permanent salary adjustments), equity adjustments, and other faculty position related agreements (such as transfers in or out of other divisions).
Faculty Resource Planning

Faculty Hiring Planning:
• For the next five years, HArCS is proposing to hire a total of 27 new faculty positions.
• The new positions include HIP searches, retirement replacements, growth positions, and faculty hired through the Partner Opportunities Program (POP).

Revised HArCS Faculty Hiring Plan

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<tr>
<th>Search Year</th>
<th>Start Year</th>
<th>HIP</th>
<th>New Hires</th>
<th>POP</th>
<th>Total</th>
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<td>-</td>
<td>4.00</td>
<td>1.00</td>
<td>5.00</td>
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<tr>
<td>17-18</td>
<td>18-19</td>
<td>-</td>
<td>2.00</td>
<td>-</td>
<td>2.00</td>
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<tr>
<td>18-19</td>
<td>19-20</td>
<td>-</td>
<td>4.00</td>
<td>1.00</td>
<td>5.00</td>
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<tr>
<td>Totals</td>
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<td>4.00</td>
<td>18.00</td>
<td>5.00</td>
<td>27.00</td>
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## Faculty Resource Planning

### HArCS multi-year hiring plan:

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th># of Searches</th>
<th>Department (Optional for years 2-5)</th>
<th>Position Specialty</th>
<th>(Optional)</th>
<th>Full/Lect PSOE</th>
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<tbody>
<tr>
<td>2015-16 Subtotal</td>
<td>8</td>
<td>DESIGN (HIP RECRUITMENT)</td>
<td>Industrial Design</td>
<td>Asst/Assoc</td>
<td></td>
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<td></td>
<td>2 POPS</td>
<td>DESIGN (HIP RECRUITMENT)</td>
<td>Industrial Design</td>
<td>Asst/Assoc</td>
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<tr>
<td></td>
<td></td>
<td>TBD (HIP RECRUITMENT)</td>
<td>Computing and Big Data</td>
<td>Asst</td>
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<tr>
<td></td>
<td></td>
<td>TBD (HIP RECRUITMENT)</td>
<td>Software Studies</td>
<td>Asst</td>
<td></td>
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<td></td>
<td></td>
<td>THEATRE AND DANCE</td>
<td>Acting/Performance Studies</td>
<td>Open</td>
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<tr>
<td></td>
<td></td>
<td>ITALIAN/COMP LIT</td>
<td>TBD</td>
<td>Asst/Assoc</td>
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<td></td>
<td></td>
<td>SPANISH</td>
<td>TBD</td>
<td>Asst</td>
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<tr>
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<td>Asst</td>
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<tr>
<td>2016-17 Subtotal</td>
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<td>DESIGN</td>
<td>TBD</td>
<td>Asst</td>
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<td>1 POP</td>
<td>ART HISTORY</td>
<td>Renaissance</td>
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<td>CHICANA/CHICANO STUDIES</td>
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<td>0 POPS</td>
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<td>2018-19 Subtotal</td>
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<tr>
<td></td>
<td>1 POP</td>
<td>TBD</td>
<td></td>
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<td>TBD</td>
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<td>TBD</td>
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<td></td>
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<tr>
<td>Totals</td>
<td>22</td>
<td>5 POPS</td>
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</table>
HArCS Challenges and Opportunities

• **Benefits shortfall.** In 2013-14, the campus did not fully cover the costs of benefit increases for campus units. For HArCS, the total shortfall is approximately $850,000. In 2013-14, the campus did provide $600,000 in one-time funds to offset this cost for one year. The benefits shortfall for HArCS is larger than the other general campus academic units, given that approximately 95 percent of the HArCS State Funds and Tuition funds are for salaries and benefits. As part of the multi-year HArCS budget plan, the shortfall will take five years to fund and will require the use of $2.4 million of HArCS reserve funds to bridge the funding gap. Paying down the shortfall will result in fewer new faculty positions and less one-time funds for building renovations and equipment replacement.

• **UWP funding issues.** For each section of UWP, the budget model only provides 70% of the cost (it only includes instructional costs of $7k in lecturer salary and $3.5k in benefits). Since 2012-13, UWP has added more than 100 additional sections (includes ESL) with an estimated shortfall of $300k to $500k. The actual shortfall will require an in-depth analysis given the complicated recent funding history for UWP and the transfer of ESL writing courses from DSS to HArCS in 2013-14.
Meeting student demand in higher instructional cost programs. Student demand in various HArCS academic programs tends to be in courses with smaller class settings (studios, foreign languages, writing). In many of these programs there are not enough larger course settings to offset the need to expand the number of smaller class sections. The chart below shows how different HArCS is to the other colleges and divisions with over 70 percent (approximately 1400 sections out of a total of 1800 sections in 2013-14) of undergraduate courses having fewer than 25 students.
HArCS Challenges and Opportunities

Space Planning—Enrollment Growth:

With 2020 enrollment increases, we anticipate that the largest growth in HArCS students will occur in a variety of departments/programs including: Design, the University Writing Program, ethnic and cultural studies programs, and the Provost’s HIP-funded digital humanities.

- **Design**: recently the Design major went off of impacted status. Majors have increased from 359 in winter 2014 to 515 in spring 2015 (a 43.5% increase).
- **UWP**: over the last five years the number of SCHs in UWP has grown from 8955 in 2009-10 to 12,055 in 2013-14 for a 34.3% increase. In 2013-14, ESL courses (UWP 21-23) were transferred from Linguistics to UWP. UWP SCHs account for 17.3% of total HArCS SCHs (up from 12.4% in 2009-10).
- **Ethnic and Cultural Studies**: we anticipate that numbers of majors will increase by approximately 20% in these programs.
- **Digital Humanities**: we anticipate that the number of Cinema and Digital Media (CDM) majors will increase significantly over the next five years, possibly exceeding 400 majors.
HArCS Challenges and Opportunities

Space Planning:
As part of the Studio, Laboratory, and Office Advisory Committee (SLOAC) process, HArCS identified the following key projects and investments:

• **Cruess Hall Part 2.** This project is critical for both the expansion of the Design major and the expansion of Digital Humanities within Cinema and Digital Media. While planning is currently underway, it will be critical for the campus to commit funds to ensure that this project is completed within the next 2-3 years.

• **New space needed to meet growth.** We are running out of space for UWP and other HArCS programs. We have identified possible space alternatives (such as expansion in Hart Hall if CAES moves out, Haring Hall, and the Food Science and Technology Building). While HArCS has set-asid $600,000 in reserves for building renovations, additional campus support will be also be required.

• **Facilities maintenance.** Many of the HArCS buildings are 50-60 years old and are in varying states of repair. Indeed, many of our buildings are in the "Consider Stabilization, Restoration or Replacement" segment of the Facility Condition Index (FCI) chart. We hope that the campus will include HArCS buildings on the list for deferred maintenance funding (such as the replacement or repair of the elevators in Sproul or the refurbishments of restrooms in Sproul and Wright Hall).
HArCS Challenges and Opportunities

Space Planning:
• The recent COACHE report also highlighted some of the HArCS faculty concerns related to laboratory, research, and studio spaces
• Only 13% of HArCS faculty respondents were satisfied or very satisfied with their laboratory, research, or studio space as compared to 44% of all UC Davis faculty and 43% of peer institution faculty

<table>
<thead>
<tr>
<th>Q908</th>
<th>Laboratory, research, or studio space</th>
<th>UC Davis</th>
<th>peers</th>
<th>HArCS</th>
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</thead>
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<tr>
<td></td>
<td>count</td>
<td>%</td>
<td>count</td>
<td>%</td>
</tr>
<tr>
<td>very dissatisfied</td>
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<td>7%</td>
<td>177</td>
<td>5%</td>
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<tr>
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<td>11%</td>
<td>456</td>
<td>12%</td>
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<td>16%</td>
<td>561</td>
<td>15%</td>
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<tr>
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<td>1117</td>
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<td>76</td>
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<td>100%</td>
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variable mean: 3.38, 3.45, 2.73
HArCS Budget Challenges and Opportunities

HArCS Metrics:

HArCS is back on track to gain back funds that were redistributed to other colleges and divisions from 2013-2016. HArCS metrics are increasing, and the smaller cohorts of students admitted during Fall 2009-11 will have graduated by the end of 2015-16.

- **SCHs.** Between 2012-13 and estimated 2014-15, HArCS SCHs have increased by 9.3%.
- **Majors.** Between 2012-13 and estimated 2014-15, HArCS majors have increased by 8.3%.
- **Degrees Awarded.** Between 2012-13 and estimated 2013-14, HArCS majors have decreased by 16.9% (this is estimated to be the last year with low degrees awarded since the smaller new student enrollment cohorts will have graduated between 2011-16).
HArCS Budget Challenges and Opportunities

Maximizing HArCS Funding Under the Budget Model:

• Established a new HArCS yield and outreach committee led by new Faculty Assistant for Undergraduate Education
• Provided resources to programs to support outreach/yield activities
• Continued to provide adequate TA/Reader resources per HArCS allocation formula
• Worked with students to declare multiple majors earlier and continue to provide excellent advising (aligns with recent L&S change to remove requirement for two upper division courses prior to declaring 2nd major)
• Improved visibility of HArCS through coordinated marketing efforts
• Expanded areas with high student interest (Digital Humanities, Design, Classics, and others)
HArCS Reserve Balances

- HArCS continues to ensure that it has a prudent budget reserve at both the dean’s office and department/program level.
- The July 2014 Carryforward (CF) balance in State Funds/Tuition/Fees and ICR/Other Unrestricted categories combined was $11.1 million or 21% of 2013-14 expenditures.
- For 2015-16 and beyond HArCS plans to allocate $4 million in reserves to invest in the following high priority areas:
  - $2.3 million over the next 5 years to help cover the benefits shortfall
  - $600k for building renovation and maintenance
  - $375k for faculty retentions
  - $200k for computer equipment replacement/computer lab upgrades
  - $200k for supplemental instruction costs
  - $100k for graduate student fellowships
  - $100k for student outreach and recruitment
  - $100k commitment to TANA
Recent Campus Investments in Graduate Fellowships have had a major impact on the humanities in HArCS and DSS. UC Davis has moved from 8th to 5th place in the UC System, and per capita university fellowship funding has more than doubled since 2009-10:

### UCOP Student Support Reports--Doctoral Students

<table>
<thead>
<tr>
<th>Humanities</th>
<th>Per Capita University Fellowship</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2009-10</td>
</tr>
<tr>
<td>UCB</td>
<td>$16,413</td>
</tr>
<tr>
<td>UCD</td>
<td>$4,135</td>
</tr>
<tr>
<td>UCI</td>
<td>$7,662</td>
</tr>
<tr>
<td>UCLA</td>
<td>$13,543</td>
</tr>
<tr>
<td>UCR</td>
<td>$8,393</td>
</tr>
<tr>
<td>UCSD</td>
<td>$7,926</td>
</tr>
<tr>
<td>UCSB</td>
<td>$8,999</td>
</tr>
<tr>
<td>UCSC</td>
<td>$6,205</td>
</tr>
<tr>
<td>Systemwide</td>
<td>$11,229</td>
</tr>
</tbody>
</table>
Graduate Student Support

The campus investments in graduate fellowships have also reduced our humanities doctoral student reliance on loans. UC Davis has moved from 4th to 6th place (higher is better for loans), and per capita loans shrunk by 55% between 2009-10 to 2013-14:

**UCOP Student Support Reports--Doctoral Students**

<table>
<thead>
<tr>
<th>Humanities</th>
<th>2009-10</th>
<th>Rank</th>
<th>2010-11</th>
<th>Rank</th>
<th>2011-12</th>
<th>Rank</th>
<th>2012-13</th>
<th>Rank</th>
<th>2013-14</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Loans</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UCB</td>
<td>$2,951</td>
<td>6</td>
<td>$2,775</td>
<td>6</td>
<td>$2,422</td>
<td>6</td>
<td>$2,290</td>
<td>6</td>
<td>$2,222</td>
<td>5</td>
</tr>
<tr>
<td>UCD</td>
<td>$4,349</td>
<td>3</td>
<td>$3,858</td>
<td>4</td>
<td>$3,605</td>
<td>4</td>
<td>$3,097</td>
<td>4</td>
<td>$1,962</td>
<td>6</td>
</tr>
<tr>
<td>UCI</td>
<td>$4,107</td>
<td>4</td>
<td>$3,381</td>
<td>5</td>
<td>$3,622</td>
<td>3</td>
<td>$3,123</td>
<td>3</td>
<td>$3,604</td>
<td>3</td>
</tr>
<tr>
<td>UCLA</td>
<td>$2,869</td>
<td>7</td>
<td>$2,574</td>
<td>7</td>
<td>$2,220</td>
<td>7</td>
<td>$1,656</td>
<td>8</td>
<td>$1,615</td>
<td>8</td>
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<tr>
<td>UCR</td>
<td>$3,984</td>
<td>5</td>
<td>$3,913</td>
<td>3</td>
<td>$3,498</td>
<td>5</td>
<td>$3,936</td>
<td>1</td>
<td>$4,462</td>
<td>1</td>
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<tr>
<td>UCSD</td>
<td>$2,543</td>
<td>8</td>
<td>$2,300</td>
<td>8</td>
<td>$2,168</td>
<td>8</td>
<td>$2,185</td>
<td>7</td>
<td>$1,869</td>
<td>7</td>
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<tr>
<td>UCSB</td>
<td>$5,854</td>
<td>2</td>
<td>$6,309</td>
<td>1</td>
<td>$5,168</td>
<td>1</td>
<td>$3,620</td>
<td>2</td>
<td>$3,653</td>
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<tr>
<td>UCSC</td>
<td>$5,925</td>
<td>1</td>
<td>$4,415</td>
<td>2</td>
<td>$4,670</td>
<td>2</td>
<td>$2,521</td>
<td>5</td>
<td>$3,085</td>
<td>4</td>
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<tr>
<td>Systemwide</td>
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<td>$3,422</td>
<td>$3,083</td>
<td>$2,579</td>
<td>$2,525</td>
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</table>
L&S College Structure

The recent announcement that the College is moving to a single dean model is both exciting and challenging:

• HArCS faculty and staff are ready and eager to provide valuable input and serve on the various committees.

• Given the relatively lean levels of funding for staff in the Division, there are many opportunities to “re-think” operating procedures and administrative clustering.

• Tearing down the ‘artificial’ disciplinary walls between the divisions is exciting and will lead to greater levels of interdisciplinary teaching and research.

• Investment in the College in key underfunded areas is critical to the success of the proposed changes.

• Staff are key assets toward a successful administrative structure, and efforts need to be made to provide stability and reassure staff that they are critical to making this transition a success.
Humanities, Arts and Cultural Studies: 2015-16 Annual Budget Update

Financial Status

1. 2014-15 Anticipated Results
2. 2015-16 Projection
3. Carryforward
4. Financial Management Questionnaire
HUMANITIES, ARTS & CULTURAL STUDIES
Sources & Uses All Funds, Excluding Contracts & Grants and Agency Accounts
(Dollars In thousands)

<table>
<thead>
<tr>
<th>Line</th>
<th>2014-15 Budget Estimate Revised</th>
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<tr>
<td></td>
<td>State Funds &amp; Tuition</td>
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<tr>
<td>PRIOR YEAR CARRYFORWARD:</td>
<td>$6,518</td>
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<tr>
<td>Change from Prior Year</td>
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**SOURCES OF ANNUAL OPERATING FUNDS**

<table>
<thead>
<tr>
<th>Source</th>
<th>State Funds &amp; Tuition</th>
<th>ICR</th>
<th>All Student Fees</th>
<th>All Other Funds</th>
<th>Total</th>
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<tbody>
<tr>
<td>State Funds and Tuition</td>
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<td>$1,116</td>
<td>$1,941</td>
<td>$1,910</td>
<td>$58,985</td>
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<td>Indirect Cost Return</td>
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<tr>
<td>Other Student Fees (List if desired, not required)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Fund Types (List if desired, Not Required)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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</table>

**USES OF ANNUAL OPERATING FUNDS**

<table>
<thead>
<tr>
<th>Category</th>
<th>Subcategory</th>
<th>State Funds &amp; Tuition</th>
<th>ICR</th>
<th>All Student Fees</th>
<th>All Other Funds</th>
<th>Total</th>
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<tbody>
<tr>
<td>EMPLOYEE COMPENSATION:</td>
<td>Faculty</td>
<td>$28,140</td>
<td>$38</td>
<td>$893</td>
<td>$107</td>
<td>$29,178</td>
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<tr>
<td></td>
<td>Regular Faculty (ACAD, S801, SUB0)</td>
<td>$28,140</td>
<td>$38</td>
<td>$893</td>
<td>$107</td>
<td>$29,178</td>
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<tr>
<td></td>
<td>Academic Administrators (S805)</td>
<td>$165</td>
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<td>$169</td>
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<td></td>
<td>Other Academics (S806, S803, ACAX, ACGA)</td>
<td>$174</td>
<td></td>
<td></td>
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<td>$230</td>
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<tr>
<td></td>
<td>Teaching &amp; Research Assistants, House Staff (S802, S807, S804)</td>
<td>$2,887</td>
<td>$11</td>
<td>$29</td>
<td></td>
<td>$3,038</td>
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<tr>
<td></td>
<td>Staff Salaries (S800, SUB5, SUB6, SUBX, STFO)</td>
<td>$6,540</td>
<td>$344</td>
<td>$190</td>
<td>$950</td>
<td>$9,024</td>
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<td></td>
<td>Employee Benefits (S860, S828, S867)</td>
<td>$13,844</td>
<td>$141</td>
<td>$171</td>
<td>$316</td>
<td>$14,472</td>
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<td>Total Employee Compensation</td>
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<td>$524</td>
<td>$1,286</td>
<td>$1,426</td>
<td>$54,986</td>
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<tr>
<td>OPERATING EXPENSES AND EQUIPMENT</td>
<td>Supplies &amp; Expense (SUB3)</td>
<td>$1,783</td>
<td>$670</td>
<td>$252</td>
<td>$1,339</td>
<td>$4,054</td>
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<tr>
<td>Subcontracts (SUB7)</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment &amp; Facilities (S834, SUB4)</td>
<td>$13</td>
<td>$71</td>
<td></td>
<td></td>
<td>$84</td>
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<tr>
<td>Total Operating Expenses and Equipment</td>
<td>$3,816</td>
<td>$670</td>
<td>$285</td>
<td>$1,339</td>
<td>$4,039</td>
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<tr>
<td>TRAVEL (SUB5)</td>
<td>$206</td>
<td>$312</td>
<td>$61</td>
<td>$428</td>
<td>$1,007</td>
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<tr>
<td>FINANCIAL AID (SCHL)</td>
<td>$128</td>
<td>$5</td>
<td>$17</td>
<td>$167</td>
<td>$317</td>
<td></td>
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<tr>
<td>OTHER UNALLOCATED (SUBB, SUB7, SBMC)</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td></td>
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<tr>
<td><strong>TOTAL EXPENDITURES</strong></td>
<td>$53,980</td>
<td>$1,511</td>
<td>$1,647</td>
<td>$1,360</td>
<td>$60,418</td>
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<tr>
<td><strong>ANNUAL NET OPERATING POSITION (Surplus (+)/Deficit (-))</strong></td>
<td>$118</td>
<td>$395</td>
<td>$290</td>
<td>$1,430</td>
<td>$2,433</td>
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</tr>
<tr>
<td>See Instructions for Definitions of Fund Types</td>
<td>2015-16 Estimate</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------------------------------------------</td>
<td>------------------</td>
<td>---</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Line</td>
<td>State Funds &amp; Tuition</td>
<td>ICR</td>
<td>Student Fees</td>
<td>All Other Funds</td>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>2013-14 CARRYFORWARD:</td>
<td>$ 5,669</td>
<td>$ 2,320</td>
<td>$ 968</td>
<td>$ 4,135</td>
<td>$ 13,111</td>
<td></td>
</tr>
<tr>
<td>2014-15 CARRYFORWARD:</td>
<td>$ 6,656</td>
<td>$ 1,494</td>
<td>$ 1,375</td>
<td>$ 3,397</td>
<td>$ 12,922</td>
<td></td>
</tr>
<tr>
<td>Change from Prior Year</td>
<td>$ 967</td>
<td>(835)</td>
<td>$ 407</td>
<td>(738)</td>
<td>(199)</td>
<td></td>
</tr>
</tbody>
</table>

**Sources of Annual Operating Funds**

<table>
<thead>
<tr>
<th></th>
<th>State Funds and Tuition</th>
<th>Indirect Cost Return</th>
<th>Other Student Fees [list if desired, not required]</th>
<th>Other Fund Types [list if desired, Not Required]</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$ 54,030</td>
<td>$ 1,130</td>
<td>$ 2,125</td>
<td>$ 2,050</td>
<td></td>
</tr>
</tbody>
</table>

**Employee Compensation:**

- Faculty
  - Regular Faculty (ACAD, SUB1, SUB2): $28,312
  - Academic Administrators (SUB5): $170
  - Other Academics (SUB6, SUB3, ACAX, ACGA): $191
- Teaching & Research Assistants, House Staff (SUB2, SUB7, SUB4): $2,945
- Staff Salaries (STFO, SUB3, SUB5, SUBX, STFB): $6,429
- Employee Benefits (SUB6, SUB8, SUB7): $16,258

**Total Employee Compensation:** $52,305

**Operating Expenses and Equipment**

- Supplies & Expense (SUB3): $1,880
- Subcontracts (SUB7): $39
- Equipment & Facilities (SUB4, SUB9): $39

**Total Operating Expenses and Equipment:** $2,019

**Travel (SUBS):** $227

**Financial Aid (SCHL):** $141

**Other Unallocated (SUB3, SUB7, SUBMC):** $2,050

**Distributions to Other Units & Debt Service:** $228

**Total Expenditures:** $54,692

**Annual Net Operating Position (Surplus (+)/Deficit (-)):** ($228)

**Estimated Contract and Grant Direct Expenditures:** $1,556

Explanation Notes:
The only salary increases assumed in both sources and uses is the 4% BY salary increase.
HAres Carryforward (July 2014)

- July 2014 Carryforward (CF) balance in State Funds/Tuition/Fees and ICR/Other Unrestricted categories combined was $11.1 million or 21% of 2013-14 expenditures.

- When including COBL’ed funds, the carryforward balance in State Funds/Tuition/Fees and ICR/Other Unrestricted categories was $7.2 million or 13.4% of 2013-14 expenditures.

- Approximately 44% of the total carryforward is held in the dean’s office.

- Carryforward balances in each of the four administrative clusters ranged from 11-14% when measuring State Funds/Tuition/Fees and ICR/Other Unrestricted combined against expenditures (Hart Interdisciplinary Programs-14%, Languages & Literature-12%, The Arts Administrative Group-11% and Voorhies Administrative Group-11%). Using the same calculation method, L&S Development had a carryforward of 13% and CLTC’s carryforward was 43%.

- The HAres dean’s office carryforward increased $344k from July 2013 to July 2014, but will decrease in July 2015 due to significant investments made in 2014-15. These include $170k in building renovations and facilities upgrades, over $150k graduate student support, $119k in funding for staff positions, $85k in faculty startup funding not provided by campus, $80k for piano refurbishing in the Music department, and $39k in unfunded OP tax for the division.

- For 2015-16 and beyond HArCS plans to allocate $4 million in reserves to invest in the following high priority areas:
  
  - $2.3 million over the next 5 years to help cover the benefits shortfall
  - $600k for building renovation and maintenance
  - $375k for faculty retentions
  - $200k for computer equipment replacement/computer lab upgrades
  - $200k for supplemental instruction costs
  - $100k for graduate student fellowships
  - $100k for student outreach and recruitment
  - $100k commitment to TANA
1. Please describe the annual budget process for your unit. Include information such as: who is involved in the process; what type of information is provided to leadership, faculty, and other stakeholders; what type of review is done of sub-unit budget status (i.e. department, center, dean’s office, etc.) and how often? Please include links for any information published on the web.

For the past few years, the HArCS annual budget process has focused on allocations for supplemental teaching resources (approx. $10M in salaries for lecturers, Als/TAs, and readers). Each January an annual call for the following year’s teaching plan is emailed to each Chair/Director. Meetings with each Chair/Director, CAO and dean’s office staff are held from February to April. At the meetings, data related to unit workload, prior year allocations, and faculty annual SCHs are provided by the dean’s office and discussed as a group. Academic units develop a proposed teaching plan with projected funding required for lecturers, Als/TAs, and readers. After discussion with the Chairs/Directors, allocation decisions are made. Throughout the academic year, adjustments are made as necessary due to things such as added course sections, leaves of absence, or higher than expected enrollments.

For 2015-16, the dean’s office developed a detailed multi-year faculty hiring model. The first version of the model and five-year faculty hiring plan were shared with both the HArCS chairs/directors and the HArCS Steering Committee on multiple occasions. Based upon input from these groups, significant revisions to the model were made. As assumptions change based upon additional faculty separations or additional undergraduate tuition revenue becomes available, the model will be updated and shared with the chairs/directors and the steering committee.

2. How do you monitor your financial status throughout the fiscal year? What funds do you currently monitor? How do you envision using new reporting tools? How frequently are reports provided to unit leadership? What is the process for making adjustments mid-year?

The Assistant Dean meets with the Dean quarterly (at a minimum) to go over the dean’s office financial status. Beginning in December 2014 the quarterly Sources and Uses document was completed and submitted to central campus. This document monitors State Funds & Tuition, ICR funds, Student Fee funds, and All Other funds with the exception of Contracts & Grants. This report has been shared with the division’s steering committee. As HArCS looks ahead to 2015-16, we know that we will begin to use more of our carryforward funds, specifically State funds, due to a variety of factors, including: the plan to buy-down the $850,000 benefits shortfall over the next five years, expanding the number of courses/sections in areas that have high student demand or have the potential to have healthy enrolments, and adding new growth faculty
positions to keep pace with the 2020 growth plan. We will monitor expenditures on a quarterly basis, and make adjustments as necessary (such as deferring staff or faculty hiring, or using additional carryforward to offset any unanticipated losses).

3. How are administrative and academic support functions distributed in your unit? What functions are supported in the Dean’s Office, Department, or other (i.e. clusters)? How is the level of funding for administrative and academic support functions determined or evaluated?

The HArCS division is divided into four main “clusters” – the Arts Administrative Group, Hart Interdisciplinary Programs, Languages & Literature, and the Voorhies Administrative unit. Each of these academic clusters has staff that supports all administrative and academic support functions within their cluster. Funding for the administrative and academic support functions is evaluated based on the numbers of faculty/staff FTE supported, numbers of students supported, and the size of the budget that is managed. Some of HArCS’ units have formed a “shared service” for IT support (Hart Interdisciplinary Programs (HIP), Languages & Literature and the dean’s office – see next question).

4. Have you identified any areas where there are opportunities for administrative or organizational efficiencies within your unit? Over the past 2-3 years, have you implemented any such efficiency measures? Please describe these changes and any results known thus far. What barriers are there to implementing other efficiencies identified?

When the College of L&S Information Technology unit dissolved (January 2014), the HArCS dean’s office, including L&S Development, began being supported by a mini-shared service IT support unit within the division that had been supporting Hart Hall and Languages & Literatures departments/programs. This is the only shared service area within the division and it has been successful. The other administrative clusters (Arts Administrative Group and Voorhies) have expressed interest in joining the IT shared service unit. It will be good to know the outcome of the L&S College structure before planning/implementing any new organizational changes.

5. How do you support graduate education? Has this changed as a result of the new graduate budget model and associated funds?

HArCS provides approximately $231K annually (above and beyond what is provided in the block grant funding from Office of Graduate Studies) to help support graduate students via the following: $101k in NRST matching support, $57k in Dissertation Year Fellowships, $50k in summer fellowships, and $23k in Graduate Scholar fellowships. These funds are awarded through a variety of mechanisms.
6. What are your research goals? How do you support research infrastructure? What is the greatest challenge your unit would need to overcome to grow research activity? How would you achieve a 6-8% increase?

Interdisciplinary collaboration and research is at the heart of the HArCS division. We support this research by considering opportunities for interdisciplinary research in our strategic planning process. HArCS uses the Davis Humanities Institute (DHI) to coordinate research efforts in the division. Recently the division has been successful in getting a $1.5 million Mellon grant and most recently a $400,000 Mellon grant to support a public scholars program administered through the DHI. In addition, the DHI along with support of the existing Faculty Research Program Awards, added two Creative Arts Fellowships at $12K/each to serve faculty in the creative and visual arts. Finally, HArCS has recently received an invitation from the ACLS to submit a proposal for their new Postdoctoral Partnership Initiative (similar to their past New Faculty Fellows program for which HArCS had two recipients). If awarded, the initiative would cover approximately half the cost of one two-year postdoctoral fellowship.
**2013-14 Sources of Current Operating Allocations & Revenue** (dollars in thousands): $56,623

- Including contracts and grants, GF, Tuition, and ICR is ~85% of Sources in 2013-14 and is expected to be the same in 2014-15.
- Excluding contracts and grants, GF, Tuition, and ICR is ~90% of both Sources and Uses in 2013-14 and 2014-15.
- Excluding contracts and grants, ~95% of GF, Tuition, and ICR and about 55% of Other Funds are anticipated to be expended on salaries and benefits in 2014-15. In 2013-14, the comparable figures were about 95% and about 40%.
- Each division of L&S provides a shared service to the other divisions. For 2013-14, HArCS’ budget included $2.5M for L&S development; MPS’ budget included $400,000 for L&S commencements, L&S computing services, student assistant and other miscellaneous support (beginning in 2014-15, MPS will provide collegewide marketing and communications); and DSS’ budget included $2.3M for collegewide advising.

**Current Operating Sources and Uses: All Funds** (dollars in thousands)

(Excluding Contracts & Grants and Agency Accounts)

<table>
<thead>
<tr>
<th>SOURCES OF FUNDS</th>
<th>2013-14 Actual</th>
<th>2014-15 Budget Estimate</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>State Funds, Tuition &amp; ICR</td>
<td>All Other Funds</td>
</tr>
<tr>
<td>State Funds and Tuition</td>
<td>$51,092</td>
<td>-</td>
</tr>
<tr>
<td>Indirect Cost Return</td>
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<tr>
<td>Other Student Fees</td>
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<td>Other Funds</td>
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<td><strong>TOTAL SOURCES</strong></td>
<td><strong>$51,959</strong></td>
<td><strong>$4,663</strong></td>
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**Current Operating Sources and Uses: All Funds** (dollars in thousands)
(Excluding Contracts & Grants and Agency Accounts)

<table>
<thead>
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<th>USES OF FUNDS</th>
<th>State Funds, Tuition &amp; ICR</th>
<th>All Other Funds</th>
<th>State Funds, Tuition &amp; ICR</th>
<th>All Other Funds</th>
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<tr>
<td><strong>Employee Compensation</strong></td>
<td></td>
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</tr>
<tr>
<td>Regular Faculty</td>
<td>$26,087</td>
<td>$313</td>
<td>$28,356</td>
<td>$1,100</td>
</tr>
<tr>
<td>Academic Administrators</td>
<td>$168</td>
<td>$3</td>
<td>$155</td>
<td>$5</td>
</tr>
<tr>
<td>Other Academics</td>
<td>$161</td>
<td>$45</td>
<td>$180</td>
<td>$102</td>
</tr>
<tr>
<td>Teaching &amp; Research Assistants, House Staff</td>
<td>$2,575</td>
<td>-</td>
<td>$2,800</td>
<td>$75</td>
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<tr>
<td>Staff Salaries</td>
<td>$7,003</td>
<td>$789</td>
<td>$7,400</td>
<td>$915</td>
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<td>Employee Benefits</td>
<td>$12,423</td>
<td>$343</td>
<td>$14,149</td>
<td>$410</td>
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<tr>
<td><strong>SUBTOTAL</strong></td>
<td>$48,417</td>
<td>$1,494</td>
<td>$53,040</td>
<td>$2,607</td>
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<tr>
<td><strong>Operating Expenses &amp; Equipment</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Supplies &amp; Expense</td>
<td>$2,503</td>
<td>$1,643</td>
<td>$2,050</td>
<td>$1,450</td>
</tr>
<tr>
<td>Subcontracts</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
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<tr>
<td>Equipment &amp; Facilities</td>
<td>$27</td>
<td>$30</td>
<td>$30</td>
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<td><strong>SUBTOTAL</strong></td>
<td>$2,530</td>
<td>$1,673</td>
<td>$2,080</td>
<td>$1,450</td>
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<td>Travel</td>
<td>$461</td>
<td>$490</td>
<td>$510</td>
<td>$465</td>
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<td>Financial Aid</td>
<td>$142</td>
<td>$180</td>
<td>$140</td>
<td>$200</td>
</tr>
<tr>
<td>Other Unallocated</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
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<tr>
<td><strong>TOTAL EXPENDITURES</strong></td>
<td>$51,550</td>
<td>$3,838</td>
<td>$55,770</td>
<td>$4,722</td>
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<tr>
<td><strong>ANNUAL NET OPERATING POSITION</strong></td>
<td>$409</td>
<td>$826</td>
<td>-$1,420</td>
<td>-$247</td>
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<tr>
<td>Prior Year Carryforward</td>
<td>$7,662</td>
<td>$5,600</td>
<td>$8,247</td>
<td>$6,273</td>
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</table>
Ladder Faculty and SOE by Department (October 2014)

<table>
<thead>
<tr>
<th>DEPARTMENT</th>
<th>2010</th>
<th>2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>African American Studies</td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td>American Studies</td>
<td>6.5</td>
<td>5.5</td>
</tr>
<tr>
<td>Art &amp; Art History</td>
<td>18.5</td>
<td>13</td>
</tr>
<tr>
<td>Asian American Studies</td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td>Chicano/a Studies</td>
<td>6</td>
<td>8</td>
</tr>
<tr>
<td>Cinema and Technocultural Studies</td>
<td>5.5</td>
<td>5.5</td>
</tr>
<tr>
<td>Classics</td>
<td>-</td>
<td>5</td>
</tr>
<tr>
<td>Comparative Literature</td>
<td>8.5</td>
<td>8.5</td>
</tr>
<tr>
<td>Design</td>
<td>9.2</td>
<td>11</td>
</tr>
<tr>
<td>East Asian Languages and Cultures</td>
<td>7</td>
<td>9</td>
</tr>
<tr>
<td>English</td>
<td>36.25</td>
<td>33.75</td>
</tr>
<tr>
<td>French &amp; Italian</td>
<td>9.5</td>
<td>7.5</td>
</tr>
<tr>
<td>German &amp; Russian</td>
<td>8</td>
<td>7</td>
</tr>
<tr>
<td>Music</td>
<td>12</td>
<td>14</td>
</tr>
<tr>
<td>Native American Studies</td>
<td>7.6</td>
<td>8</td>
</tr>
<tr>
<td>Religious Studies</td>
<td>7</td>
<td>9</td>
</tr>
<tr>
<td>Spanish &amp; Portuguese</td>
<td>18.5</td>
<td>14.5</td>
</tr>
<tr>
<td>Theatre and Dance</td>
<td>11.5</td>
<td>7</td>
</tr>
<tr>
<td>University Writing Program</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>Women's Studies</td>
<td>8</td>
<td>5.1</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>196.55</strong></td>
<td><strong>190.35</strong></td>
</tr>
</tbody>
</table>

Data Source: October Snapshot of PPS Staffing List and Open Provisions

1 Filled FTE includes FTE as detailed in PPS and open provisions held for faculty unable to officially occupy the FTE.

Ladder Faculty Recruitment and Hiring Trends (Filled Faculty N=190 as of 10/31/14)
Ladder Faculty Recruitment and Hiring Trends (Filled Faculty N=190 as of 10/31/14)

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Recruitments Authorized (Search Year)</td>
<td>5.00</td>
<td>11.00</td>
<td>13.00</td>
<td>8.00</td>
<td>17.00</td>
</tr>
<tr>
<td>Hires (Appointment Year)</td>
<td>4.00</td>
<td>3.00</td>
<td>10.00</td>
<td>11.00</td>
<td>10.00</td>
</tr>
<tr>
<td>Separation (Following Exit Year)</td>
<td>-12.70</td>
<td>-12.50</td>
<td>-8.70</td>
<td>-16.00</td>
<td>-6.50</td>
</tr>
<tr>
<td>Net Change Hires-Separations</td>
<td>-8.70</td>
<td>-9.50</td>
<td>1.30</td>
<td>-5.00</td>
<td>3.50</td>
</tr>
</tbody>
</table>

Note:
1) Total recruitments includes continuing and new. Recruitments authorized as continuing in July that resulted in a hire as of 9/30/14 are not counted as a recruitment in FY2014-15. Also includes 3 authorized HIP searches.
2) Hires in 2014-15 include offers accepted with start dates that fall in 2014-15.
3) Separations have been shifted to the year following the separation to better reflect faculty available for instruction within a given academic year. The majority of separations occurs during the final quarter of the fiscal year - or after teaching for that academic year is complete.

Employee FTE Excluding Ladder Faculty and SOE (October 2014)

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Federation</td>
<td>75</td>
<td>109</td>
<td>5</td>
<td>2</td>
<td>80</td>
<td>112</td>
</tr>
<tr>
<td>Other Academic Staff</td>
<td>5</td>
<td>11</td>
<td>5</td>
<td>11</td>
<td>10</td>
<td>21</td>
</tr>
<tr>
<td>SMG and MSP</td>
<td>8</td>
<td>8</td>
<td>2</td>
<td>2</td>
<td>10</td>
<td>10</td>
</tr>
<tr>
<td>Professional &amp; Support Staff (PSS)</td>
<td>100</td>
<td>91</td>
<td>23</td>
<td>31</td>
<td>122</td>
<td>123</td>
</tr>
<tr>
<td>Student Employees</td>
<td>159</td>
<td>149</td>
<td>13</td>
<td>14</td>
<td>172</td>
<td>163</td>
</tr>
<tr>
<td><strong>TOTAL FTE</strong></td>
<td><strong>347</strong></td>
<td><strong>369</strong></td>
<td><strong>47</strong></td>
<td><strong>59</strong></td>
<td><strong>393</strong></td>
<td><strong>428</strong></td>
</tr>
</tbody>
</table>

Data Source: October Snapshot of Corporate Personnel System
Note: The sum may not match the total due to rounding.

Endowment (dollars in thousands) (Market Value of Principal as of June 30, 2014)

<table>
<thead>
<tr>
<th>ENDOWMENT PURPOSE</th>
<th>Endowment</th>
<th>Funds Functioning as Endowments (FFE)</th>
<th>Grand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Departmental Libraries</td>
<td>$13</td>
<td>-</td>
<td>$13</td>
</tr>
<tr>
<td>Departmental/School Purposes</td>
<td>$2,407</td>
<td>$718</td>
<td>$3,125</td>
</tr>
<tr>
<td>General Library</td>
<td>$32</td>
<td>-</td>
<td>$32</td>
</tr>
<tr>
<td>General Purposes</td>
<td>$12</td>
<td>-</td>
<td>$12</td>
</tr>
<tr>
<td>Prizes and Awards</td>
<td>$308</td>
<td>$346</td>
<td>$654</td>
</tr>
<tr>
<td>Professorships and Chairs</td>
<td>$4,360</td>
<td>$1,380</td>
<td>$5,740</td>
</tr>
<tr>
<td>Research</td>
<td>$1,634</td>
<td>-</td>
<td>$1,634</td>
</tr>
<tr>
<td>Student Aid</td>
<td>$3,034</td>
<td>$1,266</td>
<td>$4,300</td>
</tr>
<tr>
<td>Various Purposes</td>
<td>$1,014</td>
<td>-</td>
<td>$1,014</td>
</tr>
<tr>
<td><strong>GRAND TOTAL</strong></td>
<td><strong>$12,813</strong></td>
<td><strong>$3,710</strong></td>
<td><strong>$16,523</strong></td>
</tr>
</tbody>
</table>

Note: Total endowment market value increased 14.29% over the prior year. The category “Prizes and Awards” may include some scholarships and fellowships.
Budget Context: Division of Humanities, Arts & Cultural Studies

Base Budget Model Funds Allocation

Undergraduate Tuition Revenue Metrics

<table>
<thead>
<tr>
<th>METRIC</th>
<th>2014-15</th>
<th>2015-16</th>
<th>% Change</th>
<th>Redistribution</th>
<th>Add’l Base Tuition</th>
<th>Add’l NRST</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>SCH</td>
<td>18.5%</td>
<td>18.7%</td>
<td>1%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Majors</td>
<td>9.3%</td>
<td>9.4%</td>
<td>1%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Degrees</td>
<td>13.5%</td>
<td>11.8%</td>
<td>-13%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Weighted Share (60-30-10)</td>
<td>15.2%</td>
<td>15.2%</td>
<td>0%</td>
<td>$(34,000)</td>
<td>$384,000</td>
<td>$306,000</td>
<td>$656,000</td>
</tr>
</tbody>
</table>

OP Tax (dollars in thousands)

<table>
<thead>
<tr>
<th>FUND SOURCE</th>
<th>2014-15</th>
<th>2015-16</th>
<th>$ Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>State/Tuition</td>
<td>$718</td>
<td>$778</td>
<td>$60</td>
</tr>
<tr>
<td>Extramural and ICR</td>
<td>$88</td>
<td>$80</td>
<td>$(8)</td>
</tr>
<tr>
<td>All Other Fund Sources</td>
<td>$61</td>
<td>$63</td>
<td>$2</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$867</strong></td>
<td><strong>$921</strong></td>
<td><strong>$54</strong></td>
</tr>
</tbody>
</table>

Note: The fund source categories are different than the ones used in prior years; this change accounts for some shift in tax liability between categories.

Budget and Institutional Analysis, June 2015 | Page 6
## Division of Humanities, Arts & Cultural Studies

### Campus Carryforward and Reserve Balances

(dollars in 000s)

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Carryforward</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>As of July 1, 2012</td>
<td>$5,254</td>
<td>$5,484</td>
<td>$6,386</td>
<td>$2,560</td>
<td>$1,500</td>
</tr>
<tr>
<td><strong>Carryforward</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>As of July 1, 2013</td>
<td>$706</td>
<td>$846</td>
<td>$1,010</td>
<td>$233</td>
<td>-</td>
</tr>
<tr>
<td><strong>Committed Obligations COBL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Known Obligations KOBL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### State Funds/Tuition/Fees

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>General Funds and Tuition</td>
<td>$5,254</td>
<td>$5,484</td>
<td>$6,386</td>
<td>$2,560</td>
<td>$1,500</td>
</tr>
<tr>
<td>Summer Session Fees</td>
<td>$706</td>
<td>$846</td>
<td>$1,010</td>
<td>$233</td>
<td>-</td>
</tr>
<tr>
<td>Professional Degree Fees</td>
<td>$65</td>
<td>$13</td>
<td>$8</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Course Material Fees</td>
<td>$110</td>
<td>$99</td>
<td>$42</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Campus-Based and Other Student Fees</td>
<td>$5</td>
<td>$5</td>
<td>$11</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

### Indirect Cost Recovery

<table>
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</thead>
<tbody>
<tr>
<td></td>
<td>$1,774</td>
<td>$2,178</td>
<td>$1,861</td>
<td>$978</td>
<td>$155</td>
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</table>

### Other Unrestricted Funds

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Private Unrestricted Gifts</td>
<td>$338</td>
<td>$309</td>
<td>$283</td>
<td>$138</td>
<td>-</td>
</tr>
<tr>
<td>Other Funds</td>
<td>$434</td>
<td>$644</td>
<td>$477</td>
<td>$60</td>
<td>-</td>
</tr>
<tr>
<td>Unrestricted Endowment/FFE Earnings</td>
<td>$43</td>
<td>$31</td>
<td>$92</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>UNEX Reserves</td>
<td>$771</td>
<td>$932</td>
<td>$965</td>
<td>$8</td>
<td>-</td>
</tr>
</tbody>
</table>

### Self-Supporting Degree Fees

<table>
<thead>
<tr>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Sub-Total, Other Unrestricted Funds</td>
<td>$1,585</td>
<td>$1,915</td>
<td>$1,817</td>
<td>$206</td>
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</tr>
</tbody>
</table>

### All Funds Total

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$12,790</td>
<td>$13,261</td>
<td>$14,520</td>
<td>$11,165</td>
<td>$155</td>
</tr>
</tbody>
</table>

### Select Fund Types -- State Funds/Tuition/Fees

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Prior Year Expenditures</td>
<td>$44,281</td>
<td>$46,662</td>
<td>$50,715</td>
<td>$50,715</td>
<td></td>
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<tr>
<td>CF as a % of Expenditures</td>
<td>14%</td>
<td>14%</td>
<td>15%</td>
<td>9%</td>
<td></td>
</tr>
</tbody>
</table>

### Select Fund Types -- ICR/Other Unrestricted

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Prior Year Expenditures</td>
<td>$2,270</td>
<td>$2,515</td>
<td>$2,685</td>
<td>$2,685</td>
<td></td>
</tr>
<tr>
<td>CF as a % of Expenditures</td>
<td>148%</td>
<td>163%</td>
<td>137%</td>
<td>93%</td>
<td></td>
</tr>
</tbody>
</table>

### All Fund Types

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Prior Year Expenditures</td>
<td>$49,060</td>
<td>$51,612</td>
<td>$55,417</td>
<td>$55,417</td>
<td></td>
</tr>
<tr>
<td>CF as a % of Expenditures</td>
<td>26%</td>
<td>26%</td>
<td>26%</td>
<td>26%</td>
<td></td>
</tr>
</tbody>
</table>

### Gift Fee Funds -UC Fund (56996):

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Carryforward</td>
<td>$264</td>
<td>$249</td>
<td>$266</td>
<td>$266</td>
<td></td>
</tr>
<tr>
<td>Prior-year Expenditures</td>
<td>$162</td>
<td>$261</td>
<td>$358</td>
<td>$358</td>
<td></td>
</tr>
<tr>
<td>CF as a % of Expenditures</td>
<td>163%</td>
<td>95%</td>
<td>74%</td>
<td>74%</td>
<td></td>
</tr>
</tbody>
</table>

### Comments:

- HArCS has a low carryforward. Carryforward is flat at 26% over the three-year period.
- Nearly all carryforward is held by Departments/other.
- Most HArCS ICR and other unrestricted is not generated by HArCS but instead allocated by campus; therefore, HArCS uses GF, ICR, and other unrestricted almost interchangeably. This totals $11.1M on $53.4M expenditures, resulting in 21% carryforward before any COBL adjustments, and down to 13.4% after COBL adjustments.
- Gift fees for all L&S divisions are reflected in HArCS.

---

1. Campus-Based and Other Student Fees category is almost 90% student referendum funds on a campus-wide basis.
2. Other Funds category is 90% STIP and patent revenue on a campus-wide basis.
3. Restricted and Designated Funds excludes contracts and grants for each unit, as does expenditures.
4. HEFC-FINA is excluded from all funds.
<table>
<thead>
<tr>
<th>Carryforward - Details on committed and Known Obligations (Fall Review)</th>
<th>Project Code</th>
<th>Committed</th>
<th>Known</th>
</tr>
</thead>
<tbody>
<tr>
<td>OBLIGATION TYPE/DESCRIPTION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contract Employees</td>
<td>CFCONT####</td>
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