UNIVERSITÉ
YORK
UNIVERSITY

ACADEMIC PLANNING AND BUDGET UPDATE

SHEILA EMBLETON
VICE-PRESIDENT ACADEMIC

GARY BREWER
VICE-PRESIDENT FINANCE AND ADMINISTRATION

REPORT TO SENATE
APRIL 25, 2002

CONTEXT FOR PLANNING

- Factors in Academic Decision-Making at York:
  - UAP/Strategic Plan priorities
  - Enrolment
  - Special funding
  - Revenue (grants, fees)

- UAP articulates academic priorities:
  - fundamental commitment to liberal arts
  - building on strengths as platforms for new initiatives
  - diversification into professional and applied studies
  - growth in engineering and applied science
  - national leadership in interdisciplinary health studies
  - commitment to high quality graduate education
  - enhanced profile as a leading research university
  - expansion of international programs and activities
  - improved capacity for technology enhanced learning

-These priorities shape planning for all of our academic activities: enrolments, complement, and programming

-Enrolment can be seen as an expression of student interest and demand

-Special funding includes:

-ATOP (funding for growth in demand areas: computer science and engineering)

-Fair Funding (to redress historic underfunding of some universities relative to the system):

-30 "consolidation" appointments to existing areas of strength and growth; all have been made

-36 "innovation" appointments to develop strategic priorities; 27 have been made thus far; 4 allocated for seed funding, etc.

-Nursing

-Education

-Bilingual education grants

-Research Intrastructure Funding (OTO to address underfunding of research)

-Tuition funding from FFTE growth above targets (net of tuition set-aside which supports scholarships, allocations to libraries and Graduate Studies, and allocation to Divisions other than the Academic Division) is flowed to Faculties, based on who teaches the students ("taught-bys")

-Other new revenue is divided among Vice-Presidential/Presidential Divisions, generally with 67% going to the Academic Division, and 3% to the VP Research and Innovation

-Almost all of the revenue coming to the Academic Division is passed on to Faculties, based on a historical base with adjustments to take into account differential needs of programs and the university's strategic priorities

-Reductions in funding (grants and fees, especially limitations imposed by tuition caps on regulated fees), combined with inflation, have led to the imposition of budget cuts; thus far cuts within the Academic Division have been imposed across-the-board

-Targeted funding means less flexibility in how funds can be used; planning driven by external impetus to meet public policy objectives; how do we respond? – how do these targeted areas relate to our objectives?

-York, like other Ontario universities, has taken the position that growth to accommodate the double cohort is contingent on full average funding; government has not yet announced funding mechanisms for double cohort funding but it will be based on growth over 2000-01 base

-For at least the next three years, grant funding is tied to growth in undergraduate domestic enrolments; as double cohort enrolments come on stream, our commitment to international students could come under pressure from government which is determined to see all qualified domestic students accommodated first

-Details of new graduate formula not yet available, but assumption is funding is for eligible students (i.e., domestic and within program time limits) only; no new programs will be approved for funding during a three-year period; targets will have to be met precisely to receive funding

-KPI (Key Performance Indicators which reflect government public policy objectives) funding is based on graduation rates seven years after entry; employment rates six months and two years post-graduation - York received $1.6 million this year compared to $0 last year, but we need to take steps to improve our standing so that our level of KPI support (currently at 6.8% of the system) matches our "share" (about 10-11% on most measures)

EXTERNAL FACTORS IN PLANNING: Update (cont'd)

- Demographic
  - Double cohort
  - Participation rates

-Because of "fast-tracking" the impact of the double cohort is expected to be felt earlier than originally projected

-This is combined with higher-than-projected participation rates

-See graph

Potential for 88,900 More Students by 2010

Projected Full-time University Enrolment in Ontario from Demographics, Participation Rate Increases, Workplace Changes and Secondary School Reform
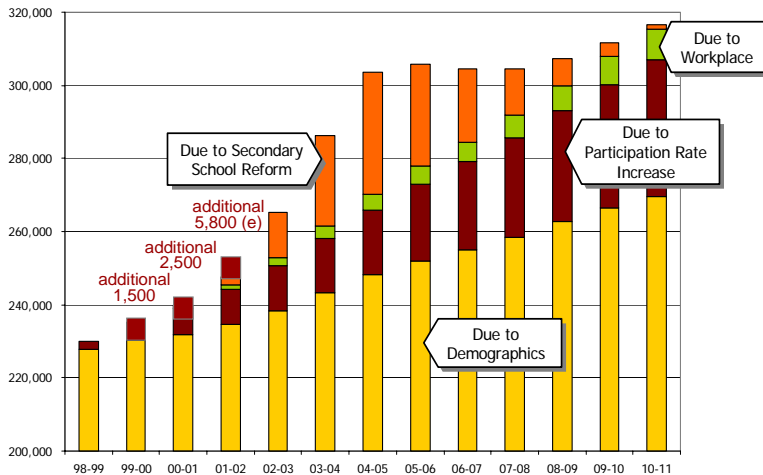
Source: COU, MET.

-The growth in the 18-24 year-old population (the "baby boomer echo"), combined with increasing participation rates, is responsible for the long-term growth illustrated in the graph; the double cohort is responsible for the shorter-term bulge

-Original projections in 1999 published by COU and MET anticipated 88,900 more students by 2010 in the pattern illustrated on this graph; since then it has become clear that, largely due to changes in participation rates (from about 22% now to expected 26.6%), full-time enrolment numbers will be higher than projected, and a revised government projection now suggests that we will have as many as 20,000 more students than anticipated by 2005-06

-At the same time the double cohort is arriving earlier than anticipated because some students are choosing to "fast track"

-The graph illustrates how these effects are beginning to play out in the period 2000-01 through 2002-03

-Originally government and the universities planned for 58,000 more students from 1998-99 to 2005-06 and the SuperBuild capital program was premised on creating 58,000 spaces -- 34,000 from new construction/renovation and 24,000 through university 'efficiencies'

-The government's commitment to provide operating funds – to hire new faculty and staff, enhance library collections and information technology, and operate the new buildings –- was also premised on the original projections
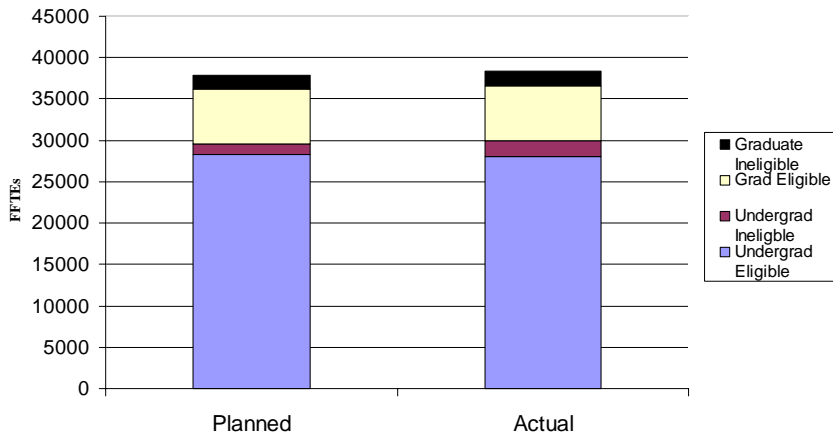
York's Planned Nov. 1st Enrolments to 2009-10 (Heads)
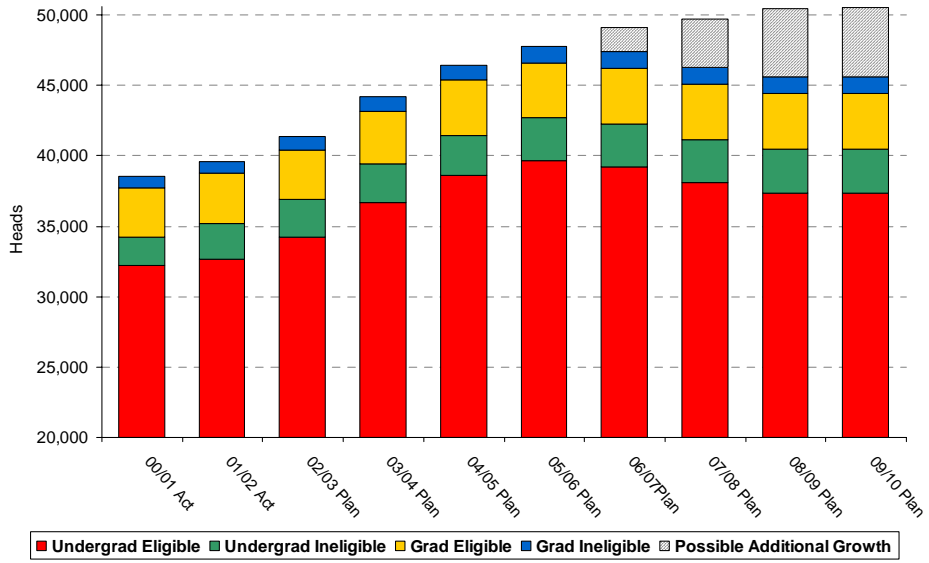
Source: Office of Institutional Research and Analysis and VP Academic, January 2002.

ENROLMENT UPDATE: ACTUAL VS PLANNED ENROLMENTS FOR 2001-2002

Source: Office of the AVP Academic Resource Planning   April 2002

-Note: "Graduate ineligible" includes several categories of students: primarily visa students, but also students who have exceeded program time limits, students in unfunded programs; "undergraduate ineligible" includes several categories: primarily visa students, but also students who have been admitted lacking full credentials, students in the joint Design program with Sheridan

-Enrolment planning is based on the directions and rough numbers outlined in "Strategic Planning for the New Millennium" and projections associated with SuperBuild intended to accommodate enrolment growth for double cohort and beyond

Strategic Framework

- Financial Management Objectives

  – Build financial plans on academic objectives

  – Maintain balanced operating budget /   manage the outstanding deficit

  – Prudently manage investments

  – Plan for compensation and benefits

  – Maintain profitable ancillary operations

2001 - 2005 Budget Plan
(April 2001)

OPERATING BUDGET PLAN SUMMARY - 2001 TO 2005

$Millions

	Actual 2000-01	2001-02	2002-03	2003-04	2004-05
Operating Revenue		$ 347.1	$ 353.5	$ 356.7	$ 359.4
Operating Expenses		$ 347.1	$ 352.5	$ 356.0	$ 354.9
Annual Surplus/(Deficit)		$ 0.0	$ 1.0	$ 0.7	$ 4.5
Cumulative Surplus/(Deficit) Balance	$ (5.5)	$ (5.4)	$ (4.4)	$ (3.7)	$ 0.8

Budget Cuts Required	2000-01	2001-02	2002-03	2003-04	2004-05
BASE - Faculty/Library		2.75%	3.50%	3.00%	1.45%
BASE - Administrative Divisions		4.20%	3.00%	2.50%	1.00%
OTO - All Divisions	0.25%				
OTO - Faculty/Library (from lagging of 4.2% cut)		◄——— $4.8 M ———► ($4.8 M spread over 4 years)			

2001 - 2005 Budget Plan
(April 2001)

- Revenues
  - Approved fee increases
  - Grants increased 1% in 2001/02
- Expenses
  - Inflation
  - Compensation
  - Technology investment
- The April 2001 plan did not reflect enrolment growth assumptions

2002 - 2005 Budget Plan
(Enrolment Growth Updates)

- Planning Changes:

  – Revenue

    - Growth-related fees and grants

  – Expenses

    - Growth-related costs - based on the budget framework that has been developed

Projected Revenue Increase - Full Grant Funding

Legend:
- Grad Grants
- U/G Grants
- Fees

Y-axis ($'s): 0 to 70,000,000

Data labels:
- 2001-02: 8,131,746
- 2002-03: 18,181,802
- 2003-04: 38,922,594
- 2004-05: 56,006,892
- 2005-06: 66,038,067
- 2006-07: 63,004,889
- 2007-08: 54,993,194
- 2008-09: 49,822,337
- 2009-10: 50,301,426
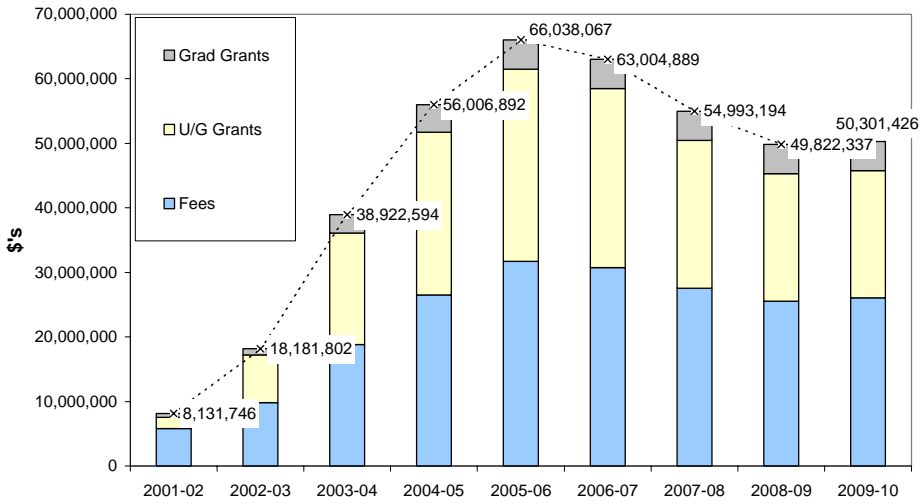
2002 - 2005 Budget Plan
(Enrolment Growth Updates)

- Growth-related Expenses
  - Academic needs:
    - T/S complement
    - part-time complement
  - Additional funds for graduate student support, student financial aid, faculty start-up costs, research support, other investments.
  - Additional administrative/support staff
  - "Fixed" costs for the academic buildings (SSB and TEL).

Faculty Complement Increase - FTEs

Total Administrative/Support Staff Increase
(at 1 Admin FTE for each Faculty FTE)

Complement Increase - FTEs

350
300
250
200
150
100
50
0

2001-02 2002-03 2003-04 2004-05 2005-06 2006-07 2007-08 2008-09 2009-10

☐ T/S Faculty ■ Part-Time FTEs
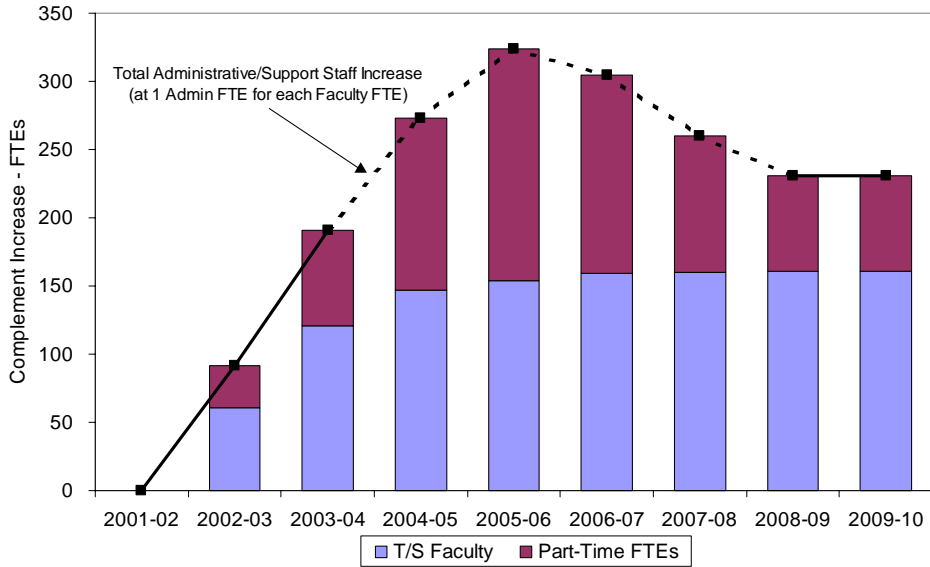
Projected Cost Increases - Full Grant Funding

Legend:
- Other Costs
- Capital/Building Costs
- Admin Salary/Benefits
- PT Salary/Benefits
- T/S Salary/Benefits

Y-axis ($'s): 0, 10,000,000, 20,000,000, 30,000,000, 40,000,000, 50,000,000, 60,000,000, 70,000,000

X-axis: 2001-02, 2002-03, 2003-04, 2004-05, 2005-06, 2006-07, 2007-08, 2008-09, 2009-10

Data labels:
- 1,283,947
- 3,200,000
- 5,600,209
- 1,131,425
- 6,977,069
- 4,448,731
- 5,937,500
- 11,967,830
- 2,644,349
- 14,201,292
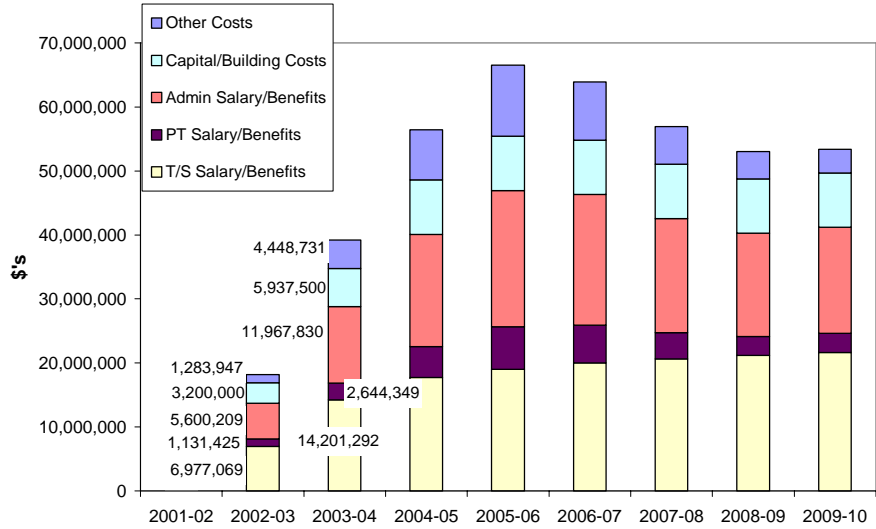
2002 - 2005 Budget Plan
(Enrolment Growth Updates)

Enrolment Growth Revenues	**2002-03**	**2003-04**	**2004-05**
Fee Income	9.8	18.8	26.5
Grant Income	8.0	20.1	29.5
Other Income	0.0	0.3	0.5
Total Enrolment Growth Increases	17.8	39.2	56.5
Enrolment Growth Allocations:			
T/S Salary/Benefits	7.0	14.2	17.7
P/T Salary Benefits	1.1	2.6	4.9
Admin/Support Salary/Benefits	5.6	12.0	17.5
Academic Building Capital Costs	3.2	5.9	8.5
Other Costs/Investments	1.3	4.4	7.9
Total Enrolment Growth Allocations	18.2	39.1	56.5

VP Academic - A Budget Scenario

$000's

Legend: VP Academic - Budget (with cuts) ■ Double Cohort Allocations - A Scenario
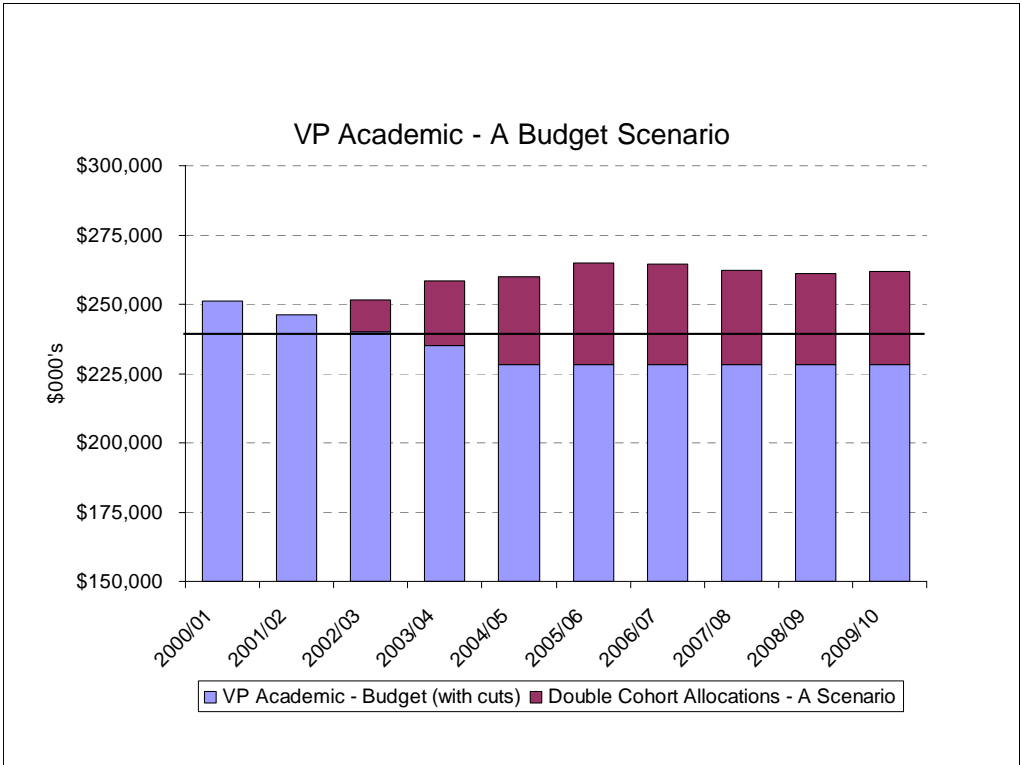
2002 - 2005 Budget Plan
(Enrolment Growth Updates)

- Updated Budget Plan - Status
  - Presentations have been made to Deans, Exec Officers, most Faculty Councils
  - Budget plan is currently being updated to incorporate growth related allocations
  - Will be taken to Board at the end of April
- A Key Issue:
  - Long-term plan is based on full-grant funding
  - Uncertainty exists with respect to timing and amount of funding for 2001/02 and 2002/03

"PILLARS" FOR PLANNING

- Complement
  - Faculty (full-time and contract) and associated support staff
  - Quality
- Space
  - SuperBuild

-There are difficult choices to be made but we must plan to stay on our academic plans; academic plans guide budget plans

-Two priorities of planning, i.e., two main calls on resources:

-resources to support academic complement (importance of attracting and retaining the best and the brightest teachers and researchers) and support staff

-academic/administrative space (including SuperBuild) in which to carry out that teaching and research

-The strategic priorities and directions identified in the UAP shape planning for enrolments, complement (including "regular" appointments, Fair Funding appointments, Canada Research Chairs (CRCs), endowed appointments), and program development; these planning components are all inter-related

-UAP objectives to build on strengths, offer high quality graduate education, and enhance our profile as a leading research university underpin planning in relation to specific areas identified as priorities for development

-Note: priorities identified in CRC Strategic Research Plan are closely aligned with strategic priorities identified in academic planning documents; CRCs frequently support multiple priorities

TENURE STREAM APPOINTMENTS 2002-03

FACULTY	APPTS AUTHO-RIZED	APPTS MADE	DELAYED TO NEXT YEAR	FAILED/ DELAYED OR TBA	APPTS ON OFFER	PENDING SRCHS
AS	38	21	3	8	1	5
AK	15	0	0	0	1	14
ED	3	0	1	0	0	2
ES	1	0	0	1	0	0
FA	13	2	4	1	1	5
GL	6	0	2	0	2	2
OSG	3	0	1	0	2	0
SC	11	1	5	0	4	1
SSB	15	8	4	1	1	1
LIB	2	0	0	0	0	2
TOTALS	107	32	20	11	12	32

Source: Office of the Vice-President Academic   April 24, 2002

-Authorized searches may fail or be delayed at the unit's request for several reasons, e.g., appropriate candidate not identified, candidate declines offer, changing hiring priorities, search delayed to future year to have budget in place; candidate may defer start date

-Faculties must request, and normally receive, authorization if they wish to continue the search in the next year when an appointment is not made

	TENURE STREAM APPOINTMENTS 2002-03 TO DATE: EQUITY STATUS							
FAC.	APPTS MADE	MALE	FEMALE	CANA-DIAN	NON-CANAD.	VISIBLE MINOR.	DIS-ABILITY	ABORI-GINAL
AS	21	12	9	14	7	8	-	-
AK	0	-	-	-	-	-	-	-
ED	0	-	-	-	-	-	-	-
ES	0	-	-	-	-	-	-	-
FA	2	-	2	1	1	1	-	-
GL	0	-	-	-	-	-	-	-
OSG	0	-	-	-	-	-	-	-
SC	1	1	-	-	1	-	-	-
SSB	8	7	1	4	4	-	-	-
LIB	0	-	-	-	-	-	-	-
TOTAL	32	20	12	19	13	9	0	0

-We have just begun to track categories other than male/female and will begin to report these in future years

TENURE STREAM APPOINTMENTS: MALE/FEMALE BREAKDOWN 1997-98 TO 2002-2003

APPT. YEAR	MALE	FEMALE	TOTAL # OF APPTS.
1997-98	18	13	31
1998-99	16	12	28
1999-2000	33	36	69
2000-01	39	36	75
2001-02	34	27	61
2002-03 (to date)	20	12	32
TOTAL	160	136	296

Note: includes professional librarians and conversions; 2002-03 statistics incomplete
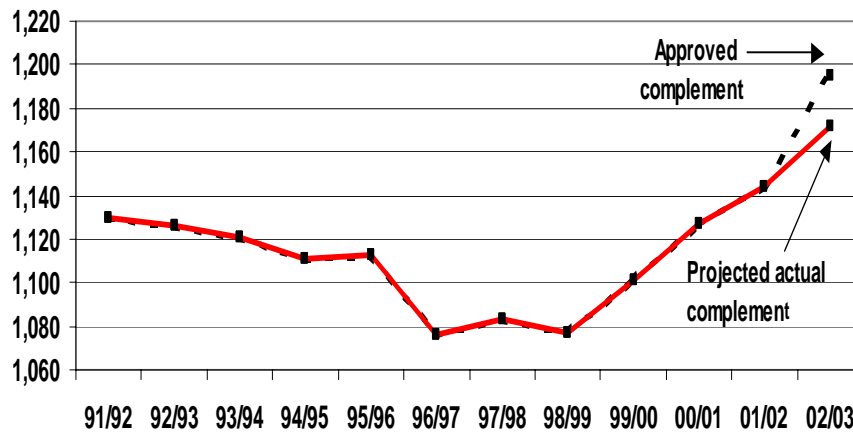
Source: Office of the Vice-President Academic

April 24, 2002

-Percentage of female appointees varies from year to year but is usually just under 50%

-Ability to appoint females varies from unit to unit, often reflecting the pool of applicants in the discipline

-We have just begun to track other categories and will begin to report these in future years

FULL-TIME FACULTY TENURE STREAM
COMPLEMENT: Update

Approved → complement

Projected actual complement

Source: Office of the Vice-President Academic   April 24, 2002

Note: solid red line indicates projected complement level as of July 1, 2002 based on current successful/ongoing searches, with no unanticipated departures; dotted black line indicates complement based on authorized searches if all hires took place, with no unanticipated departures

STRATEGIC PRIORITIES:
Build on Strengths: liberal arts, sciences, fine arts, environmental studies

- **Enrolment:** rebalancing
- **Complement:** Fair funding "consolidation" appointments to areas of strength/growth; significant numbers of CRCs, endowed
- **Programs:** Development of programs with applied or professional aspect (BUSO, computational math); certificates to recognize skills

-Enrolment planning:

  -Decline in liberal arts' share of total university undergraduate enrolments; growth in strategic areas

  -Plans for growth in specific areas of sciences: applied mathematics, biology/biotechnology, collaborative programs with Colleges, TEL

  -Fine Arts' ability to grow is limited by physical capacity; some growth possible in cultural studies, expansion of TVO/film link

  -FES strategic plan to stimulate undergraduate growth

-Fair Funding: of 30 "consolidation" appointments university-wide, 10 appointments are in arts areas, 4 in fine arts, 6 in sciences, and 2 in environmental studies; all have been made

-CRCs: 7 of 16 appointments thus far support the arts and fine arts in areas such as the African diaspora, cultural studies, political economy, philosophy of the mind; 6 support sciences in areas such as mass spectrometry, atomic physics, plant biotechnology, mathematics

-Endowed: appointments in Hellenic Studies; Holocaust and Eastern European Jewry

-New Programs:

  -New programs with "professional" component, e.g., Business and Society, Design, are thriving

  -Certificates in business fundamentals, non-profit management recognize skill sets

  -Language proficiency certificates; TESOL

  -Linkage of communications studies with fine arts programs

  -BSc in computational mathematics

  -Graduate diploma in curatorial studies

-Planning**:**

  -Criminology

  -Cognitive science

  -MA and PhD in humanities

  -Professional writing

  -Revisions to BES program

-Enrolment planning:

    -plans for growth in new programs, e.g., Bachelor of Human Resource Management program

    -Expansion of existing programs in Atkinson (Collaborative Nursing, Social Work direct entry)

    -Growth in Schulich IBBA

    -No growth planned in undergraduate Osgoode programs, but some growth in professional development

    -Targeted special envelope funding to support Education growth

-Fair Funding: 4 "consolidation" appointments in business areas, 2 in law; 4 of 6 "innovation" appointments allocated to the business area have been made and 2 are in progress

-Endowed: appointment to the Koschitzky Chair in Jewish Teacher Education

-New Programs:

    -Schulich Executive MBA (with Kellogg) initiated in January 2002

    -IBBA

    -Bachelors program in Human Resources Management introduced and Masters program approved

    -Part-time Education program

-Planning:

    -Aboriginal Teacher Education program

    -Graduate nursing

-Enrolments:

>-Plans associated with ATOP called for substantial growth in computer science, ITEC and engineering; as of 2001-02, we have met targets and are going beyond target; ITEC is spread among Arts and Atkinson, computer science is FPAS

>-Did not meet enrolment targets for first year of engineering program but new applications are strong

-Complement:

>-Fair funding: 2 of 6 "innovation" appointments allocated to engineering have been made and 2 are in progress

>-CRCs: 1 CRC is attached to engineering

>-ATOP: 10 of 11 appointments associated with ATOP have been made; final search is ongoing

-Programs:

>-Continuing implementation of curriculum and complement planning for new engineering program

>-Development of graduate ITEC program

STRATEGIC PRIORITIES:
Health

- Enrolments: growth in new and existing programs, particularly Atkinson Health Policy and Management
- Complement: Fair Funding, 2 CRCs
- Programs: Atkinson's new health focus

-Enrolment Planning:

  -Special envelope funding to support considerable growth in Nursing

  -Substantial growth expected in Health Policy and Management program; applications strong for coming year

  -Kinesiology enrolments continue to grow

-Complement:

  -Fair Funding: 5 of 7 "innovation" appointments allocated to health area have been made and 2 are in progress

  -2 CRCs relate to health areas in neuroscience/vision and health psychology

-New Programs

  •Atkinson programs in Health Policy and Management introduced

  •Masters program in critical disability studies approved by Senate (pending OCGS approval)

  •PhD in Kinesiology

•Planning:

  •Masters program in Critical Studies in Community Health

  •Graduate program in nursing

STRATEGIC PRIORITIES:
International

- Enrolments: mix of existing and new programs across the curriculum
- Complement: Fair Funding, 3 CRCs, endowed appointments support internationalization
- Programs: across the curriculum; success of professional Faculties in internationalizing
- AVP International
- International projects

-Enrolment Planning: plans for about 500 enrolments spread across a wide variety of new and existing programs with international interest

-Complement:

  -Fair Funding: 6 of 8 appointments allocated to internationalization have been made

  -CRCs: 3 CRCs relate to international issues (African diaspora, citizenship studies, comparative political economy)

  -Endowed: 2 Chairs appointed: Hellenic Studies; Holocaust and Eastern European Jewish Studies

-Programs:

  -Arts Interdisciplinary programs in South Asian Studies, International Development Studies

  -Success of international orientation of Schulich curriculum (programs and exchanges)

  -Continuing transformation of Osgoode curriculum, including a stream in international law

  -TESOL Certificate

  -Language Proficiency Certificates

-In December funding for ten projects to advance York's internationalization was announced by the VPA

-Appointment of AVP International (July 1, 2002) to advance international agenda

STRATEGIC PRIORITIES:
TEL/Collaborative Programs

- Enrolments:
  - across units
  - component of double cohort planning
- Complement: Fair Funding appointments
- Programs: emphasis on collaborative program development and provision of supports for teaching with technology
- TEL Building

-Enrolments:

  -TEL enrolments and appointments are expected to be spread across the curriculum and will be an important component of planning to accommodate double cohort; collaborative programming can benefit from TEL

  -2000 FFTEs ear-marked for TEL/Collaborative as part of SuperBuild

-Complement:

  -Fair Funding: 4 of 4 appointments allocated to TEL have been made in hiring units appropriate to candidates' qualifications

-Programs:

  -Discussions of potential collaborative programs under way with Sheridan, Seneca, Centennial and Georgian Colleges in areas such as information technology, business, professional writing, applied sciences

-Support for teaching and learning with technology

  -CST review of support for teaching across the university, based on the principles that pedagogy must be paramount; technology should enhance the quality of the learning experience provided by York in the service of faculty and students; and we must continue to adhere to academic planning principles of diversity, quality and accessibility

  -Array of models for teaching: no tech to low-tech to mixed mode to fully technology enhanced

  -Pilot projects

-TEL Building on schedule; will provide a focus where technology is used as a tool to support teaching and learning and for research on TEL