Faculty Input on Budget and Resource Allocations: Statement of Principles and Priorities
March 27, 2013

Faculty have an important role to play in advising the Chancellor on matters affecting the general welfare of the campus, and on matters of academic policy, including priorities, resource and salary allocation, and budgets (Section 23-45B of the UW Faculty Code). Budget and resource allocation should be guided by the information, perspective, and priorities that faculty bring. Faculty offer diverse perspectives that can enhance decision making and facilitate transparency of information. While budgetary authority ultimately lies with the Chancellor, faculty have an important duty to fulfill in providing budget advice.

The university is a complex organization which to function well requires the good faith of people in different roles dedicated to a common purpose. At UWT, the faculty-administration relationship is one that will continue evolving as the university grows and matures. To be effective partners in guiding the institution, the faculty must:

- Regularly and frequently access and analyze budget and resource information
- Develop and maintain expertise regarding the complexities of budgeting and resource allocation
- Collaborate and communicate with administrators on both short term and long term campus plans,
- Provide timely queries, and receive timely responses
- Strive to advance the academic purpose of the institution through budget and resource advice.

Two unique characteristics make faculty input in budget decisions particularly valuable. First, faculty directly carry out the academic mission of the university and accordingly have information and expertise on the strengths and shortcomings of the institution in meeting this mission. Second, faculty tend to be the most enduring members of the university community, and a portion will spend their entire careers at this institution. Thus faculty can bring both continuity of vision and a long-term perspective to discussions of campus development and priorities.

Budget Advice Principles

I. Process Principles in Budget Development and Resource Allocation

1. Faculty within academic units should play a robust role in developing budget and resource allocation requests, and must be able to articulate what requests were made, which were not, and how and why those decisions were made.
2. Elected faculty at the campus level (Executive Council members) play a robust role in advising on the prioritization of resource allocation requests, and should be able to articulate what requests were funded, which were not, and how and why those decisions were made. SEC faculty play a central role in communicating campus-level decision making to faculty across campus.
3. EC faculty should solicit and utilize information from the Chancellor and academic unit leaders regarding the rationale for resource allocation requests, and should assess the fit of requests with the short- and long-term vision for campus and the academic units.
4. Faculty should consider all sources of revenue and costs when offering resource allocation advice rather than considering specific decisions in isolation.
5. The timing of resource decision-making will support a deliberative process with meaningful input from faculty. Faculty should understand the process and its timing well in advance of meaningful decisions.
6. Decisions should be communicated in a timely way with a clear rationale, particularly when they are not congruent with recommendations made by different constituencies.
7. The outcomes of decisions should be evaluated. Assessments about the effectiveness with which resources have been used should be used to inform subsequent decisions.

II. Content Principles in Budget Development and Resource Allocation

1. The academic mission, which encompasses teaching, learning, scholarship and academic support, is the university’s highest priority.
2. Decisions regarding the faculty size and composition by rank should reflect the academic mission.
3. Budget requests should be made based on data, whether past or projected, and should be aligned with an articulated vision and strategy.
4. Academic planning should be aligned in scope and timeframe with resource planning.
5. Past resource allocation decisions should not always be prioritized over new ones.

**Budget Priorities**

In general, the faculty supports the following priorities:

- Proposals that strengthen our core academic mission.
- Proposals that strengthen our capacity to provide our region with intellectual leadership.
- Proposals that add to our reputation as an innovative institution.
- Proposals that reflect widespread input and inclusive deliberation, and that communicate a vision.
- Proposals where the rationale is clearly articulated, is based on evidence, reflects careful and thoughtful planning, and considers tradeoffs.
- Proposals where faculty hiring decisions reflect the longer term vision of units on the ideal composition of their faculty, including faculty diversity.
- Proposals that reflect the unit’s vision and plans in terms of growth and the curricular changes.
- Proposals where evidence suggests that previous resource allocations have been used effectively to advance the campus and unit mission.
- Proposals that support growth aligned with the mission of the institution.

*Approved by Executive Council (March 21, 2013)*