

ARIZONA STATE UNIVERSITY - TEMPE
FY 2015 LEGISLATIVE BUDGET REQUEST
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STATE OF ARIZONA
BUDGET REQUEST

TRANSMITTAL STATEMENT

| | | FY 2015 | |
|-----------------|---|------------------------------|----------------------|
| AGENCY | <u>ARIZONA STATE UNIVERSITY - TEMPE</u> | TOTAL AMOUNT REQUESTED | <u>1,888,934,500</u> |
| A.R.S. CITATION | <u>15-1601</u> | GENERAL FUND | <u>310,799,800</u> |
| | | OTHER APPROPRIATED FUNDS | <u>453,068,700</u> |
| | | FEDERAL FUNDS | <u>288,448,000</u> |
| | | OTHER NON-APPROPRIATED FUNDS | <u>836,618,000</u> |

GOVERNOR BREWER:

This and the accompanying budget schedules, statements and explanatory information constitute the operating budget estimates of this agency and the proposed expenditures for Fiscal Year 2015 in accordance with A.R.S. 35-113.

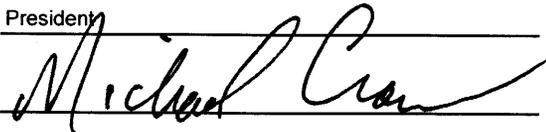
To the best of my knowledge all statements and explanations contained in the estimates submitted are true and correct.

Agency Head Michael Crow

Request Prepared by Lisa Frace

Title President

Phone (480) 727-8117

Signature 

DATE PREPARED: OCTOBER 1, 2013

TRANSMITTAL STATEMENT

Barrett, The Honors College
W. P. Carey School of Business
University College
Mary Lou Fulton Teachers College
Graduate College
ASU Online

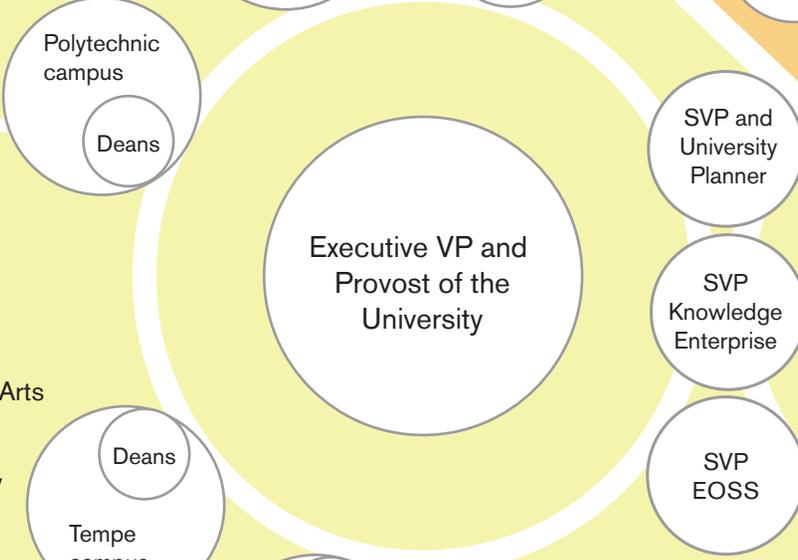
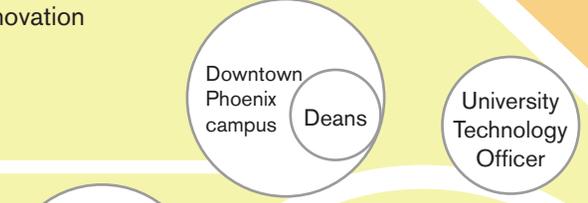
College of Health Solutions
College of Nursing and Healthcare Innovation
College of Public Programs
Walter Cronkite School of Journalism & Mass Communication

College of Technology and Innovation

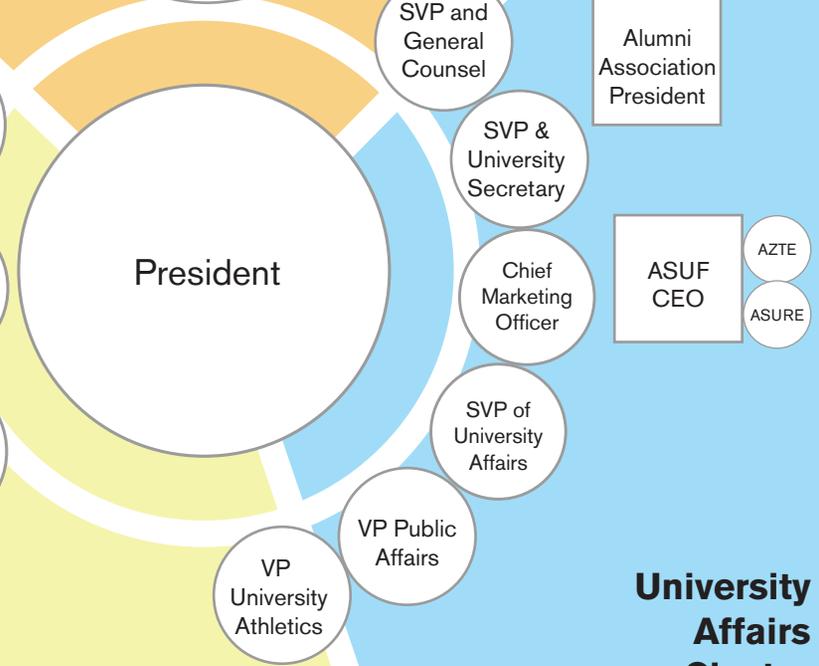
Herberger Institute of Design and the Arts
Ira A. Fulton Schools of Engineering
Sandra Day O'Connor College of Law
College of Liberal Arts and Sciences
School of Sustainability

New College of Interdisciplinary Arts and Sciences

Business Affairs Cluster



Academic Affairs Cluster



University Affairs Cluster

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE ADMIN1
 AGENCY SUMMARY OF ADMINISTRATIVE COSTS**

| | CATEGORY | ACTUAL FY 2013 | ESTIMATED FY 2014 | CONTINUATION REQUESTS | STRATEGIC INVESTMENTS | TOTAL REQUEST FY 2015 |
|--------|---|-------------------|----------------------|--------------------------|--------------------------|-----------------------------|
| | ADMINISTRATIVE COST FUNCTION | | | | | |
| | Executive Management | 6,548.1 | 5,649.6 | | | 5,649.6 |
| | Human Resources | 0.0 | 0.0 | | | 0.0 |
| | Information Technology | 0.0 | 0.0 | | | 0.0 |
| | Business and Finance | 2,397.0 | 2,632.0 | | | 2,632.0 |
| | Other Central Administration | 543.8 | 710.6 | | | 710.6 |
| | TOTAL EXPENDITURES BY COST FUNCTION | 9,488.8 | 8,992.1 | 0.0 | 0.0 | 8,992.1 |
| | Administrative Cost as a Percent of Expenditure Authority | 1.38% | 1.24% | | | 1.18% |
| Fund # | FUND SOURCE DETAIL | | | | | |
| 1000 | State Operating Budget | 9,488.8 | 8,992.1 | 0.0 | 0.0 | 8,992.1 |
| | TOTAL EXPENDITURES BY FUND | 9,488.8 | 8,992.1 | 0.0 | 0.0 | 8,992.1 |

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE ADMIN2
 ADMINISTRATIVE COST MATRIX**

| ACTIVITY | ADMINISTRATIVE COSTS | PROGRAM COSTS | DOA RELATED COSTS (1) |
|--|----------------------|---------------|-----------------------|
| EXECUTIVE MANAGEMENT | | | |
| Office of General Counsel | X | | X |
| Office of the Executive VP and CFO, Business & Finance | X | | |
| Office of the VP for University Administration & Legal Affairs | X | | |
| Office of Public Affairs | X | | |
| Office of the President | X | | |
| Office of the Senior VP and Secretary of the University | X | | |
| Office of the Senior VP and University Planner | X | | |
| HUMAN RESOURCES | | | |
| Human Resources Department | X | | X |
| UNIVERSITY TECHNOLOGY OFFICE | | | |
| Administrative University Technology Office | X | | X |
| BUSINESS AND FINANCE | | | |
| Office of Financial Services | X | | X |
| University Audit & Advisory Services | X | | X |
| Mail Services | X | | X |
| University Business Services (Purchasing, Stores) | X | | X |
| Property Control | X | | X |
| Office of Planning & Budget | X | | |
| OTHER CENTRAL ADMINISTRATION | | | |
| Academic and Administrative Documents | | X | |
| Community Development | | X | |
| Office of Faculty Athletics Representative | | X | |
| News and Information Center | | X | |
| Facilities and Operations | X | | X |
| Facilities and Operations - Utilities | X | | X |
| Department of Public Safety | X | | X |
| Risk Management Insurance Premium | | X | |
| Risk Management/Safety Services | X | | X |
| University Office of Institutional Analysis | X | | |
| University Technology Office | X | | X |

(1) Activities identified in this column reflect university functions that directly relate to services provided by the Department of Administration to state government. The Office of the General Counsel and EEO/Affirmative Action directly relate to services provided by the Attorney General and Governor's Office, respectively. Amounts for these functions are not included on the "Agency Summary of Administrative Costs" form.

DATE PREPARED: OCTOBER 1, 2013

ADMIN 2

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE ADMIN3
ADMINISTRATIVE COSTS ASSUMPTIONS AND METHODOLOGY**

- ⌘ Arizona State University provided information on requested funding for administrative costs in accordance with A.R.S. 35-115. Schedule ADMIN1 includes our best estimate of administrative costs in the State Operating Budget. Since both the General Fund and State Collections support our State Operating Budget, we cannot identify individual administrative costs by fund source.
- ⌘ Schedule ADMIN2 identifies subprograms in the Institutional Support program by the five major administrative functions: Executive Management, Human Resources, Information Technology, Business and Finance, and Other Central Administration.
 - ⌘ The "Administrative Cost" column identifies the central administrative cost functions.
 - ⌘ The second column identifies "Program Costs", consisting of units which do not have an administrative function. Many of these units support the university through community outreach efforts. The "Program Costs" also include the Risk Management Insurance Premium since these are pass through funds which support program activities.
 - ⌘ Finally, we identified the "DOA Related Costs." Activities in this column reflect the university functions that directly relate to the types of services provided by the Department of Administration (DOA) to other state government agencies. The universities do not receive the same set of services from DOA and therefore must maintain administrative units to provide comparable services at each campus.
- ⌘ In order to facilitate comparisons across state agencies, we excluded the "DOA Related Costs" from Schedule ADMIN1.

DATE PREPARED: OCTOBER 1, 2013

ADMIN 3

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: ALL

**FY 2015 BUDGET JUSTIFICATION
 EMPLOYEE RELATED EXPENDITURES (ERE) WORKSHEET**

ASU at the TEMPE/DOWNTOWN Campus provides the following information to support the Employee Related Expenditure (ERE) rates used for FY 2015.

| | |
|---|---------------|
| Faculty Positions (% of salary) | 28.80% |
| Staff Positions (% of salary) | 37.40% |
| Post Doctorate Positions (% of salary) | 25.30% |
| Non-Benefits Eligible positions (% of salary) | 10.00% |
| Graduate RA/TA positions (% of salary) | 7.70% |
| Student Wages (% of salary) | 2.80% |

ERE RATE FACTORS

SOURCE/JUSTIFICATION

| | |
|---|--|
| FICA: | Federal guidelines (7.65 Percent) |
| Workers Compensation: | OSPB Estimated Guidelines of 1.03 Percent |
| Unemployment Insurance: | OSPB Estimated Guidelines of .15 Percent |
| State Retirement/Defined Benefit: | Actual 2013-14 Arizona State Retirement System rate of 11.30 Percent |
| State Retirement/Defined Contribution: | Arizona State Retirement System rate of 7.00 Percent |
| Alternative Contribution Rate | Legislation passed in 2011 under Senate Bill 1609 mandates the ASRS to implement an Alternate Contribution Rate (ACR) to employers who hire ASRS retirees who return to work. The rate is to be remitted to the ASRS by the employer. The purpose of the legislation is to mitigate the potential actuarial impact that retired members who return to work might have on the trust fund. The rate is 9.2%. |
| Optional Retirement: | Rate is 7 percent of participants' salaries in accordance with A.R.S. 15-1628, which mandates "The Arizona Board of Regents shall contribute public funds appropriated or any other funds available for such purpose on behalf of each participant in the Optional Retirement Programs in an amount equal to seven percent of the participant's compensation." |
| DPS Retirement Rate: | Actual 2013-14 Public Safety Retirement rate of 27.43 Percent |
| LIFE INSURANCE Base \$15k: | \$23.40 Per FTE |
| LIFE INSURANCE to Salary: | Approximately 1.44/1000 of Salary less \$15,000 |
| Disability Insurance/State Retirement: | Actual 7/1/13 rate of 0.25 Percent |
| Disability Insurance/Optional Retirement: | Actual 7/1/13 rate of 0.25 Percent |
| Health Insurance: | Actual 2013-14 premium for each type of coverage |
| Dental Insurance: | Actual 2013-14 premium for each type of coverage |
| FY 2013 Personal Services: | 2013-14 Estimated Personal Services |
| Salaries \$113,700 and Above: | 2013-14 salaries from salary budgeting file (FICA cap of \$113,700 for 2014) |
| Student Wages: | 2013-14 Estimated student wages |
| Graduate Associates/Assistants: | 2013-14 Estimated graduate associate/assistant wages |
| State Retirement (Defined Contribution): | 2013-14 formula to estimate salaries of eligible employees for Defined Contribution Plan |
| Public Safety Retirement: | 2013-14 budgeted salaries of eligible Public Safety positions |
| Optional Retirement: | 2013-14 budgeted salaries based on the actual Optional Retirement salaries |
| State Retirement (Defined Benefit): | 2013-14 budgeted salaries based on the actual State Retirement System salaries |
| Life Insurance Enrollment: | 9/12 Peoplesoft extract |
| Health/Dental Insurance Enrollment: | 9/12 Peoplesoft extract |

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: ALL

FY 2015 BUDGET JUSTIFICATION
 ERE RATE CALCULATION - MARGINAL ERE RATE

| PERSONAL SERVICES BASE | | FY 2014 | |
|--|---|-------------|------------------------------|
| FICA: | FY 2014 Personal Services | \$421,052.6 | A |
| | Less Salaries \$113,700 and above | (102,990.6) | B |
| | Personal Services less than \$113,700 | \$318,062.0 | C |
| BASIC BENEFITS: | FY 2014 Personal Services | \$421,052.6 | |
| | Less: Other Non Eligible Positions | (10,006.0) | |
| | Student Wages | (6,427.0) | |
| | Graduate Assistant/Associate | (23,070.2) | |
| | Retiree Accumulated Sick Leave (Benefits Eligible Salary Base) | \$381,549.4 | D |
| | Less: Public Safety Retirement | (1,895.5) | E |
| | Optional/State Retirement Base | \$379,653.9 | |
| | Optional Retirement (60.16% of Base) | \$228,404.9 | F |
| | Plus: Public Safety Retirement | 1,895.5 | |
| | Disability Insurance Base | \$230,300.4 | G |
| RATES | | | |
| | | FTE | Personal Services FY 2014 |
| F.I.C.A.: | Number of FTE Positions \$113,700 and above | 610.9 | |
| | Medicare Calculation on Personal Services Amount above FICA cap | | 102,990.6 B |
| | Personal Services less than \$113,700 | | 318,062.0 C |
| | Less: Other Non Eligible Positions | | (10,006.0) |
| | Student Wages | | (6,427.0) |
| | Graduate Assistant/Associate | | (23,070.2) |
| | Personal Services less than \$113,700 - adjusted base | | 278,558.8 |
| | | | 7.65% |
| | | | 21,309.7 |
| | SUBTOTAL F.I.C.A. | | \$27,109.6 |
| BASIC BENEFITS: | Worker's Compensation Insurance | | 421,052.6 A 1.03% \$ 4,336.8 |
| | Retiree Accumulated Sick Leave (Benefits Eligible Salary Base) | | 381,549.4 D 0.40% 1,526.2 |
| | Unemployment Insurance | | 391,555.4 0.15% 587.3 |
| | State Retirement/Defined Benefit | 2,570.0 | 148,267.8 11.30% 16,754.3 |
| | State Retirement/Defined Contribution | 2.0 | 221.3 7.00% 15.5 |
| | Alternative Rate Contribution | 88.4 | 2,759.9 9.20% 253.9 |
| | Optional Retirement | 2,256.0 | 228,404.9 F 7.00% 15,988.3 |
| | Public Safety Retirement | 31.4 | 1,895.5 E 27.43% 519.9 |
| | Disability Insurance/State Retirement | | 148,489.1 0.24% 356.4 |
| | Disability Insurance/Optional Retirement | | 230,300.4 G 0.25% 575.8 |
| | SUBTOTAL BASIC BENEFITS | | \$40,914.4 |
| TOTAL MARGINAL ERE | | | \$68,024.0 |
| DIVIDED BY FY 2014 PERSONAL SERVICES | | | \$421,052.6 |
| MARGINAL ERE RATE | | | 16.16% |
| | | FTE | Amount |
| FTE/Personal Services Ineligible for Health Insurance (Student Wages \$\$ included in total) | | 147.5 | 39,503.2 |

DATE PREPARED: OCTOBER 1, 2013

BUDGET JUSTIFICATION

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)

COST CENTER/PROGRAM NAME: ALL

ERE RATE CALCULATION - HEALTH/DENTAL/LIFE INSURANCE PREMIUM RATE

| | Employee Only | | | | Employee +1 Adult | | | | Employee +1 Child | | | | Family | | | | Total |
|--------------------------|-------------------------------|------------------------------------|-----------------------------------|--------------------------|-------------------------------|------------------------------------|-----------------------------------|--------------------------|-------------------------------|------------------------------------|-----------------------------------|--------------------------|-------------------------------|------------------------------------|-----------------------------------|----------------|---------------------------|
| | Number Enrolled (State Funds) | Monthly Premium 7-1-13 to 12-31-13 | Monthly Premium 1-1-14 to 6-30-14 | Fiscal Yr Annual Premium | Number Enrolled (State Funds) | Monthly Premium 7-1-13 to 12-31-13 | Monthly Premium 1-1-14 to 6-30-14 | Fiscal Yr Annual Premium | Number Enrolled (State Funds) | Monthly Premium 7-1-13 to 12-31-13 | Monthly Premium 1-1-14 to 6-30-14 | Fiscal Yr Annual Premium | Number Enrolled (State Funds) | Monthly Premium 7-1-13 to 12-31-13 | Monthly Premium 1-1-14 to 6-30-14 | Annual Premium | FY14 Total Annual Premium |
| HEALTH INSURANCE: | | | | | | | | | | | | | | | | | |
| EPO | 1,508.6 | 550.0 | 550.0 | 9,956,835 | 663.9 | 1,133.0 | 1,133.0 | 9,026,358 | 272.5 | 1,078.0 | 1,078.0 | 3,525,065 | 1,234.1 | 1,405.0 | 1,405.0 | 20,806,901 | 43,315,160 |
| PPO | 187.0 | 741.0 | 741.0 | 1,662,804 | 76.0 | 1,506.0 | 1,506.0 | 1,373,475 | 13.8 | 1,447.0 | 1,447.0 | 239,624 | 94.4 | 1,929.0 | 1,929.0 | 2,185,174 | 5,461,077 |
| HSA/HSO | 37.6 | 545.0 | 563.0 | 249,963 | 15.3 | 1,093.0 | 1,130.0 | 204,071 | 3.5 | 1,060.0 | 1,097.0 | 45,297 | 15.2 | 1,348.0 | 1,385.0 | 249,253 | 748,584 |
| | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |
| Subtotal | 1,733.2 | | | 11,869,602 | 755.2 | | | 10,603,904 | 289.8 | | | 3,809,986 | 1,343.7 | | | 23,241,328 | \$49,524,821 |
| DENTAL INSURANCE: | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |
| Delta Dental | 1,318.8 | 5.0 | 5.0 | 78,495 | 634.8 | 9.9 | 9.9 | 75,567 | 158.9 | 9.9 | 9.9 | 18,915 | 901.9 | 13.7 | 13.7 | 148,272 | 321,249 |
| Total Dental Admin | 362.8 | 5.0 | 5.0 | 21,594 | 182.7 | 9.9 | 9.9 | 21,749 | 57.0 | 9.9 | 9.9 | 6,785 | 314.3 | 13.7 | 13.7 | 51,671 | 101,799 |
| Subtotal | 1,681.6 | | | 100,089 | 817.5 | | | 97,315 | 215.9 | | | 25,701 | 1,216.2 | | | 199,943 | \$423,048 |

| | Number | Annual | FY14 Total |
|---|---------|--------|------------------|
| LIFE INSURANCE Base \$15k | 4,520.3 | 23.4 | \$ 105,775 |
| LIFE INSURANCE to Salary | 4,483.4 | 64.0 | \$ 286,973 |
| Total Health, Dental, & Life Insurance | | | \$ 50,340,617 |
| Divided by benefits eligible FTE's | | | 4,520.30 |
| Average Health, Dental & Life Insurance Premium per eligible FTE | | | \$ 11,137 |

DATE PREPARED: OCTOBER 1, 2013



ASU

ARIZONA STATE UNIVERSITY



FY 2015 State Investment Request

Highlights

Parity Funding
Addresses inequity in funding per FTE student among the three universities; the third-year funding request totals \$25.1 million

Performance Funding
Requests funding for performance against metrics set by the Board of Regents and as required by statute. ASU's request is \$19.3 million.

Arizona State University, with over 76,000 students enrolled on four campuses, is one of the largest, most dynamically growing, and diverse public institutions of higher education in the nation. ASU educates more than half of the students attending public universities in the State of Arizona, and employs 2,600 full-time faculty and 5,500 full-time staff in metropolitan Phoenix. ASU degree production has increased by 32 percent over the past five years, with 18,045 bachelors, masters, and doctoral degrees awarded during the 2011-12 academic year.

ASU continues to be recognized for excellence in many of its academic programs, both at the undergraduate and graduate levels. Recently, ASU was ranked among the elite 100 world universities by the Center for World University Ranking for 2013. ASU ranked 73rd overall, up from the 79th position last year, and 46th among U.S. universities. ASU ties Yale and Berkeley as the 5th highest producer of U.S. Fulbright Student Scholars, and the National Research Council ranks more than half of ASU's 85 doctoral programs in the Top 25 nationally. The Wall Street Journal asked corporate recruiters which schools produce the best-qualified candidates, and ASU ranked 5th in the country. These achievements reflect the continued commitment of the University administration, faculty and staff to enhance ASU's world-wide reputation through academic accomplishment.

For the past several years, ASU has been working collaboratively on tri-university initiatives with our sister institutions. These initiatives are central to the Arizona Board of Regents (ABOR) *Five-Year Strategic Plan*, and set ambitious performance targets for each university that focus on student attainment and research growth. They are intended both to increase the overall educational attainment for Arizona citizenry and to drive economic health by attracting new research funding and businesses to the state.

Investment in higher education yields significant returns to individual citizens and the economic well being of states. A high performing university presence is critical in driving regional and state competitiveness and economic performance. Universities have two primary outputs: a well-educated work force and innovative research programs and inventions. Each provides large public benefits, which emphasizes the importance of sustained investment in the university to support improved performance in producing these outputs.



FY 2015 State Investment Request Summary

| | (\$ thousands) |
|---------------------------------|--------------------|
| Parity Funding | \$ 25,139.3 |
| Performance Funding | 19,298.6 |
| Total Investment Request | \$ 44,437.9 |



ASU[®]

ARIZONA STATE UNIVERSITY



Strong universities drive economic development in several ways. First, individuals with college degrees tend to command higher wages and earn more over their lifetimes. They also experience much lower unemployment rates. Recent studies have shown that 81 percent of resident undergraduates and 49 percent of nonresident undergraduates take jobs in Arizona, and more than half of those students are still in the state after twenty years. University graduates bolster regional competitiveness. There is a strong regional correlation between the level of per-capita personal income and both the percentage of adults with college degrees, and with the percentage of job openings requiring higher education. A better educated workforce tends to attract better jobs.

Research and the expansion of a knowledge economy is also a critical economic driver. Externally funded research brings incremental dollars to the state, which leads to higher purchases of goods and services and employment. The inventions and discoveries from this research provide an environment for fast-paced technological advancement that is critical to attracting companies who provide good jobs and a broader economic base for the state.

ASU has been increasing degree production and research activity in the last decade, and has challenging goals to meet as part of the *ABOR Five-Year Strategic Plan*. Incremental funding is imperative to support the expansion of enrollment and thus expanded degree production, as well as the infrastructure needed to support increased research activity.

The State Investment Request for FY 2015 includes requests for only those enterprise activities identified in the strategic plan. It focuses on the resources needed to continue to drive performance outcomes similar to those listed above and thereby enhance the state's economic performance. Funding will be used to enhance instruction, provide academic support, and attract top-name faculty to further accelerate knowledge and discovery and attainment of research goals. ASU continues to maintain the efficiencies gained through academic and organizational streamlining over the past decade. The funding requests are as detailed below:

Parity Funding

Arizona public universities have traditionally been funded based on enrollment growth. However, State appropriations have not always been consistent with these enrollment growth trends. As a result, the Arizona Legislature has tackled the issue of university per-student funding on multiple occasions. In February of 1988, a budget study was done by the Arizona Board of Regents at the request of the legislature and the legislature made investments at ASU and NAU to address funding equity. In December of 2008, an ad hoc legislative committee appointed by the Speaker of the House of Representatives convened to evaluate the issue of per-student funding at the Arizona public universities, concluded that per-student funding among the three universities was not equitable, and recommended that the legislature implement a funding plan to address the funding inequity beginning in FY 2010. The issue was taken up again in the 2011 budget reconciliation bill for higher education (SB1618) requesting that ABOR and the universities recommend a method to address the issue of per-student funding disparities among the three public universities and to include a proposal in the FY 2013 university budget submittals. In August 2011, the Arizona Board of Regents adopted the "Arizona University System Enterprise: Disparity Study" as presented by the three university presidents. This report provided historical information on university funding and a plan to address per-student state funding inequities at ASU and NAU. In FY 2013 the Arizona Legislature adopted a proposal to address the per-student funding disparity within five years and approved an appropriation to ASU and NAU at 1/5 of the total amount recommended in the report. This budget was signed by the Governor and enacted. In FY 2014 the Legislature approved and Governor signed a budget which included another 1/5 of the total funding parity amount recommended in the Regent's 2011 report. Because the university system is moving rapidly into a performance-based funding strategy, it is critical to address the funding inequity immediately to support the achievement of the performance goals and create an equitable base from which to start. ASU requests that the remaining funding be appropriated beginning in FY 2015. Further, because the resolution of the funding inequity would be accelerated, the request has been discounted by 30%. The request for parity funding for FY 2015 totals \$25.1 million.

Performance Funding

In 2011, ABOR unveiled a proposal for tying the distribution of new State funding to the performance of the universities on three measures that are critical to the growth and diversification of the Arizona economy. The three measures relate to degree production, student credit hour enrollment, and research expenditure growth, and are intended to support the achievement of the ambitious goals set by ABOR as part of its strategic plan. ASU continues to meet aggressive performance goals as set by ABOR, and for 2015, ASU's portion of the targeted performance funding totals \$19.3 million.

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: INSTRUCTION, ACADEMIC SUPPORT, STUDENT SERVICES, ORGANIZED RESEARCH
 FUND NAME & AFIS NUMBER: General Fund - 1000; Collections/Other - 1411

**FY 2015 DECISION PACKAGE
 PERFORMANCE FUNDING**

DESCRIPTION OF REQUEST

In 2011, the Arizona Board of Regents (ABOR) unveiled a proposal for tying the distribution of new state funding to the performance of the universities on three measures that are critical to the growth and the diversification of the Arizona economy. The three measures relate to degree production, student credit hour completion, and research expenditure growth. By shifting the incentives for new funding from inputs at the universities (such as enrollment growth which utilized the 22:1 Enrollment Growth Formula) to outputs from the universities, ABOR is demonstrating a commitment to enhanced performance.

The Performance Funding request also acknowledges the legislative mandate that ABOR develop a performance funding model and that it include in the annual budget request a funding request based on the results of the model. Arizona Revised Statutes (15-1626 (J)) requires the incorporation of an Arizona Board of Regents approved performance funding model into the state budget process.

In addition to the performance elements included above, the funding model lends added weight to degrees related to the STEM fields (Science, Technology, Engineering and Mathematics), and other higher-value degrees that are in short supply or identified as essential to the State of Arizona's economic development strategy.

For FY 2015, ABOR proposes that a total of \$39,119,023 be appropriated for performance funding, and that it be distributed among the three universities according to their performance on these three measures in FY 2013. The ASU state investment request for FY 2015 is \$19,298,564, representing ASU's calculated share of the system investment based on FY 2013 performance. The ASU - Tempe/Downtown state investment request is \$16,757,600.

ALTERNATIVES:

There is no alternative to an annual submission of a legislative funding request utilizing an ABOR approved performance funding model as mandated by A.R.S. 15-1626 (J).

EFFECT ON UNIVERSITY IF DELAYED OR NOT FUNDED:

Failure to fund this request will:

- Fail to fund the universities for their contributions to growing and diversifying the State's economy, risking the potential for slowed momentum
- Raise a question as to the state's commitment to increase university funding based on performance (outputs) as opposed to growing enrollments (inputs)
- Risk missing the academic and economic goals set for ASU

STATUTORY REFERENCE:

A.R.S. 15-1626 (J)

Expenditures by Program:

| Program | Fund | FY 2015 | |
|----------------------|--------------|--------------|-------------------|
| | | FTE | Amount |
| Instruction | General Fund | 60.00 | 14,522,700 |
| Academic Support | General Fund | 6.00 | 1,035,600 |
| Student Services | General Fund | 6.00 | 775,600 |
| Organized Research | General Fund | 4.00 | 423,700 |
| TOTAL REQUEST | | 76.00 | 16,757,600 |

Expenditures by Line Item:

| | FY 2015 | |
|---|--------------|-------------------------|
| | FTE | Amount |
| FTE | 76.00 | |
| Personal Services | | 7,828,000 |
| ERE | | 2,343,400 |
| All Other Operating: | | |
| Professional and Outside Services..... | | 525,000 |
| Travel In State..... | | 0 |
| Travel Out of State..... | | 0 |
| Other Operating Expenditures..... | | 2,776,000 |
| Library Acquisitions..... | | 0 |
| Equipment..... | | 3,285,200 |
| Subtotal All Other Operating | | 6,586,200 |
| TOTAL REQUEST | | 76.00 16,757,600 |

FTE Position Detail

| | FY 2015 | |
|--|---------|------------------------|
| | FTE | Amount |
| Faculty | 48.00 | 6,240,000 |
| Instruction Program Professional Staff | 4.00 | 288,000 |
| Academic Support Professional Staff | 6.00 | 432,000 |
| Student Services Professional Staff | 6.00 | 432,000 |
| Organized Research Professional Staff | 4.00 | 288,000 |
| Graduate RA/TA | 8.00 | 148,000 |
| Total | | 76.00 7,828,000 |

DATE PREPARED: OCTOBER 1, 2013

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: INSTRUCTION, ACADEMIC SUPPORT, STUDENT SERVICES
 FUND NAME & AFIS NUMBER: General Fund - 1000; Collections/Other - 1411

**FY 2015 DECISION PACKAGE
 PARITY FUNDING**

DESCRIPTION OF REQUEST

Arizona public universities have traditionally been funded based on enrollment growth. However, State appropriations have not always been consistent with these enrollment growth trends. As a result, the Arizona Legislature has tackled the issue of university per-student funding on multiple occasions. In February of 1988, a budget study was done by the Arizona Board of Regents at the request of the legislature and the legislature made investments at ASU and NAU to address funding equity. In December of 2008, an ad hoc legislative committee appointed by the Speaker of the House of Representatives convened to evaluate the issue of per-student funding at the Arizona public universities, concluded that per-student funding among the three universities was not equitable, and recommended that the legislature implement a funding plan to address the funding inequity beginning in FY 2010. The issue was taken up again in the 2011 budget reconciliation bill for higher education (SB1618) requesting that the ABOR and the universities recommend a method to address the issue of per-student funding disparities among the three public universities and to include a proposal in the FY 2013 budget submittals. In August 2011, the Arizona Board of Regents adopted the "Arizona University System Enterprise: Disparity Study" as presented by the three university presidents. This report provided historical information on university funding and a plan to address per-student state funding inequities at ASU and NAU. In FY 2013, the Arizona Legislature adopted a proposal to address the per-student funding disparity within five years and approved an appropriation to ASU and NAU at 1/5 of the total amount recommended in the report. This budget was signed by the Governor and enacted. In FY 2014, the Legislature approved and the Governor signed a budget which included another 1/5 of the total funding parity amount recommended in the Regents' 2011 report. Because the university is moving rapidly into a performance-based funding strategy, it is critical to address the funding inequity immediately to support the achievement of the performance goals and create an equitable base from which to start. ASU requests that the remaining funding be appropriated beginning in FY 2015. Further, because the resolution of the funding inequity would be accelerated, the request has been discounted by 30%. The ASU - Tempe request for FY 2015 is \$21,465,200.

The Arizona State University - Tempe FY 2015 disparity funding request of \$21,465,200 represents the balance of what was initially envisioned as a five-year phase-in of funding to address the disparity. This funding will allow ASU - Tempe to expand the faculty, increase instructional support and student services, and address problems created by unfunded enrollment growth and budget reductions of the past.

ALTERNATIVES:

The funding disparity is the result of years of inadequate funding for enrollment growth. Without the requested funding, there are no resources funds available either to correct for the years of underfunding.

EFFECT ON UNIVERSITY IF DELAYED OR NOT FUNDED:

Failure to fund this request will:

- Continue funding disparities among Arizona's public universities
- Continue to provide fewer resources for ASU students, perpetuating the current inequity
- Risk losing momentum toward the academic and economic goals set for ASU.

STATUTORY REFERENCE:

SB 1618 (2011 Session Higher Education Budget Reconciliation Bill - Chapter 30)

Expenditures by Program:

| Program | Fund | FY 2015 | |
|----------------------|--------------|---------------|-------------------|
| | | FTE | Amount |
| Instruction | General Fund | 100.00 | 15,566,600 |
| Academic Support | General Fund | 10.00 | 2,839,300 |
| Student Services | General Fund | 10.00 | 3,059,300 |
| TOTAL REQUEST | | 120.00 | 21,465,200 |

Expenditures by Line Item:

| | FY 2015 | |
|--|---------------|-------------------|
| | FTE | Amount |
| FTE..... | 120.00 | |
| Personal Services..... | | 11,630,000 |
| ERE..... | | 3,457,200 |
| All Other Operating: | | |
| Professional and Outside Services..... | | 1,235,000 |
| Travel In State..... | | 0 |
| Travel Out of State..... | | 0 |
| Other Operating Expenditures..... | | 3,594,000 |
| Library Acquisitions..... | | 0 |
| Equipment..... | | 1,549,000 |
| Subtotal All Other Operating..... | | 6,378,000 |
| TOTAL REQUEST | 120.00 | 21,465,200 |

FTE Position Detail

| | FY 2015 | |
|--|---------------|-------------------|
| | FTE | Amount |
| Faculty | 70.00 | 9,100,000 |
| Instruction Program Professional Staff | 10.00 | 720,000 |
| Academic Support Professional Staff | 10.00 | 720,000 |
| Student Services Professional Staff | 10.00 | 720,000 |
| Graduate RA/TA | 20.00 | 370,000 |
| Total | 120.00 | 11,630,000 |

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

AGENCY KEY MEASURES

| GOAL NUMBER | PERFORMANCE MEASURES | TYPE | ACTUAL FY 2013 | ESTIMATED FY 2014 | ESTIMATED FY 2015 |
|-------------|--|------|----------------|-------------------|-------------------|
| 1* | Percent of graduating seniors who rate their overall university experience as good or excellent | QL | 87 | 88 | 88 |
| 1 | Percent of full-time undergraduate students enrolled per semester in three or more primary courses with ranked faculty | QL | 79 | 80 | 81 |
| 1 | Number of Bachelors degrees granted | OP | 12,065 | 12,487 | 12,924 |
| 5 | Number of Master's degrees granted | OP | 3,663 | 3,755 | 3,848 |
| 1 | Dollar value of sponsored project proposals submitted (in millions) | OC | 1,142.1 | 1,618.0 | 1,787.9 |
| 1 | Dollar value of total research expenditures (in millions) (FY13=Estimate) | OC | 389.6 | 399.1 | 428.0 |
| 1 | Students receiving health care at the Campus Health Service | OP | 46,307 | 48,300 | 50,300 |
| 2 | Number of registered campus clubs and organizations | OP | 817 | 830 | 850 |
| 2 | Organizations recruiting on campus | OP | 1,600 | 1,680 | 1,760 |
| 1 | Percent of agency staff turnover (classified staff only) | QL | 16.6 | 15.8 | 15.0 |
| 1 | Administration as a percentage of total cost | EF | 1.38% | 1.24% | 1.18% |

DATE PREPARED: October 1, 2013

SCHEDULE 4A

*FY13 FIGURE REFLECTS CHANGES TO THE SURVEY METRIC

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 COMBINED FUNDS SUMMARY - SOURCE AND DISPOSITION OF FUNDS**

| FUNDS AVAILABLE | ACTUAL FY 2013 | ESTIMATED FY 2014 | ESTIMATED FY 2015 |
|--|--------------------|----------------------|----------------------|
| Balance Forward | 471,896.4 | 522,345.8 | 522,332.7 |
| Receipts | 1,109,416.0 | 1,152,037.1 | 1,232,928.2 |
| TOTAL FUNDS AVAILABLE | 1,581,312.4 | 1,674,382.9 | 1,755,260.9 |
| DISPOSITION OF FUNDS | | | |
| FTE Positions | 4,328.60 | 4,386.05 | 4,475.38 |
| Personal Services | 244,136.1 | 247,361.7 | 252,406.0 |
| ERE | 80,813.4 | 98,718.6 | 103,213.0 |
| All Other Operating Expenditures: | | | |
| Professional and Outside Services | 116,440.8 | 120,489.6 | 144,260.0 |
| Travel - In State | 1,054.1 | 1,173.5 | 1,198.0 |
| Travel - Out of State | 18,327.4 | 18,932.8 | 19,358.0 |
| Aid to Organizations and Individuals | 355,310.0 | 401,409.6 | 441,016.0 |
| Other Operating Expenditures | 125,649.4 | 132,532.5 | 134,324.0 |
| Library Acquisitions | 463.7 | 473.1 | 483.0 |
| Capital | 26,687.5 | 28,094.8 | 28,808.0 |
| All Other Operating Subtotal | 643,932.9 | 703,105.9 | 769,447.0 |
| TOTAL FUNDS EXPENDED | 968,882.4 | 1,049,186.2 | 1,125,066.0 |
| Net Transfers Out | 90,084.2 | 102,864.0 | 106,763.0 |
| TOTAL DISPOSITION OF FUNDS | 1,058,966.6 | 1,152,050.2 | 1,231,829.0 |
| BALANCE FORWARD TO NEXT YEAR | 522,345.8 | 522,332.7 | 523,431.9 |
| Operating and Non Operating Expenditure Detail: | | | |
| Non Operating (Loan and Endowment) | 1,909.3 | | |
| Operating: | | | |
| Operating - Federal | 266,869.1 | 279,165.3 | 288,448.0 |
| Operating - Other Non Appropriated | 700,104.0 | 770,020.9 | 836,618.0 |
| Total Operating Expenditures | 966,973.1 | 1,049,186.2 | 1,125,066.0 |
| Total Funds Expended | 968,882.4 | 1,049,186.2 | 1,125,066.0 |

AGENCY AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 LOCAL FUNDS SUMMARY - SOURCE AND DISPOSITION OF FUNDS**

| FUNDS AVAILABLE | ACTUAL FY 2013 | ESTIMATED FY 2014 | ESTIMATED FY 2015 |
|--------------------------------------|--------------------|----------------------|----------------------|
| Balance Forward | 374,057.7 | 411,194.5 | 411,181.4 |
| Receipts | 774,170.3 | 819,378.1 | 890,499.2 |
| TOTAL FUNDS AVAILABLE | 1,148,228.0 | 1,230,572.6 | 1,301,680.6 |
| DISPOSITION OF FUNDS | | | |
| FTE Positions | 3,026.15 | 3,160.07 | 3,208.48 |
| Personal Services | 170,678.0 | 178,216.7 | 180,958.0 |
| ERE | 55,000.8 | 74,364.3 | 78,052.0 |
| All Other Operating Expenditures: | | | |
| Professional and Outside Services | 102,591.9 | 108,199.5 | 131,561.0 |
| Travel - In State | 727.1 | 840.1 | 855.0 |
| Travel - Out of State | 14,290.2 | 14,585.4 | 14,869.0 |
| Aid to Organizations and Individuals | 223,362.2 | 253,344.8 | 288,021.0 |
| Other Operating Expenditures | 113,421.9 | 120,037.2 | 121,413.0 |
| Library Acquisitions | 463.7 | 473.1 | 483.0 |
| Capital | 19,568.2 | 19,959.8 | 20,406.0 |
| All Other Operating Subtotal | 474,425.2 | 517,439.9 | 577,608.0 |
| TOTAL FUNDS EXPENDED | 700,104.0 | 770,020.9 | 836,618.0 |
| Net Transfers Out | 36,929.5 | 49,370.3 | 52,782.0 |
| TOTAL DISPOSITION OF FUNDS | 737,033.5 | 819,391.2 | 889,400.0 |
| BALANCE FORWARD TO NEXT YEAR | 411,194.5 | 411,181.4 | 412,280.6 |

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 DESIGNATED (EXCLUDING INDIRECT COST RECOVERY) - SOURCE AND DISPOSITION OF FUNDS**

| FUNDS AVAILABLE | ACTUAL FY 2013 | ESTIMATED FY 2014 | ESTIMATED FY 2015 |
|--------------------------------------|-------------------|----------------------|----------------------|
| Balance Forward | 305,640.4 | 343,543.6 | 365,854.9 |
| Receipts | 502,150.7 | 531,575.4 | 588,291.2 |
| TOTAL FUNDS AVAILABLE | 807,791.1 | 875,119.0 | 954,146.1 |
| DISPOSITION OF FUNDS | | | |
| FTE Positions | 1,611.49 | 1,575.69 | 1,607.00 |
| Personal Services | 90,887.8 | 88,873.9 | 90,644.0 |
| ERE | 28,845.6 | 40,819.7 | 44,066.0 |
| All Other Operating Expenditures: | | | |
| Professional and Outside Services | 70,284.3 | 71,690.0 | 95,913.0 |
| Travel - In State | 350.5 | 357.5 | 361.0 |
| Travel - Out of State | 7,088.4 | 7,230.1 | 7,371.0 |
| Aid to Organizations and Individuals | 192,214.0 | 219,067.9 | 252,766.0 |
| Other Operating Expenditures | 28,256.1 | 28,799.8 | 29,312.0 |
| Library Acquisitions | 393.7 | 401.7 | 409.0 |
| Capital | 13,304.9 | 13,570.9 | 13,839.0 |
| All Other Operating Subtotal | 311,891.9 | 341,117.9 | 399,971.0 |
| TOTAL FUNDS EXPENDED | 431,625.3 | 470,811.5 | 534,681.0 |
| Net Transfers Out | 32,622.2 | 38,452.6 | 44,602.0 |
| TOTAL DISPOSITION OF FUNDS | 464,247.5 | 509,264.1 | 579,283.0 |
| BALANCE FORWARD TO NEXT YEAR | 343,543.6 | 365,854.9 | 374,863.1 |

Source of Revenue:

Tuition and fees retained by the University, summer session fees, administrative costs of student aid and unrestricted gifts. Resources in this fund are designated for specific purposes.

Purpose of Fund:

To account for transactions related to academic year tuition and fees retained by the University, the summer session program, the cost of administering student aid and the use of unrestricted gifts. Indirect cost recovery, part of the designated fund group, is presented separately.

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 DESIGNATED INDIRECT COST RECOVERY (NON FEDERAL) - SOURCE AND DISPOSITION OF FUNDS**

| FUNDS AVAILABLE | ACTUAL FY 2013 | ESTIMATED FY 2014 | ESTIMATED FY 2015 |
|--------------------------------------|-------------------|----------------------|----------------------|
| Balance Forward | 17,353.3 | 9,464.4 | 136.8 |
| Receipts | 5,557.3 | 5,584.1 | 8,947.0 |
| TOTAL FUNDS AVAILABLE | 22,910.6 | 15,048.5 | 9,083.8 |
| DISPOSITION OF FUNDS | | | |
| FTE Positions | 173.75 | 204.78 | 191.47 |
| Personal Services | 9,799.3 | 11,549.4 | 10,799.0 |
| ERE | 3,594.4 | 4,111.9 | 3,880.0 |
| All Other Operating Expenditures: | | | |
| Professional and Outside Services | 8,924.2 | 8,899.0 | 7,477.0 |
| Travel - In State | 8.7 | 8.9 | 9.0 |
| Travel - Out of State | 229.9 | 244.0 | 259.0 |
| Aid to Organizations and Individuals | | | |
| Other Operating Expenditures | 5,465.5 | 5,465.4 | 4,820.0 |
| Library Acquisitions | | | |
| Capital | 357.6 | 364.9 | 388.0 |
| All Other Operating Subtotal | 14,985.9 | 14,982.2 | 12,953.0 |
| TOTAL FUNDS EXPENDED | 28,379.6 | 30,643.5 | 27,632.0 |
| Net Transfers Out | (14,933.4) | (15,731.8) | (18,754.0) |
| TOTAL DISPOSITION OF FUNDS | 13,446.2 | 14,911.7 | 8,878.0 |
| BALANCE FORWARD TO NEXT YEAR | 9,464.4 | 136.8 | 205.8 |

Source of Revenue:

Indirect costs recovered from nonfederal sponsored research programs.

Purpose of Fund:

To account for transactions designated for various activities that assist or promote sponsored research at the University.

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 AUXILIARY FUNDS - SOURCE AND DISPOSITION OF FUNDS**

| FUNDS AVAILABLE | ACTUAL FY 2013 | ESTIMATED FY 2014 | ESTIMATED FY 2015 |
|--------------------------------------|-------------------|----------------------|----------------------|
| Balance Forward | 9,140.6 | 9,099.9 | 2,528.2 |
| Receipts | 147,402.9 | 156,975.4 | 163,850.0 |
| TOTAL FUNDS AVAILABLE | 156,543.5 | 166,075.3 | 166,378.2 |
| DISPOSITION OF FUNDS | | | |
| FTE Positions | 538.51 | 665.40 | 672.10 |
| Personal Services | 30,371.8 | 37,518.5 | 37,897.0 |
| ERE | 8,908.3 | 13,371.4 | 13,505.0 |
| All Other Operating Expenditures: | | | |
| Professional and Outside Services | 13,104.0 | 15,352.2 | 15,509.0 |
| Travel - In State | 166.7 | 170.0 | 172.0 |
| Travel - Out of State | 4,482.8 | 4,572.5 | 4,618.0 |
| Aid to Organizations and Individuals | 6,928.3 | 6,935.5 | 7,004.0 |
| Other Operating Expenditures | 56,592.3 | 57,908.1 | 58,499.0 |
| Library Acquisitions | | | |
| Capital | 1,860.3 | 1,897.6 | 1,917.0 |
| All Other Operating Subtotal | 83,134.4 | 86,835.9 | 87,719.0 |
| TOTAL FUNDS EXPENDED | 122,414.5 | 137,725.8 | 139,121.0 |
| Net Transfers Out | 25,029.1 | 25,821.3 | 26,079.0 |
| TOTAL DISPOSITION OF FUNDS | 147,443.6 | 163,547.1 | 165,200.0 |
| BALANCE FORWARD TO NEXT YEAR | 9,099.9 | 2,528.2 | 1,178.2 |

Source of Revenue:

Primarily sales and services from substantially self supporting activities.

Purpose of Fund:

To account for transactions of substantially self supporting activities that provide services for students, faculty and staff. Auxiliary enterprises include, but are not limited to, residence halls and intercollegiate athletics.

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 RESTRICTED NONFEDERAL FUNDS - SOURCE AND DISPOSITION OF FUNDS**

| FUNDS AVAILABLE | ACTUAL FY 2013 | ESTIMATED FY 2014 | ESTIMATED FY 2015 |
|--------------------------------------|-------------------|----------------------|----------------------|
| Balance Forward | 41,923.4 | 49,086.6 | 42,661.5 |
| Receipts | 119,059.4 | 125,243.2 | 129,411.0 |
| TOTAL FUNDS AVAILABLE | 160,982.8 | 174,329.8 | 172,072.5 |
| DISPOSITION OF FUNDS | | | |
| FTE Positions | 702.40 | 714.20 | 737.91 |
| Personal Services | 39,619.1 | 40,274.9 | 41,618.0 |
| ERE | 13,652.5 | 16,061.3 | 16,601.0 |
| All Other Operating Expenditures: | | | |
| Professional and Outside Services | 10,279.4 | 12,258.3 | 12,662.0 |
| Travel - In State | 201.2 | 303.7 | 313.0 |
| Travel - Out of State | 2,489.1 | 2,538.8 | 2,621.0 |
| Aid to Organizations and Individuals | 24,219.9 | 27,341.4 | 28,251.0 |
| Other Operating Expenditures | 23,108.0 | 27,863.9 | 28,782.0 |
| Library Acquisitions | 70.0 | 71.4 | 74.0 |
| Capital | 4,045.4 | 4,126.4 | 4,262.0 |
| All Other Operating Subtotal | 64,413.0 | 74,503.9 | 76,965.0 |
| TOTAL FUNDS EXPENDED | 117,684.6 | 130,840.1 | 135,184.0 |
| Net Transfers Out | (5,788.4) | 828.2 | 855.0 |
| TOTAL DISPOSITION OF FUNDS | 111,896.2 | 131,668.3 | 136,039.0 |
| BALANCE FORWARD TO NEXT YEAR | 49,086.6 | 42,661.5 | 36,033.5 |

Source of Revenue:

Grants and contracts from private and nonfederal agencies and student fees assessed for the Financial Aid Trust Fund.

Purpose of Fund:

To account for current funds expended for operating purposes but restricted by donors or nonfederal agencies.

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 FEDERAL FUNDS SUMMARY - SOURCE AND DISPOSITION OF FUNDS**

| FUNDS AVAILABLE | ACTUAL FY 2013 | ESTIMATED FY 2014 | ESTIMATED FY 2015 |
|--------------------------------------|-------------------|----------------------|----------------------|
| Balance Forward | | | |
| Receipts | 320,057.1 | 332,659.0 | 342,429.0 |
| TOTAL FUNDS AVAILABLE | 320,057.1 | 332,659.0 | 342,429.0 |
| DISPOSITION OF FUNDS | | | |
| FTE Positions | 1,302.45 | 1,225.98 | 1,266.90 |
| Personal Services | 73,458.1 | 69,145.0 | 71,448.0 |
| ERE | 25,812.6 | 24,354.3 | 25,161.0 |
| All Other Operating Expenditures: | | | |
| Professional and Outside Services | 11,916.8 | 12,290.1 | 12,699.0 |
| Travel - In State | 327.0 | 333.4 | 343.0 |
| Travel - Out of State | 4,037.2 | 4,347.4 | 4,489.0 |
| Aid to Organizations and Individuals | 131,947.8 | 148,064.8 | 152,995.0 |
| Other Operating Expenditures | 12,250.3 | 12,495.3 | 12,911.0 |
| Library Acquisitions | | | |
| Capital | 7,119.3 | 8,135.0 | 8,402.0 |
| All Other Operating Subtotal | 167,598.4 | 185,666.0 | 191,839.0 |
| TOTAL FUNDS EXPENDED | 266,869.1 | 279,165.3 | 288,448.0 |
| Net Transfers Out | 53,188.0 | 53,493.7 | 53,981.0 |
| TOTAL DISPOSITION OF FUNDS | 320,057.1 | 332,659.0 | 342,429.0 |
| BALANCE FORWARD TO NEXT YEAR | | | |

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 DESIGNATED INDIRECT COST RECOVERY (FEDERAL) - SOURCE AND DISPOSITION OF FUNDS**

| FUNDS AVAILABLE | ACTUAL FY 2013 | ESTIMATED FY 2014 | ESTIMATED FY 2015 |
|--------------------------------------|-------------------|----------------------|----------------------|
| Balance Forward | | | |
| Receipts | 53,592.7 | 53,850.4 | 54,351.0 |
| TOTAL FUNDS AVAILABLE | 53,592.7 | 53,850.4 | 54,351.0 |
| DISPOSITION OF FUNDS | | | |
| FTE Positions | | | |
| Personal Services | | | |
| ERE | | | |
| All Other Operating Expenditures: | | | |
| Professional and Outside Services | | | |
| Travel - In State | | | |
| Travel - Out of State | | | |
| Aid to Organizations and Individuals | | | |
| Other Operating Expenditures | | | |
| Library Acquisitions | | | |
| Capital | | | |
| All Other Operating Subtotal | | | |
| TOTAL FUNDS EXPENDED | | | |
| Net Transfers Out | 53,592.7 | 53,850.4 | 54,351.0 |
| TOTAL DISPOSITION OF FUNDS | 53,592.7 | 53,850.4 | 54,351.0 |
| BALANCE FORWARD TO NEXT YEAR | | | |

Source of Revenue:

Indirect costs recovered from sponsored federal research programs.

Purpose of Fund:

To account for transactions designated for various activities that assist or promote sponsored research at the University.

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 RESTRICTED FEDERAL - SOURCE AND DISPOSITION OF FUNDS**

| FUNDS AVAILABLE | ACTUAL FY 2013 | ESTIMATED FY 2014 | ESTIMATED FY 2015 |
|--------------------------------------|-------------------|----------------------|----------------------|
| Balance Forward | | | |
| Receipts | 266,464.4 | 278,808.6 | 288,078.0 |
| TOTAL FUNDS AVAILABLE | 266,464.4 | 278,808.6 | 288,078.0 |
| DISPOSITION OF FUNDS | | | |
| FTE Positions | 1,302.45 | 1,225.98 | 1,266.90 |
| Personal Services | 73,458.1 | 69,145.0 | 71,448.0 |
| ERE | 25,812.6 | 24,354.3 | 25,161.0 |
| All Other Operating Expenditures: | | | |
| Professional and Outside Services | 11,916.8 | 12,290.1 | 12,699.0 |
| Travel - In State | 327.0 | 333.4 | 343.0 |
| Travel - Out of State | 4,037.2 | 4,347.4 | 4,489.0 |
| Aid to Organizations and Individuals | 131,947.8 | 148,064.8 | 152,995.0 |
| Other Operating Expenditures | 12,250.3 | 12,495.3 | 12,911.0 |
| Library Acquisitions | | | |
| Capital | 7,119.3 | 8,135.0 | 8,402.0 |
| All Other Operating Subtotal | 167,598.4 | 185,666.0 | 191,839.0 |
| TOTAL FUNDS EXPENDED | 266,869.1 | 279,165.3 | 288,448.0 |
| Net Transfers Out | (404.7) | (356.7) | (370.0) |
| TOTAL DISPOSITION OF FUNDS | 266,464.4 | 278,808.6 | 288,078.0 |
| BALANCE FORWARD TO NEXT YEAR | | | |

Source of Revenue:

Grants and contracts from the federal government.

Purpose of Fund:

To account for current operating funds restricted in use by the federal government. Revenue and operating expenditures exclude indirect cost recovery.

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 LOAN FUNDS - SOURCE AND DISPOSITION OF FUNDS**

| FUNDS AVAILABLE | ACTUAL FY 2013 | ESTIMATED FY 2014 | ESTIMATED FY 2015 |
|--------------------------------------|-------------------|----------------------|----------------------|
| Balance Forward | 13,684.6 | 13,811.7 | 13,811.7 |
| Receipts | 315.4 | | |
| TOTAL FUNDS AVAILABLE | 14,000.0 | 13,811.7 | 13,811.7 |
| DISPOSITION OF FUNDS | | | |
| FTE Positions | | | |
| Personal Services | | | |
| ERE | | | |
| All Other Operating Expenditures: | | | |
| Professional and Outside Services | 244.4 | | |
| Travel - In State | | | |
| Travel - Out of State | | | |
| Aid to Organizations and Individuals | | | |
| Other Operating Expenditures | (22.8) | | |
| Library Acquisitions | | | |
| Capital | | | |
| All Other Operating Subtotal | 221.6 | | |
| TOTAL FUNDS EXPENDED | 221.6 | | |
| Net Transfers Out | (33.3) | | |
| TOTAL DISPOSITION OF FUNDS | 188.3 | | |
| BALANCE FORWARD TO NEXT YEAR | 13,811.7 | 13,811.7 | 13,811.7 |

Source of Revenue:

Primarily interest on student loans for programs funded by the federal government.

Purpose of Fund:

To account for loans to students. Provisions of the federal loan program stipulate that:

- z The University match one third of the capital contribution; and
- z A portion of the loan principal and interest, ranging from 15 to 30 percent per year, can be canceled and absorbed by the federal government if the recipient completes certain employment requirements.

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 ENDOWMENT AND LIFE INCOME FUNDS - SOURCE AND DISPOSITION OF FUNDS**

| FUNDS AVAILABLE | ACTUAL FY 2013 | ESTIMATED FY 2014 | ESTIMATED FY 2015 |
|--------------------------------------|-------------------|----------------------|----------------------|
| Balance Forward | 84,154.1 | 97,339.6 | 97,339.6 |
| Receipts | 14,873.2 | | |
| TOTAL FUNDS AVAILABLE | 99,027.3 | 97,339.6 | 97,339.6 |
| DISPOSITION OF FUNDS | | | |
| FTE Positions | | | |
| Personal Services | | | |
| ERE | | | |
| All Other Operating Expenditures: | | | |
| Professional and Outside Services | 1,687.7 | | |
| Travel - In State | | | |
| Travel - Out of State | | | |
| Aid to Organizations and Individuals | | | |
| Other Operating Expenditures | | | |
| Library Acquisitions | | | |
| Capital | | | |
| All Other Operating Subtotal | 1,687.7 | | |
| TOTAL FUNDS EXPENDED | 1,687.7 | | |
| Net Transfers Out | | | |
| TOTAL DISPOSITION OF FUNDS | 1,687.7 | | |
| BALANCE FORWARD TO NEXT YEAR | 97,339.6 | 97,339.6 | 97,339.6 |

Source of Revenue:

Gifts, investment income and financial aid trust fund fees assessed to students.

Purpose of Fund:

Permanent endowment funds are subject to the restrictions of donor gift instruments requiring the principal be invested in perpetuity and that only the income be used for current operations. Term endowments provide that all or part of the principal may be expended after a stated period of time. Quasi endowments are established by the University for the same purposes as endowment funds. Life income funds are used to account for cash or other property contributed to the University subject to the requirement that the University periodically pay the income earned on such assets to designated beneficiaries.

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: ALL

SCHEDULE 1D-1
 STATE COLLECTIONS REVENUE

TUITION REVENUE BY CATEGORY

| | FY 2011 Actual | FY 2012 Actual | FY 2013 Actual | FY 2014 Budget | FY 2015 Estimate |
|--|-------------------|-------------------|-------------------|-------------------|---------------------|
| Non Resident Undergraduates | 203,409.2 | 232,371.9 | 251,840.7 | 277,605.9 | 313,781.0 |
| Non Resident Graduates | 57,067.2 | 68,733.5 | 74,626.7 | 84,812.6 | 110,006.3 |
| Resident Undergraduates | 231,148.5 | 287,696.1 | 293,039.6 | 300,108.4 | 296,720.8 |
| Resident Graduates | 40,320.4 | 40,989.6 | 41,732.0 | 43,362.9 | 40,865.4 |
| | 51.9 | 46.2 | 43.4 | 49.0 | 49.0 |
| Total Tuition | 531,997.2 | 629,837.2 | 661,282.4 | 705,938.8 | 761,422.5 |
| Local Collections from Tuition | (215,591.8) | (263,552.1) | (279,467.7) | (300,192.1) | (355,710.9) |
| Tuition Revenue to Support the State Operating Budget | 316,405.4 | 366,285.1 | 381,814.7 | 405,746.7 | 405,711.7 |
| Special Program Fees/Differential Tuition | | | | | |
| Program Fee/Differential Tuition Revenue | 28,355.8 | 37,661.9 | 39,325.4 | 42,498.8 | 42,498.8 |
| Local Collections from Program Fees/Diff Tuition | (3,078.2) | (5,807.1) | (6,000.2) | (5,931.8) | (5,931.8) |
| Program Fee Revenue to Support the State Operating Budget | 25,277.6 | 31,854.8 | 33,325.2 | 36,567.0 | 36,567.0 |
| OTHER REVENUE/RECEIPTS | | | | | |
| Summer Session Fees | 3,952.9 | 3,011.6 | 3,661.5 | 3,917.7 | 3,929.4 |
| Miscellaneous Receipts | 125.9 | 346.8 | 135.1 | 200.0 | 223.3 |
| Student Technology Fee | 7,428.8 | 7,720.2 | 7,933.1 | 7,999.7 | 7,999.7 |
| Student Technology Fee Financial Aid Set Aside | (1,243.7) | (1,276.2) | (1,362.4) | (1,362.4) | (1,362.4) |
| Other Revenue/Receipts to Support the State Operating Budget | 10,263.9 | 9,802.4 | 10,367.3 | 10,755.0 | 10,790.0 |
| Total State Collections to Support the Operating Budget | 351,946.9 | 407,942.3 | 425,507.2 | 453,068.7 | 453,068.7 |

DATE PREPARED: OCTOBER 1, 2013

SCHEDULE 1D-1

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: ALL

SCHEDULE 1D-2
 STUDENT FTE AND FPE

| | FY 2011 Actual Total | FY 2012 Actual Total | FY 2013 Actual Total | FY 2014 Budget Total | FY 2015 Estimate Total |
|------------------------------|-------------------------|-------------------------|-------------------------|-------------------------|---------------------------|
| Fall Semester | | | | | |
| Non Resident Undergraduates | 12,128 | 13,452 | 14,204 | 15,351 | 17,674 |
| Non Resident Graduates | 5,373 | 5,699 | 5,687 | 5,992 | 7,197 |
| Resident Undergraduates | 35,141 | 37,305 | 36,755 | 36,320 | 36,353 |
| Resident Graduates | 5,538 | 5,309 | 5,168 | 5,173 | 4,985 |
| Total Fall Semester | 58,180 | 61,765 | 61,765 | 62,836 | 66,208 |
| Spring Semester | | | | | |
| Non Resident Undergraduates | 11,332 | 12,491 | 13,530 | 14,439 | 16,485 |
| Non Resident Graduates | 4,856 | 5,026 | 5,435 | 5,657 | 6,708 |
| Resident Undergraduates | 33,014 | 34,868 | 34,321 | 33,895 | 33,877 |
| Resident Graduates | 5,349 | 4,989 | 4,999 | 4,869 | 4,647 |
| Total Spring Semester | 54,551 | 57,374 | 57,374 | 58,860 | 61,717 |
| Spring as a percent to Fall | 93.8% | 92.9% | 92.9% | 93.7% | 93.2% |
| Academic Year Average | | | | | |
| Non Resident Undergraduates | 11,730 | 12,972 | 13,867 | 14,895 | 17,080 |
| Non Resident Graduates | 5,115 | 5,363 | 5,561 | 5,825 | 6,952 |
| Resident Undergraduates | 34,078 | 36,087 | 35,538 | 35,108 | 35,115 |
| Resident Graduates | 5,444 | 5,149 | 5,084 | 5,021 | 4,816 |
| Total Academic Year Avg | 56,366 | 59,570 | 60,050 | 60,848 | 63,963 |

Full Pay Equivalent Students Academic Year

| | | | | | |
|-----------------------------|--------|--------|--------|--------|--------|
| Non Resident Undergraduates | 10,693 | 11,714 | 12,780 | 13,467 | 15,440 |
| As a Percent of NR UG FTE | 91.2% | 90.3% | 92.2% | 90.4% | 90.4% |
| Non Resident Graduates | 4,234 | 4,540 | 4,642 | 5,141 | 6,215 |
| As a Percent of NR G FTE | 82.8% | 84.7% | 83.5% | 88.3% | 89.4% |
| Resident Undergraduates | 31,507 | 32,245 | 32,778 | 31,952 | 31,578 |
| As a Percent of R UG FTE | 92.5% | 89.4% | 92.2% | 91.0% | 89.9% |
| Resident Graduates | 4,822 | 4,288 | 4,244 | 4,318 | 4,113 |
| As a Percent of R G FTE | 88.6% | 83.3% | 83.5% | 86.0% | 85.4% |

DATE PREPARED: OCTOBER 1, 2013

SCHEDULE 1D-2

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: TEMPE CAMPUS

SCHEDULE 1D-3
 TUITION AND MANDATORY FEES

| | ACTUAL 2010-11 | ACTUAL 2011-12 | ACTUAL 2012-13 | BUDGET 2013-14 | ESTIMATE 2014-15 |
|---|-------------------|-------------------|-------------------|-------------------|---------------------|
| ACADEMIC YEAR TUITION: | | | | | |
| RESIDENT AND NON RESIDENT TUITION RATES | | | | | |
| Academic Year Nonresident Undergraduate Tuition | 20,257 | 21,807 | 22,461 | 23,135 | 23,135 |
| Academic Year Nonresident Graduate Tuition | 22,058 | 23,833 | 24,548 | 25,284 | 25,284 |
| Academic Year Resident Undergraduate Tuition | | | | | |
| Cohort Fall Continuing 4 | 6,607 | 7,847 | 8,228 | 8,819 | 9,304 |
| Cohort Fall Continuing 3 | 6,607 | 8,228 | 8,562 | 9,304 | 9,484 |
| Cohort Fall Continuing 2 | 6,988 | 8,562 | 9,033 | 9,484 | 9,484 |
| Cohort Fall Continuing 1 | 7,322 | 9,033 | 9,208 | 9,484 | 9,484 |
| Cohort Fall New (incl commitment term expired and Part Time) | 7,793 | 9,208 | 9,208 | 9,484 | 9,484 |
| Academic Year Resident Graduate Tuition | 8,509 | 9,709 | 10,000 | 10,300 | 10,300 |
| Colleges at ASU | | | | | |
| Nonresident | | | 9,000 | 9,270 | 9,270 |
| Resident | | | 6,000 | 6,180 | 6,180 |
| Eastern AZ College | | | 5,550 | 5,716 | 5,716 |
| Online Undergraduate Rate (9 Hrs per Semester starting FY 11) | 5,850 | 7,650 | 7,956 | 8,280 | 8,280 |
| Online Graduate Rate (9 Hrs per Semester starting FY 11) | 6,390 | 8,010 | 8,330 | 8,676 | 8,676 |
| ACADEMIC YEAR MANDATORY FEES (Full Time): | | | | | |
| Student Financial Aid Trust Fund | 56 | 77 | 82 | 89 | 89 |
| Student Recreation Center | 50 | 50 | 50 | 50 | 50 |
| Student Facility Fee | 50 | 150 | 150 | 150 | 150 |
| Student Program Fee | | 50 | 50 | 50 | 50 |
| Health and Wellness Fee | 80 | 80 | 80 | 80 | 80 |
| Technology Fee | 100 | 100 | 100 | 100 | 100 |

SCHEDULE 1D-4
 LOCAL COLLECTIONS RETENTION

| LOCAL COLLECTIONS RETENTION | BUDGET 2012-13 | INCREASE/ (DECREASE) | ESTIMATE 2013-14 | INCREASE/ (DECREASE) | ESTIMATE 2014-15 |
|--|-------------------|-------------------------|---------------------|-------------------------|---------------------|
| LOCAL COLLECTIONS FROM TUITION | | | | | |
| OPERATING FUNDS | | | | | |
| <u>DESIGNATED</u> | | | | | |
| AECP - International Teaching Assistants..... | 87,500 | | 87,500 | | 87,500 |
| Associated Students-ASU..... | 859,100 | | 859,100 | | 859,100 |
| Child and Family Services..... | 62,700 | | 62,700 | | 62,700 |
| Constituent Advocacy..... | 124,500 | | 124,500 | | 124,500 |
| Distance Learning Technology..... | 970,200 | | 970,200 | | 970,200 |
| Education Learning and Accountability Fund..... | | 422,100 | 422,100 | | 422,100 |
| Environmental Health & Safety..... | 182,200 | | 182,200 | | 182,200 |
| Federal Direct Loan Administration..... | 144,000 | | 144,000 | | 144,000 |
| Fine Arts Activities..... | 307,900 | | 307,900 | | 307,900 |
| Fine Arts Theatres..... | 605,900 | | 605,900 | | 605,900 |
| Forensics..... | 106,100 | | 106,100 | | 106,100 |
| Graduate Support Program..... | 371,800 | | 371,800 | | 371,800 |
| Interpreters Theatre..... | 35,700 | | 35,700 | | 35,700 |
| KASC Radio..... | 22,000 | | 22,000 | | 22,000 |
| Library Support..... | 312,000 | | 312,000 | | 312,000 |
| Local Support for Academic/Administrative Units..... | 11,537,200 | 4,835,200 | 16,372,400 | 731,400 | 17,103,800 |
| Mona Plummer Aquatic Complex..... | 141,900 | | 141,900 | | 141,900 |
| Online Partnership/Management Payments..... | 18,806,300 | 725,800 | 19,532,100 | 16,073,600 | 35,605,700 |
| Online Program Allocation for Direct Expenses..... | 8,814,400 | (582,700) | 8,231,700 | 1,785,900 | 10,017,600 |
| Overseas Study Abroad Program Costs..... | 1,525,600 | 957,200 | 2,482,800 | 478,600 | 2,961,400 |
| Special Events..... | 176,800 | | 176,800 | | 176,800 |
| Student Affairs Initiatives..... | 228,800 | | 228,800 | 60,800 | 289,600 |
| Student Financial Assistance Administration..... | 351,000 | | 351,000 | | 351,000 |
| Student Recreation/Intramurals..... | | 1,120,100 | 1,120,100 | 574,900 | 1,695,000 |
| Summer Bridge Program..... | 335,200 | | 335,200 | | 335,200 |
| University Minority Cultural Program..... | 113,800 | | 113,800 | | 113,800 |
| University Recycling Program..... | 83,000 | | 83,000 | | 83,000 |
| RA/TA Benefit Costs..... | 14,760,900 | 1,196,100 | 15,957,000 | 2,760,000 | 18,717,000 |
| Employee Benefit Adjustments/Contingencies..... | 166,000 | | 166,000 | 34,000 | 200,000 |
| SUBTOTAL | 61,232,500 | 8,673,800 | 69,906,300 | 22,499,200 | 92,405,500 |
| <u>AUXILIARY</u> | | | | | |
| Sun Devil Athletics..... | 1,975,300 | | 1,975,300 | | 1,975,300 |
| Memorial Union..... | 1,129,200 | | 1,129,200 | | 1,129,200 |
| Recreation Sports..... | 827,100 | | 827,100 | | 827,100 |
| SUBTOTAL | 3,931,600 | - | 3,931,600 | - | 3,931,600 |
| OPERATING FUNDS SUBTOTAL | 65,164,100 | 8,673,800 | 73,837,900 | 22,499,200 | 96,337,100 |
| <u>FINANCIAL AID</u> | | | | | |
| Regents Financial Aid Set Aside..... | 77,836,900 | 1,843,400 | 79,680,300 | 1,173,800 | 80,854,100 |
| Other Financial Aid - Institutional Financial Aid..... | 72,159,700 | 5,754,600 | 77,914,300 | 23,144,500 | 101,058,800 |
| Other Financial Aid - CRESMET/CONACYT/NEEP..... | 308,200 | | 308,200 | | 308,200 |

**SCHEDULE 1D-4
 LOCAL COLLECTIONS RETENTION**

| LOCAL COLLECTIONS RETENTION | BUDGET 2012-13 | INCREASE/ (DECREASE) | ESTIMATE 2013-14 | INCREASE/ (DECREASE) | ESTIMATE 2014-15 |
|--|---------------------------|---------------------------------|-----------------------------|---------------------------------|-----------------------------|
| Other Financial Aid - Graduate Scholars Program..... | 507,600 | | 507,600 | | 507,600 |
| Graduate Fellowship Program..... | 1,522,700 | | 1,522,700 | | 1,522,700 |
| CONACYT Fellowship Program..... | 122,500 | | 122,500 | | 122,500 |
| Other Fin. Aid - School of Engineering Program..... | 1,260,000 | 500,000 | 1,760,000 | 240,000 | 2,000,000 |
| SUBTOTAL | 153,717,600 | 8,098,000 | 161,815,600 | 24,558,300 | 186,373,900 |
| MINOR CAPITAL PROJECTS | 14,000,000 | | 14,000,000 | 3,000,000 | 17,000,000 |
| ENERGY MANAGEMENT CONTRACT | 3,506,000 | 4,324,500 | 7,830,500 | 2,223,200 | 10,053,700 |
| DEBT SERVICE | 41,852,600 | 855,500 | 42,708,100 | 3,238,100 | 45,946,200 |
| TOTAL LOCAL RETENTION FROM TUITION | 278,240,300 | 21,951,800 | 300,192,100 | 55,518,800 | 355,710,900 |
| LOCAL COLLECTIONS FROM PROGRAM FEES | | | | | |
| OPERATING FUNDS | | | | | |
| <u>DESIGNATED</u> | | | | | |
| Local Support for Academic Units..... | 776,800 | (502,400) | 274,400 | | 274,400 |
| <u>FINANCIAL AID</u> | | | | | |
| Business Financial Aid Set Aside..... | 662,600 | 123,800 | 786,400 | | 786,400 |
| Engineering Financial Aid Set Aside..... | 761,800 | 215,500 | 977,300 | | 977,300 |
| Health Solutions Financial Aid Set Aside..... | 79,900 | 246,500 | 326,400 | | 326,400 |
| Journalism Financial Aid Set Aside..... | 114,800 | 7,800 | 122,600 | | 122,600 |
| Law Financial Aid Set Aside..... | 1,499,400 | (14,700) | 1,484,700 | | 1,484,700 |
| Liberal Arts & Sciences Financial Aid Set Aside..... | 1,159,600 | (165,300) | 994,300 | | 994,300 |
| Nursing Financial Aid Set Aside..... | 801,600 | 164,100 | 965,700 | | 965,700 |
| Letters & Sciences/University College Financial Aid Set Aside..... | 143,700 | (143,700) | - | | - |
| Student Technology Fee Financial Aid Set Aside..... | 1,362,400 | | 1,362,400 | | 1,362,400 |
| SUBTOTAL | 6,585,800 | 434,000 | 7,019,800 | - | 7,019,800 |
| TOTAL LOCAL RETENTION FROM PROGRAM FEES | 7,362,600 | (68,400) | 7,294,200 | - | 7,294,200 |
| TOTAL LOCAL COLLECTIONS | 285,602,900 | 21,883,400 | 307,486,300 | 55,518,800 | 363,005,100 |

DATE PREPARED: OCTOBER 1, 2013

SCHEDULE 1D-4

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 3
 AGENCY SUMMARY OF EXPENDITURES & BUDGET REQUEST**

| AFIS OBJ CODE | COST CENTER/PROGRAM RESOURCE ALLOCATION | ACTUAL FY 2013 | ESTIMATED FY 2014 | CONTINUATION REQUESTS | STRATEGIC INVESTMENTS | TOTAL REQUEST FY 2015 |
|---------------------|--|--------------------|----------------------|--------------------------|--------------------------|-----------------------------|
| | Instruction | 408,481.1 | 439,599.9 | 30,089.3 | | 469,689.2 |
| | Organized Research | 15,515.7 | 14,670.4 | 423.7 | | 15,094.1 |
| | Public Service | 1,168.5 | 995.2 | | | 995.2 |
| | Academic Support | 84,779.1 | 91,107.9 | 3,874.9 | | 94,982.8 |
| | Student Services | 34,675.4 | 37,420.8 | 3,834.9 | | 41,255.7 |
| | Institutional Support | 141,426.7 | 141,851.5 | | | 141,851.5 |
| | AGENCY SUMMARY - EXPENDITURE AUTHORITY | 686,046.5 | 725,645.7 | 38,222.8 | | 763,868.5 |
| | EXPENDITURE DETAIL: | | | | | |
| | FTE Positions | 6,241.20 | 6,241.20 | 196.00 | | 6,437.20 |
| 6000 | Personal Services | 393,886.0 | 420,884.6 | 19,458.0 | | 440,342.6 |
| 6100 | Employee Related Expenditures | 120,463.1 | 128,560.5 | 5,800.6 | | 134,361.1 |
| | All Other Operating Expenditures | | | | | |
| 6200 | Professional and Outside Services | 37,693.9 | 38,117.8 | 1,760.0 | | 39,877.8 |
| 6500 | Travel In State | 254.2 | 295.3 | | | 295.3 |
| 6600 | Travel Out of State | 3,429.2 | 4,354.2 | | | 4,354.2 |
| 6700 | Food | | | | | |
| 6800 | Aid to Organizations and Individuals | | | | | |
| 7000 | Other Operating | 99,584.3 | 102,114.4 | 6,370.0 | | 108,484.4 |
| | Library Acquisitions | 9,841.3 | 8,609.9 | | | 8,609.9 |
| 8400 | Capital | 20,894.5 | 22,709.0 | 4,834.2 | | 27,543.2 |
| | Total All Other Operating Expenditures | 171,697.4 | 176,200.6 | 12,964.2 | | 189,164.8 |
| | Subtotal | 686,046.5 | 725,645.7 | 38,222.8 | | 763,868.5 |
| | Technology and Research Initiative Fund Expenditures | | | | | |
| | TOTAL EXPENDITURE AUTHORITY | 686,046.5 | 725,645.7 | 38,222.8 | | 763,868.5 |
| | Collections/Other Receipts | (428,119.3) | (453,068.7) | | | (453,068.7) |
| | Balances Forward | | | | | |
| 1000 | TOTAL GENERAL FUND | 257,927.2 | 272,577.0 | 38,222.8 | | 310,799.8 |
| 2000 | Federal Funds | 266,869.1 | 279,165.3 | 9,282.7 | | 288,448.0 |
| | Other Non Appropriated Funds | 700,104.0 | 770,020.9 | 66,597.1 | | 836,618.0 |
| | Total Non Appropriated Funds | 966,973.1 | 1,049,186.2 | 75,879.9 | | 1,125,066.0 |
| | TOTAL EXPENDITURES | 1,653,019.6 | 1,774,831.9 | 114,102.7 | | 1,888,934.5 |

DATE PREPARED: OCTOBER 1, 2013

SCHEDULE 3

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
COST CENTER/PROGRAM NAME: INSTRUCTION
FUND NAME & AFIS NUMBER: General Fund - 1000; Collections/Other - 1411

SCHEDULE 3
COST CENTER/PROGRAM SUMMARY OF EXPENDITURES AND BUDGET REQUEST

| AFIS OBJ CODE | CATEGORY | ACTUAL FY 2013 | ESTIMATED FY 2014 | CONTINUATION REQUESTS | STRATEGIC INVESTMENTS | TOTAL REQUEST FY 2015 |
|---------------------|--|-------------------|----------------------|--------------------------|--------------------------|-----------------------------|
| | EXPENDITURE DETAIL: | | | | | |
| | FTE Positions | 4,294.40 | 4,294.40 | 160.00 | | 4,454.40 |
| 6000 | Personal Services | 293,529.3 | 306,986.5 | 16,866.0 | | 323,852.5 |
| 6100 | Employee Related Expenditures | 84,858.8 | 87,542.3 | 4,831.1 | | 92,373.4 |
| | All Other Operating Expenditures | | | | | |
| 6200 | Professional and Outside Services | 7,184.2 | 10,885.5 | 405.0 | | 11,290.5 |
| 6500 | Travel In State | 125.1 | 179.1 | | | 179.1 |
| 6600 | Travel Out of State | 2,169.3 | 3,267.1 | | | 3,267.1 |
| 6700 | Food | | | | | |
| 6800 | Aid to Organizations and Individuals | | | | | |
| 7000 | Other Operating | 13,841.5 | 20,332.4 | 4,330.2 | | 24,662.6 |
| | Library Acquisitions | | | | | |
| 8400 | Capital | 6,772.9 | 10,407.0 | 3,657.0 | | 14,064.0 |
| | Total All Other Operating Expenditures | 30,093.0 | 45,071.1 | 8,392.2 | | 53,463.3 |
| | Subtotal | 408,481.1 | 439,599.9 | 30,089.3 | | 469,689.2 |
| | Technology and Research Initiative Fund Expenditures | | | | | |
| | TOTAL EXPENDITURE AUTHORITY | 408,481.1 | 439,599.9 | 30,089.3 | | 469,689.2 |
| | Collections/Other Receipts | (408,481.1) | (439,599.9) | | | (439,599.9) |
| | Balances Forward | | | | | |
| 1000 | TOTAL GENERAL FUND | | | 30,089.3 | | 30,089.3 |
| 2000 | Federal Funds | 10,129.3 | 9,807.1 | 320.9 | | 10,128.0 |
| | Other Non Appropriated Funds | 164,522.4 | 201,987.8 | 29,616.2 | | 231,604.0 |
| | Total Non Appropriated Funds | 174,651.7 | 211,794.9 | 29,937.1 | | 241,732.0 |
| | TOTAL EXPENDITURES | 583,132.8 | 651,394.8 | 60,026.4 | | 711,421.2 |

DATE PREPARED: OCTOBER 1, 2013

SCHEDULE 3

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
COST CENTER/PROGRAM NAME: ORGANIZED RESEARCH
FUND NAME & AFIS NUMBER: General Fund - 1000; Collections/Other - 1411

SCHEDULE 3
COST CENTER/PROGRAM SUMMARY OF EXPENDITURES AND BUDGET REQUEST

| AFIS OBJ CODE | CATEGORY | ACTUAL FY 2013 | ESTIMATED FY 2014 | CONTINUATION REQUESTS | STRATEGIC INVESTMENTS | TOTAL REQUEST FY 2015 |
|---------------------|--|-------------------|----------------------|--------------------------|--------------------------|-----------------------------|
| | EXPENDITURE DETAIL: | | | | | |
| | FTE Positions | 135.80 | 135.80 | 4.00 | | 139.80 |
| 6000 | Personal Services | 10,731.2 | 10,533.1 | 288.0 | | 10,821.1 |
| 6100 | Employee Related Expenditures | 3,648.8 | 3,530.6 | 107.7 | | 3,638.3 |
| | All Other Operating Expenditures | | | | | |
| 6200 | Professional and Outside Services | 551.4 | 302.4 | | | 302.4 |
| 6500 | Travel In State | 4.0 | 2.3 | | | 2.3 |
| 6600 | Travel Out of State | 144.0 | 74.2 | | | 74.2 |
| 6700 | Food | | | | | |
| 6800 | Aid to Organizations and Individuals | | | | | |
| 7000 | Other Operating | 345.5 | 181.1 | 7.2 | | 188.3 |
| | Library Acquisitions | | | | | |
| 8400 | Capital | 90.8 | 46.7 | 20.8 | | 67.5 |
| | Total All Other Operating Expenditures | 1,135.7 | 606.7 | 28.0 | | 634.7 |
| | Subtotal | 15,515.7 | 14,670.4 | 423.7 | | 15,094.1 |
| | Technology and Research Initiative Fund Expenditures | | | | | |
| | TOTAL EXPENDITURE AUTHORITY | 15,515.7 | 14,670.4 | 423.7 | | 15,094.1 |
| | Collections/Other Receipts | | | | | |
| | Balances Forward | | | | | |
| 1000 | TOTAL GENERAL FUND | 15,515.7 | 14,670.4 | 423.7 | | 15,094.1 |
| 2000 | Federal Funds | 137,183.3 | 144,542.4 | 4,810.6 | | 149,353.0 |
| | Other Non Appropriated Funds | 70,860.1 | 70,638.4 | 2,342.6 | | 72,981.0 |
| | Total Non Appropriated Funds | 208,043.4 | 215,180.8 | 7,153.2 | | 222,334.0 |
| | TOTAL EXPENDITURES | 223,559.1 | 229,851.2 | 7,576.9 | | 237,428.1 |

DATE PREPARED: OCTOBER 1, 2013

SCHEDULE 3

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
COST CENTER/PROGRAM NAME: PUBLIC SERVICE
FUND NAME & AFIS NUMBER: General Fund - 1000; Collections/Other - 1411

SCHEDULE 3
COST CENTER/PROGRAM SUMMARY OF EXPENDITURES AND BUDGET REQUEST

| AFIS OBJ CODE | CATEGORY | ACTUAL FY 2013 | ESTIMATED FY 2014 | CONTINUATION REQUESTS | STRATEGIC INVESTMENTS | TOTAL REQUEST FY 2015 |
|---------------------|--|-------------------|----------------------|--------------------------|--------------------------|-----------------------------|
| | EXPENDITURE DETAIL: | | | | | |
| | FTE Positions | 9.50 | 9.50 | | | 9.50 |
| 6000 | Personal Services | 691.7 | 503.4 | | | 503.4 |
| 6100 | Employee Related Expenditures | 243.6 | 179.6 | | | 179.6 |
| | All Other Operating Expenditures | | | | | |
| 6200 | Professional and Outside Services | 137.1 | 192.7 | | | 192.7 |
| 6500 | Travel In State | 1.1 | 0.9 | | | 0.9 |
| 6600 | Travel Out of State | 1.2 | 1.8 | | | 1.8 |
| 6700 | Food | | | | | |
| 6800 | Aid to Organizations and Individuals | | | | | |
| 7000 | Other Operating | 75.6 | 88.5 | | | 88.5 |
| | Library Acquisitions | | | | | |
| 8400 | Capital | 18.2 | 28.3 | | | 28.3 |
| | Total All Other Operating Expenditures | 233.2 | 312.2 | | | 312.2 |
| | Subtotal | 1,168.5 | 995.2 | | | 995.2 |
| | Technology and Research Initiative Fund Expenditures | | | | | |
| | TOTAL EXPENDITURE AUTHORITY | 1,168.5 | 995.2 | | | 995.2 |
| | Collections/Other Receipts | | | | | |
| | Balances Forward | | | | | |
| 1000 | TOTAL GENERAL FUND | 1,168.5 | 995.2 | | | 995.2 |
| 2000 | Federal Funds | 10,361.5 | 14,154.3 | 464.7 | | 14,619.0 |
| | Other Non Appropriated Funds | 28,263.4 | 25,996.3 | 695.7 | | 26,692.0 |
| | Total Non Appropriated Funds | 38,624.9 | 40,150.6 | 1,160.4 | | 41,311.0 |
| | TOTAL EXPENDITURES | 39,793.4 | 41,145.8 | 1,160.4 | | 42,306.2 |

DATE PREPARED: OCTOBER 1, 2013

SCHEDULE 3

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
COST CENTER/PROGRAM NAME: ACADEMIC SUPPORT
FUND NAME & AFIS NUMBER: General Fund - 1000; Collections/Other - 1411

SCHEDULE 3
COST CENTER/PROGRAM SUMMARY OF EXPENDITURES AND BUDGET REQUEST

| AFIS OBJ CODE | CATEGORY | ACTUAL FY 2013 | ESTIMATED FY 2014 | CONTINUATION REQUESTS | STRATEGIC INVESTMENTS | TOTAL REQUEST FY 2015 |
|---------------------|--|-------------------|----------------------|--------------------------|--------------------------|-----------------------------|
| | EXPENDITURE DETAIL: | | | | | |
| | FTE Positions | 576.00 | 576.00 | 16.00 | | 592.00 |
| 6000 | Personal Services | 33,518.7 | 38,143.2 | 1,152.0 | | 39,295.2 |
| 6100 | Employee Related Expenditures | 11,314.4 | 13,222.1 | 430.9 | | 13,653.0 |
| | All Other Operating Expenditures | | | | | |
| 6200 | Professional and Outside Services | 6,321.8 | 6,014.2 | 730.0 | | 6,744.2 |
| 6500 | Travel In State | 26.9 | 25.9 | | | 25.9 |
| 6600 | Travel Out of State | 489.2 | 467.0 | | | 467.0 |
| 6700 | Food | | | | | |
| 6800 | Aid to Organizations and Individuals | | | | | |
| 7000 | Other Operating | 13,868.2 | 16,436.5 | 1,328.8 | | 17,765.3 |
| | Library Acquisitions | 9,841.3 | 8,609.9 | | | 8,609.9 |
| 8400 | Capital | 9,398.6 | 8,189.1 | 233.2 | | 8,422.3 |
| | Total All Other Operating Expenditures | 39,946.0 | 39,742.6 | 2,292.0 | | 42,034.6 |
| | Subtotal | 84,779.1 | 91,107.9 | 3,874.9 | | 94,982.8 |
| | Technology and Research Initiative Fund Expenditures | | | | | |
| | TOTAL EXPENDITURE AUTHORITY | 84,779.1 | 91,107.9 | 3,874.9 | | 94,982.8 |
| | Collections/Other Receipts | (19,638.2) | (13,468.8) | | | (13,468.8) |
| | Balances Forward | | | | | |
| 1000 | TOTAL GENERAL FUND | 65,140.9 | 77,639.1 | 3,874.9 | | 81,514.0 |
| 2000 | Federal Funds | 323.9 | 305.6 | 10.4 | | 316.0 |
| | Other Non Appropriated Funds | 46,498.2 | 49,229.8 | (3,520.8) | | 45,709.0 |
| | Total Non Appropriated Funds | 46,822.1 | 49,535.4 | (3,510.4) | | 46,025.0 |
| | TOTAL EXPENDITURES | 131,601.2 | 140,643.3 | 364.5 | | 141,007.8 |

DATE PREPARED: OCTOBER 1, 2013

SCHEDULE 3

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
COST CENTER/PROGRAM NAME: STUDENT SERVICES
FUND NAME & AFIS NUMBER: General Fund - 1000; Collections/Other - 1411

SCHEDULE 3
COST CENTER/PROGRAM SUMMARY OF EXPENDITURES AND BUDGET REQUEST

| AFIS OBJ CODE | CATEGORY | ACTUAL FY 2013 | ESTIMATED FY 2014 | CONTINUATION REQUESTS | STRATEGIC INVESTMENTS | TOTAL REQUEST FY 2015 |
|---------------------|--|-------------------|----------------------|--------------------------|--------------------------|-----------------------------|
| | EXPENDITURE DETAIL: | | | | | |
| | FTE Positions | 405.70 | 405.70 | 16.00 | | 421.70 |
| 6000 | Personal Services | 18,836.2 | 20,335.3 | 1,152.0 | | 21,487.3 |
| 6100 | Employee Related Expenditures | 6,833.9 | 7,262.8 | 430.9 | | 7,693.7 |
| | All Other Operating Expenditures | | | | | |
| 6200 | Professional and Outside Services | 1,516.1 | 1,372.3 | 625.0 | | 1,997.3 |
| 6500 | Travel In State | 62.5 | 57.7 | | | 57.7 |
| 6600 | Travel Out of State | 169.6 | 156.0 | | | 156.0 |
| 6700 | Food | | | | | |
| 6800 | Aid to Organizations and Individuals | | | | | |
| 7000 | Other Operating | 6,926.2 | 7,926.1 | 703.8 | | 8,629.9 |
| | Library Acquisitions | | | | | |
| 8400 | Capital | 330.9 | 310.6 | 923.2 | | 1,233.8 |
| | Total All Other Operating Expenditures | 9,005.3 | 9,822.7 | 2,252.0 | | 12,074.7 |
| | Subtotal | 34,675.4 | 37,420.8 | 3,834.9 | | 41,255.7 |
| | Technology and Research Initiative Fund Expenditures | | | | | |
| | TOTAL EXPENDITURE AUTHORITY | 34,675.4 | 37,420.8 | 3,834.9 | | 41,255.7 |
| | Collections/Other Receipts | | | | | |
| | Balances Forward | | | | | |
| 1000 | TOTAL GENERAL FUND | 34,675.4 | 37,420.8 | 3,834.9 | | 41,255.7 |
| 2000 | Federal Funds | 108,828.7 | 110,315.9 | 3,673.1 | | 113,989.0 |
| | Other Non Appropriated Funds | 332,685.0 | 361,805.5 | 35,697.5 | | 397,503.0 |
| | Total Non Appropriated Funds | 441,513.7 | 472,121.4 | 39,370.6 | | 511,492.0 |
| | TOTAL EXPENDITURES | 476,189.1 | 509,542.2 | 43,205.5 | | 552,747.7 |

DATE PREPARED: OCTOBER 1, 2013

SCHEDULE 3

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
COST CENTER/PROGRAM NAME: INSTITUTIONAL SUPPORT
FUND NAME & AFIS NUMBER: General Fund - 1000; Collections/Other - 1411

SCHEDULE 3
COST CENTER/PROGRAM SUMMARY OF EXPENDITURES AND BUDGET REQUEST

| AFIS OBJ CODE | CATEGORY | ACTUAL FY 2013 | ESTIMATED FY 2014 | CONTINUATION REQUESTS | STRATEGIC INVESTMENTS | TOTAL REQUEST FY 2015 |
|---------------------|--|-------------------|----------------------|--------------------------|--------------------------|-----------------------------|
| | EXPENDITURE DETAIL: | | | | | |
| | FTE Positions | 819.80 | 819.80 | | | 819.80 |
| 6000 | Personal Services | 36,578.9 | 44,383.1 | | | 44,383.1 |
| 6100 | Employee Related Expenditures | 13,563.6 | 16,823.1 | | | 16,823.1 |
| | All Other Operating Expenditures | | | | | |
| 6200 | Professional and Outside Services | 21,983.3 | 19,350.7 | | | 19,350.7 |
| 6500 | Travel In State | 34.6 | 29.4 | | | 29.4 |
| 6600 | Travel Out of State | 455.9 | 388.1 | | | 388.1 |
| 6700 | Food | | | | | |
| 6800 | Aid to Organizations and Individuals | | | | | |
| 7000 | Other Operating | 64,527.3 | 57,149.8 | | | 57,149.8 |
| | Library Acquisitions | | | | | |
| 8400 | Capital | 4,283.1 | 3,727.3 | | | 3,727.3 |
| | Total All Other Operating Expenditures | 91,284.2 | 80,645.3 | | | 80,645.3 |
| | Subtotal | 141,426.7 | 141,851.5 | | | 141,851.5 |
| | Technology and Research Initiative Fund Expenditures | | | | | |
| | TOTAL EXPENDITURE AUTHORITY | 141,426.7 | 141,851.5 | | | 141,851.5 |
| | Collections/Other Receipts | | | | | |
| | Balances Forward | | | | | |
| 1000 | TOTAL GENERAL FUND | 141,426.7 | 141,851.5 | | | 141,851.5 |
| 2000 | Federal Funds | 42.4 | 40.0 | 3.0 | | 43.0 |
| | Other Non Appropriated Funds | 57,274.9 | 60,363.1 | 1,765.9 | | 62,129.0 |
| | Total Non Appropriated Funds | 57,317.3 | 60,403.1 | 1,768.9 | | 62,172.0 |
| | TOTAL EXPENDITURES | 198,744.0 | 202,254.6 | 1,768.9 | | 204,023.5 |

DATE PREPARED: OCTOBER 1, 2013

SCHEDULE 3

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

FEDERAL 1
 COST CENTER/PROGRAM SUMMARY OF FEDERAL EXPENDITURES

| AFIS OBJ CODE | CATEGORY | ACTUAL FY 2013 | ESTIMATED FY 2014 | INCREASE/ (DECREASE) | ESTIMATED FY 2015 |
|---------------------|--|-------------------|----------------------|-------------------------|----------------------|
| 6000 | Personal Services | 73,458.1 | 69,145.0 | 2,303.0 | 71,448.0 |
| 6100 | Employee Related Expenditures | 25,812.6 | 24,354.3 | 806.7 | 25,161.0 |
| 6200 | Professional and Outside Services | 11,916.8 | 12,290.1 | 408.9 | 12,699.0 |
| 6500 | Travel In State | 327.0 | 333.4 | 9.6 | 343.0 |
| 6600 | Travel Out of State | 4,037.2 | 4,347.4 | 141.6 | 4,489.0 |
| 6700 | Food | 152.3 | 152.3 | | 152.3 |
| 6800 | Aid to Organizations and Individuals | 131,947.8 | 148,064.8 | 4,930.2 | 152,995.0 |
| 7000 | Other Operating | 12,098.0 | 12,343.0 | 415.7 | 12,758.7 |
| 8400 | Capital Equipment | 4,529.6 | 5,500.0 | 100.0 | 5,600.0 |
| 8500 | Non-Capital Equipment | 2,589.7 | 2,635.0 | 167.0 | 2,802.0 |
| | TOTAL DIRECT COSTS | 266,869.1 | 279,165.3 | 9,282.7 | 288,448.0 |
| 9000 | Cost Allocation/Indirect Costs | 53,592.7 | 53,850.4 | 500.6 | 54,351.0 |
| 9100 | Transfers and Refunds (Out) | (404.7) | (356.7) | (13.3) | (370.0) |
| | TOTAL EXPENDITURES | 320,057.1 | 332,659.0 | 9,770.0 | 342,429.0 |
| | REVENUE DETAIL | | | | |
| 4210 | New Federal Revenue | 282,782.7 | 293,917.0 | 8,632.1 | 302,549.1 |
| 4230 | Pass Through Funds (From other state agencies) | 6,221.1 | 6,466.0 | 190.0 | 6,656.0 |
| 4900 | Transfers and Other Funds (In) | 31,053.3 | 32,276.0 | 947.9 | 33,223.9 |
| | TOTAL REVENUES | 320,057.1 | 332,659.0 | 9,770.0 | 342,429.0 |
| 9998 | Beginning Balance | | | | |
| 9999 | Ending Balance | | | | |

DATE PREPARED: OCTOBER 1, 2013

FEDERAL 1

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)
 COST CENTER/PROGRAM NAME: SUMMARY

FEDERAL 2
AGENCY SUMMARY OF FEDERAL REVENUE AND EXPENDITURES BY UNIVERSITY PROGRAM

| PROGRAM | ACTUAL FY 2013 | | | | ESTIMATED FY 2014 | | ESTIMATED FY 2015 | |
|-----------------------|------------------|------------------|------------------|-----------------------|-------------------|------------------|-------------------|------------------|
| | NUMBER OF AWARDS | REVENUE | EXPENDITURE | TRANSFERS AND REFUNDS | REVENUE | EXPENDITURE | REVENUE | EXPENDITURE |
| Instruction | 73 | 10,450.4 | 10,129.3 | 321.1 | 9,807.1 | 9,807.1 | 10,128.0 | 10,128.0 |
| Organized Research | 2,151 | 190,815.3 | 190,776.0 | 39.3 | 198,036.1 | 198,036.1 | 203,334.0 | 203,334.0 |
| Public Service | 158 | 10,361.5 | 10,361.5 | | 14,154.3 | 14,154.3 | 14,619.0 | 14,619.0 |
| Academic Support | 3 | 353.9 | 323.9 | 30.0 | 305.6 | 305.6 | 316.0 | 316.0 |
| Student Services | 66 | 108,033.6 | 108,828.7 | (795.1) | 110,315.9 | 110,315.9 | 113,989.0 | 113,989.0 |
| Institutional Support | 3 | 42.4 | 42.4 | | 40.0 | 40.0 | 43.0 | 43.0 |
| TOTAL | 2,454 | 320,057.1 | 320,461.8 | (404.7) | 332,659.0 | 332,659.0 | 342,429.0 | 342,429.0 |

AGENCY NAME & AFIS CODE: ARIZONA STATE UNIVERSITY - TEMPE (ASA)

COST CENTER/PROGRAM NAME: SUMMARY

FEDERAL 2

AGENCY SUMMARY OF FEDERAL REVENUE AND EXPENDITURES BY UNIVERSITY PROGRAM

| PROGRAM | ACTUAL FY 2012 | | | | ESTIMATED FY 2013 | | ESTIMATED FY 2014 | |
|--|------------------|------------------|------------------|-----------------------|-------------------|------------------|-------------------|------------------|
| | NUMBER OF AWARDS | REVENUE | EXPENDITURE | TRANSFERS AND REFUNDS | REVENUE | EXPENDITURE | REVENUE | EXPENDITURE |
| Department of Agriculture | 16 | 843.4 | 843.4 | | 843.4 | 843.4 | 843.4 | 843.4 |
| Department of Commerce | 15 | 313.6 | 313.6 | | 313.6 | 313.6 | 313.6 | 313.6 |
| Department of Defense | 170 | 27,186.5 | 27,185.9 | 0.6 | 27,186.5 | 27,186.5 | 27,186.5 | 27,186.5 |
| Department of Education | 50 | 9,945.9 | 9,945.8 | 0.1 | 9,945.9 | 9,945.9 | 9,945.9 | 9,945.9 |
| Department of Education (Fin Aid) | 12 | 104,219.6 | 105,014.7 | (795.1) | 104,219.6 | 104,219.6 | 104,219.6 | 104,219.6 |
| Department of Energy | 60 | 9,742.5 | 9,742.5 | | 9,742.5 | 9,742.5 | 9,742.5 | 9,742.5 |
| Department of Homeland Security | 3 | 221.5 | 221.5 | | 221.5 | 221.5 | 221.5 | 221.5 |
| Department of Housing and Urban Development | 3 | 338.3 | 338.3 | | 338.3 | 338.3 | 338.3 | 338.3 |
| Department of Interior | 27 | 1,733.2 | 1,733.2 | | 1,733.2 | 1,733.2 | 1,733.2 | 1,733.2 |
| Department of Justice | 11 | 850.3 | 850.3 | | 850.3 | 850.3 | 850.3 | 850.3 |
| Department of State | 7 | 557.2 | 557.2 | | 557.2 | 557.2 | 557.2 | 557.2 |
| Department of Transportation | 10 | 435.6 | 435.6 | | 435.6 | 435.6 | 435.6 | 435.6 |
| Environmental Protection Agency | 15 | 287.4 | 287.4 | | 287.4 | 287.4 | 287.4 | 287.4 |
| Health and Human Services | 434 | 49,517.3 | 49,487.3 | 30.0 | 49,517.3 | 49,517.3 | 49,517.3 | 49,517.3 |
| Jet Propulsion Laboratory | 44 | 4,698.2 | 4,698.1 | 0.1 | 4,698.2 | 4,698.2 | 4,698.2 | 4,698.2 |
| National Science Foundation | 823 | 54,559.2 | 54,559.2 | | 54,559.2 | 54,559.2 | 54,559.2 | 54,559.2 |
| Natl Aeronautics & Space Admin | 116 | 14,331.7 | 14,331.6 | 0.1 | 14,331.7 | 14,331.7 | 14,331.7 | 14,331.7 |
| Other Federal | 573 | 34,054.6 | 33,695.1 | 359.5 | 34,054.6 | 34,054.6 | 34,054.6 | 34,054.6 |
| Estimate of Increased Federal Grant Activity | | | | | 12,357.0 | 12,357.0 | 21,937.0 | 21,937.0 |
| SUBTOTAL | 2,389 | 313,836.0 | 314,240.7 | (404.7) | 326,193.0 | 326,193.0 | 335,773.0 | 335,773.0 |
| Pass Through from State Agencies | 77 | 6,221.1 | 6,221.1 | | 6,466.0 | 6,466.0 | 6,656.0 | 6,656.0 |
| SUBTOTAL PASS THROUGH | 77 | 6,221.1 | 6,221.1 | | 6,466.0 | 6,466.0 | 6,656.0 | 6,656.0 |
| TOTAL | 2,466 | 320,057.1 | 320,461.8 | (404.7) | 332,659.0 | 332,659.0 | 342,429.0 | 342,429.0 |

DATE PREPARED: OCTOBER 1, 2013

FEDERAL 2

| ASU Main - Operating Lump Sum | | |
|---|---------------|---|
| | FY 15 Request | Combined (GF & OF) |
| Total Salaries over FICA max | | 94,662.6 (Please input total salary amount) |
| Positions over FICA max | | 559.5 (number of FTE positions) |
| Positions Ineligible for Health Insurance | | 92.9 (number of FTE positions) |
| Ineligible for Health Insurance Personal Services | | 33,456.2 (personal services total) |
| Public Safety Retirement Personal Services | | 1,677.3 (personal services total) |
| Optional Retirement Personal Services | | 201,067.3 (personal services total) |

| ASU Main - Downtown Phoenix Campus SLI | | |
|---|---------------|--------------------|
| | FY 15 Request | Combined (GF & OF) |
| Total Salaries over FICA max | | 8,053.5 |
| Positions over FICA max | | 49.4 |
| Positions Ineligible for Health Insurance | | 54.6 |
| Ineligible for Health Insurance Personal Services | | 6,047.0 |
| Public Safety Retirement Personal Services | | 218.2 |
| Optional Retirement Personal Services | | 26,268.4 |

| ASU Main - Biomedical Informatics SLI | | |
|---|---------------|--------------------|
| | FY 15 Request | Combined (GF & OF) |
| Total Salaries over FICA max | | 274.5 |
| Positions over FICA max | | 2.0 |
| Positions Ineligible for Health Insurance | | 0.0 |
| Ineligible for Health Insurance Personal Services | | 0.0 |
| Public Safety Retirement Personal Services | | 0.0 |
| Optional Retirement Personal Services | | 1,069.2 |

| ASU East - Operating Lump Sum | | |
|---|---------------|--------------------|
| | FY 15 Request | Combined (GF & OF) |
| Total Salaries over FICA max | | 3,113.9 |
| Positions over FICA max | | 20.0 |
| Positions Ineligible for Health Insurance | | 27.1 |
| Ineligible for Health Insurance Personal Services | | 1,975.7 |
| Public Safety Retirement Personal Services | | 300.9 |
| Optional Retirement Personal Services | | 14,164.3 |

| ASU West - Operating Lump Sum | | |
|---|---------------|--------------------|
| | FY 15 Request | Combined (GF & OF) |
| Total Salaries over FICA max | | 4,105.1 |
| Positions over FICA max | | 25.2 |
| Positions Ineligible for Health Insurance | | 28.6 |
| Ineligible for Health Insurance Personal Services | | 2,110.7 |
| Public Safety Retirement Personal Services | | 560.1 |
| Optional Retirement Personal Services | | 15,817.0 |

ASU TEMPE/DPC

| Operating + SLIs COMBINED | | |
|------------------------------|--------------------|--------------------|
| | FY 13 Actual | FY 14 Est |
| FTE | 6,489.0 | 6,241.0 |
| PS | 393,886,000 | 420,884,600 |
| ERE | 120,463,200 | 128,560,500 |
| P&O | 37,693,900 | 38,117,800 |
| Travel In | 254,200 | 295,400 |
| Travel Out | 3,429,200 | 4,354,200 |
| Other Op | 99,584,300 | 102,114,400 |
| Library | 9,841,300 | 8,609,900 |
| Equipment | 20,894,400 | 22,708,900 |
| TOTAL | 686,046,500 | 725,645,700 |
| Collections | 428,119,300 | 453,068,700 |
| General | 257,927,200 | 272,577,000 |
| Total | 686,046,500 | 725,645,700 |

| SLI - Downtown Phx Campus COMBINED | | |
|---------------------------------------|--------------------|--------------------|
| | FY 13 Actual | FY 14 Est |
| FTE | 771.0 | 809.0 |
| PS | 49,272,000 | 51,196,200 |
| ERE | 14,768,700 | 15,516,800 |
| P&O | 5,667,600 | 6,317,100 |
| Travel In | 54,700 | 62,000 |
| Travel Out | 478,400 | 548,100 |
| Other Op | 30,743,000 | 35,819,600 |
| Library | 160,000 | 204,800 |
| Equipment | 1,218,400 | 1,343,200 |
| TOTAL | 102,362,800 | 111,007,800 |
| Collections | 80,162,000 | 88,562,800 |
| General | 22,200,800 | 22,445,000 |
| Total | 102,362,800 | 111,007,800 |

Biomedical Informatics

| COMBINED | | |
|--------------|------------------|------------------|
| | FY 13 Actual | FY 14 Est |
| FTE | 14.2 | 19.9 |
| PS | 1,556,500 | 1,971,100 |
| ERE | 405,700 | 613,500 |
| P&O | 151,400 | 137,200 |
| Travel In | 100 | |
| Travel Out | 1,000 | |
| Other Op | 17,300 | 25,600 |
| Library | 0 | |
| Equipment | 0 | |
| TOTAL | 2,132,000 | 2,747,400 |
| Collections | 176,800 | 792,200 |
| General | 1,955,200 | 1,955,200 |
| Total | 2,132,000 | 2,747,400 |

SLI - Research Infrastructure
General Fund

| | FY 13 Actual | FY 14 Est |
|--------------|-------------------|-------------------|
| FTE | | |
| PS | | |
| ERE | | |
| P&O | | |
| Travel In | | |
| Travel Out | | |
| Other Op | 13,555,000 | 13,555,000 |
| Library | | |
| Equipment | | |
| TOTAL | 13,555,000 | 13,555,000 |

Operating Only

| COMBINED | | |
|--------------|--------------------|--------------------|
| | FY 13 Actual | FY 14 Est |
| FTE | 5,703.8 | 5,412.1 |
| PS | 343,057,500 | 367,717,300 |
| ERE | 105,288,800 | 112,430,200 |
| P&O | 31,874,900 | 31,663,500 |
| Travel In | 199,400 | 233,400 |
| Travel Out | 2,949,800 | 3,806,100 |
| Other Op | 55,269,000 | 52,714,200 |
| Library | 9,681,300 | 8,405,100 |
| Equipment | 19,676,000 | 21,365,700 |
| TOTAL | 567,996,700 | 598,335,500 |
| Collections | 347,780,500 | 363,713,700 |
| General | 220,216,200 | 234,621,800 |
| Total | 567,996,700 | 598,335,500 |