State Budget Request
FY 2015
September 30, 2013

Governor Brewer and Members of the Arizona State Legislature:

This document summarizes Northern Arizona University’s request for state appropriated resources to meet anticipated needs of our institution during Fiscal Year 2015. It represents budget requirements necessary to maintain the level of educational excellence previously provided by this university with the support of the state of Arizona. The NAU request was prepared under guidelines endorsed by the Governor’s Office of Strategic Planning and Budgeting and the Arizona Board of Regents.

I look forward to reviewing Northern Arizona University’s budget request with you and your staff.

Sincerely,

John D. Haeger
President
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BUDDIES Reports
STATE OF ARIZONA
BUDGET REQUEST
TRANSMITTAL STATEMENT

AGENCY NORTHERN ARIZONA UNIVERSITY 0440
A.R.S. CITATION 15-1601

<table>
<thead>
<tr>
<th>FY 2015 Request</th>
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<tbody>
<tr>
<td>TOTAL STATE BUDGET REQUEST</td>
<td>$553,959,600</td>
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<td>GENERAL FUND</td>
<td>125,261,400</td>
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<tr>
<td>OTHER APPROPRIATED FUNDS</td>
<td>120,281,100</td>
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<tr>
<td>FEDERAL FUNDS</td>
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<tr>
<td>OTHER NON-APPROPRIATED FUNDS</td>
<td>233,827,200</td>
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</table>

GOVERNOR BREWER:

In accordance with A.R.S. 35-113, this and the accompanying budget schedules, statements, and explanatory information constitute the operating budget estimates of this agency for approved expenditures in fiscal year 2015.

All statements and explanations contained in the estimates submitted herewith are true and correct to the best of my knowledge.

Agency Head John D. Haeger
Title President
Signature

Request Prepared by Bjorn Flugstad
Phone (928) 523-4240

Date Prepared September 30, 2013

TRANSMITTAL STATEMENT
## Mission
To provide an outstanding undergraduate residential education strengthened by research, graduate and professional programs, distance delivery, and innovative new campuses and programs throughout the state.

## Our Values

<table>
<thead>
<tr>
<th>Value</th>
<th>Description</th>
</tr>
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<tbody>
<tr>
<td>Excellence in Education</td>
<td>Offer a rigorous, high quality education to all students</td>
</tr>
<tr>
<td>Student Success</td>
<td>Place learner needs at the center of our academic and service planning, policies, and programs</td>
</tr>
<tr>
<td>Educational Access</td>
<td>Provide all qualified students with access to higher education</td>
</tr>
<tr>
<td>Diversity</td>
<td>Achieve multicultural understanding as a priority of educational and civic life</td>
</tr>
<tr>
<td>Integrity</td>
<td>Operate with fairness, honesty, and the highest ethical standards to sustain a community of trust</td>
</tr>
<tr>
<td>Civility</td>
<td>Support a civil, engaging, and respectful campus climate</td>
</tr>
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</table>

## Northern Arizona University Goals

- **Learning-centered University**
  - Be a learning-centered university that promotes high levels of student success, engagement, and achievement

- **Student Access, Progress, and Affordability**
  - Provide responsive educational programs to Arizona citizens wherever they live and work

- **Vibrant Sustainable Community**
  - Elevate the environmental, economic, social, and cultural vitality of our communities

- **Global Engagement**
  - Advance the internationalization of the university to prepare students for global citizenship

- **Inclusion, Civility, and Respect**
  - Create a culture of inclusion that contributes to a rich learning experience and helps prepare students for engaged social responsiveness in a global environment

- **Commitment to Native Americans**
  - Become the nation’s leading university serving Native Americans

- **Innovative, Effective, and Accountable Practices**
  - Exemplify an innovative, effective, and accountable learning community
### FUNDS AVAILABLE

<table>
<thead>
<tr>
<th></th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Actual</td>
<td>Estimate</td>
<td>Estimate</td>
</tr>
<tr>
<td>Balance Forward</td>
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<td>155,598.2</td>
<td>123,445.5</td>
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<tr>
<td>Receipts</td>
<td>289,692.6</td>
<td>284,928.8</td>
<td>291,314.7</td>
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<tr>
<td><strong>TOTAL FUNDS AVAILABLE</strong></td>
<td><strong>442,883.1</strong></td>
<td><strong>440,527.0</strong></td>
<td><strong>414,760.2</strong></td>
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### DISPOSITION OF FUNDS

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<tr>
<th></th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Estimate</td>
<td>Estimate</td>
</tr>
<tr>
<td>FTE Positions</td>
<td>1,316.3</td>
<td>1,421.9</td>
<td>1,456.0</td>
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<td>Personal Services</td>
<td>68,977.4</td>
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<tr>
<td>ERE</td>
<td>19,858.4</td>
<td>23,250.3</td>
<td>23,764.8</td>
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<tr>
<td><strong>All Other Operating Expenditures:</strong></td>
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<td></td>
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<tr>
<td>Professional and Outside Services</td>
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<td>30,863.9</td>
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<tr>
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<td>Library Acquisitions</td>
<td>27.5</td>
<td>21.0</td>
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<td>Equipment</td>
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<td>5,406.8</td>
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<td><strong>All Other Operating Subtotal</strong></td>
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<td><strong>TOTAL FUNDS EXPENDED</strong></td>
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<td><strong>260,503.4</strong></td>
<td><strong>264,367.0</strong></td>
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<tr>
<td>Net Transfers Out (In)</td>
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<td>56,578.1</td>
<td>44,050.0</td>
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<td><strong>TOTAL DISPOSITION OF FUNDS</strong></td>
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<td><strong>317,081.5</strong></td>
<td><strong>308,417.0</strong></td>
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<td><strong>BALANCE FORWARD TO NEXT YEAR</strong></td>
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<td><strong>123,445.5</strong></td>
<td><strong>106,343.2</strong></td>
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### Operating and Non Operating Expenditure Detail:

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<th>2015</th>
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<td></td>
<td></td>
<td>Estimate</td>
<td>Estimate</td>
</tr>
<tr>
<td>Non Operating (Loan and Endowment)</td>
<td>220.3</td>
<td>224.0</td>
<td>232.0</td>
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**Operating:**

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<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
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<td>Operating - Federal</td>
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<tr>
<td>Operating - Other Non Appropriated</td>
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<td><strong>Total Operating Expenditures</strong></td>
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<td><strong>260,279.4</strong></td>
<td><strong>264,135.0</strong></td>
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<tr>
<td><strong>Total Funds Expended</strong></td>
<td><strong>252,244.8</strong></td>
<td><strong>260,503.4</strong></td>
<td><strong>264,367.0</strong></td>
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## SCHEDULE 1B
### LOCAL FUNDS SUMMARY - SOURCE AND DISPOSITION OF FUNDS

<table>
<thead>
<tr>
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<th>2013 Actual</th>
<th>2014 Estimate</th>
<th>2015 Estimate</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FUNDS AVAILABLE</strong></td>
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<td></td>
</tr>
<tr>
<td>Balance Forward</td>
<td>146,990.6</td>
<td>149,073.6</td>
<td>116,920.9</td>
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<td>Receipts</td>
<td>216,247.8</td>
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<td><strong>TOTAL FUNDS AVAILABLE</strong></td>
<td>363,238.4</td>
<td>360,150.9</td>
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<td><strong>DISPOSITION OF FUNDS</strong></td>
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<td></td>
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<td>FTE Positions</td>
<td>1,025.6</td>
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<td>ERE</td>
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<td>All Other Operating Expenditures:</td>
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<td></td>
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<td>Professional and Outside Services</td>
<td>34,335.1</td>
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<td>Travel: In State</td>
<td>1,315.9</td>
<td>1,591.8</td>
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</tr>
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<td>Travel: Out of State</td>
<td>3,676.9</td>
<td>3,885.3</td>
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<td>Other Operating Expenditures</td>
<td>62,616.8</td>
<td>73,453.3</td>
<td>72,867.8</td>
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<td>Library Acquisitions</td>
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</tr>
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<td>Equipment</td>
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<td>4,908.4</td>
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<td>All Other Operating Subtotal</td>
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<td><strong>TOTAL FUNDS EXPENDED</strong></td>
<td>179,124.7</td>
<td>186,651.9</td>
<td>189,777.2</td>
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<td>Net Transfers Out (In)</td>
<td>35,040.1</td>
<td>56,578.1</td>
<td>44,050.0</td>
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<td><strong>TOTAL DISPOSITION OF FUNDS</strong></td>
<td>214,164.8</td>
<td>243,230.0</td>
<td>233,827.2</td>
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<td><strong>BALANCE FORWARD TO NEXT YEAR</strong></td>
<td>149,073.6</td>
<td>116,920.9</td>
<td>99,818.6</td>
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</table>

### Source of Revenue:

Resources in this fund group are comprised of Designated, Auxiliary, Indirect Cost Recovery Non Federal, Loans, Endowments and Restricted Non Federal.
<table>
<thead>
<tr>
<th>FUNDS AVAILABLE</th>
<th>2013 Actual</th>
<th>2014 Estimate</th>
<th>2015 Estimate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Balance Forward</td>
<td>87,524.8</td>
<td>90,417.2</td>
<td>61,943.7</td>
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<td>Receipts</td>
<td>124,451.4</td>
<td>122,951.1</td>
<td>126,639.7</td>
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<td><strong>TOTAL FUNDS AVAILABLE</strong></td>
<td>211,976.2</td>
<td>213,368.3</td>
<td>188,583.4</td>
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<table>
<thead>
<tr>
<th>TOTAL FUNDS EXPENDED</th>
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</tr>
</thead>
<tbody>
<tr>
<td>FTE Positions</td>
<td>511.3</td>
<td>587.2</td>
<td>604.8</td>
</tr>
<tr>
<td>Personal Services</td>
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<td>32,664.4</td>
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<td>ERE</td>
<td>7,190.1</td>
<td>9,475.2</td>
<td>9,759.2</td>
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<td><strong>All Other Operating Expenditures:</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Professional and Outside Services</td>
<td>20,213.9</td>
<td>18,393.9</td>
<td>18,761.7</td>
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<td>Travel: In State</td>
<td>857.2</td>
<td>1,032.3</td>
<td>1,032.3</td>
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<tr>
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<td>1,722.2</td>
<td>1,722.2</td>
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<td>Other Operating Expenditures</td>
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<td>37,790.8</td>
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<td>Library Acquisitions</td>
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<td>0.0</td>
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<tr>
<td>Equipment</td>
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<td>1,722.4</td>
<td>1,722.4</td>
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<td><strong>All Other Operating Subtotal</strong></td>
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<td><strong>TOTAL FUNDS EXPENDED</strong></td>
<td>93,647.5</td>
<td>101,870.8</td>
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<th>BALANCE FORWARD TO NEXT YEAR</th>
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</thead>
<tbody>
<tr>
<td>Source of Revenue:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition and fees retained by the University, summer session fees and unrestricted gifts. Resources in this fund are designated in use.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Purpose of Fund:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To account for transactions related to academic year tuition and fees retained by the University, the summer session program and the use of unrestricted gifts. Indirect cost recovery, part of the designated fund group, is presented separately.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Notes:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indirect Cost Recovery are adjusted out of these totals and are reported on a separate schedule in this report.</td>
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<td></td>
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</table>
## Auxiliary Funds - Source and Disposition of Funds

<table>
<thead>
<tr>
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<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Balance Forward</td>
<td>18,998.5</td>
<td>13,972.7</td>
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<td>Receipts</td>
<td>67,991.3</td>
<td>65,508.8</td>
<td>67,000.0</td>
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<tr>
<td><strong>Total Funds Available</strong></td>
<td>86,989.8</td>
<td>79,481.5</td>
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<table>
<thead>
<tr>
<th>Disposition of Funds</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
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<td>FTE Positions</td>
<td>333.3</td>
<td>358.3</td>
<td>370.4</td>
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<td>Personal Services</td>
<td>17,998.4</td>
<td>19,347.8</td>
<td>20,000.0</td>
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<td>ERE</td>
<td>5,800.5</td>
<td>6,838.9</td>
<td>7,000.0</td>
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<tr>
<td><strong>All Other Operating Expenditures:</strong></td>
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<tr>
<td>Professional and Outside Services</td>
<td>10,391.6</td>
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<td>Travel: In State</td>
<td>305.7</td>
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<td>Travel: Out of State</td>
<td>1,644.4</td>
<td>1,799.6</td>
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<td>Other Operating Expenditures</td>
<td>25,830.7</td>
<td>31,756.0</td>
<td>30,000.0</td>
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<td>Library Acquisitions</td>
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<td>0.0</td>
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<tr>
<td>Equipment</td>
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<td><strong>All Other Operating Subtotal</strong></td>
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<td>Net Transfers Out (In)</td>
<td>8,992.4</td>
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<td>5,000.0</td>
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<td><strong>Total Disposition of Funds</strong></td>
<td>73,017.1</td>
<td>69,137.2</td>
<td>67,400.0</td>
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<td><strong>Balance Forward to Next Year</strong></td>
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</table>

### Source of Revenue:
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.
<table>
<thead>
<tr>
<th>FUNDS AVAILABLE</th>
<th>2013 Actual</th>
<th>2014 Estimate</th>
<th>2015 Estimate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Balance Forward</td>
<td>2,644.5</td>
<td>3,832.0</td>
<td>4,268.4</td>
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<td>Receipts</td>
<td>0.0</td>
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<td>0.0</td>
</tr>
<tr>
<td>TOTAL FUNDS AVAILABLE</td>
<td>2,644.5</td>
<td>3,832.0</td>
<td>4,268.4</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>DISPOSITION OF FUNDS</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
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<tbody>
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<tr>
<td>All Other Operating Expenditures:</td>
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<tr>
<td>Professional and Outside Services</td>
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Source of Revenue:
Indirect costs recovered from sponsored non federal research programs.

Purpose of Fund:
To account for transactions designated for various activities that assist or promote sponsored research at the University.
### SCHEDULE 1B
**LOAN FUNDS - SOURCE AND DISPOSITION OF FUNDS**

<table>
<thead>
<tr>
<th></th>
<th>2013 Actual</th>
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<td>All Other Operating Expenditures:</td>
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<tr>
<td>Equipment</td>
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<td>All Other Operating Subtotal</td>
<td>220.3</td>
<td>224.0</td>
<td>232.0</td>
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<tr>
<td><strong>Total Funds Expended</strong></td>
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<td>224.0</td>
<td>232.0</td>
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### Schedule 1B
#### Endowment and Life Income Funds - Source and Disposition of Funds

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<th>FUNDS AVAILABLE</th>
<th>2013 Actual</th>
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<td>23,533.0</td>
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<td>1,500.0</td>
<td>1,800.0</td>
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<td><strong>23,533.0</strong></td>
<td><strong>25,333.0</strong></td>
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#### Disposition of Funds

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<tr>
<td>ERE</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
</tr>
<tr>
<td>All Other Operating Expenditures</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Professional and Outside Services</td>
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<td>Travel: In State</td>
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<tr>
<td>Travel: Out of State</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Operating Expenditures</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Library Acquisitions</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment</td>
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<td><strong>All Other Operating Subtotal</strong></td>
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<td>0.0</td>
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<tr>
<td>Net Transfers Out (in)</td>
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<tr>
<td><strong>TOTAL DISPOSITION OF FUNDS</strong></td>
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<td>0.0</td>
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<tr>
<td><strong>BALANCE FORWARD TO NEXT YEAR</strong></td>
<td>22,033.0</td>
<td>23,533.0</td>
<td>25,333.0</td>
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</table>

**Source of Revenue:**

Financial aid trust fund fees assessed to students and investment income.

**Purpose of Fund:**

To accumulate a pool of money large enough to provide funds for financial aid from future earnings.
**RESTRICTED NON FEDERAL FUNDS - SOURCE AND DISPOSITION OF FUNDS**

<table>
<thead>
<tr>
<th></th>
<th>2013 Actual</th>
<th>2014 Estimate</th>
<th>2015 Estimate</th>
</tr>
</thead>
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<td><strong>FUNDS AVAILABLE</strong></td>
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<tr>
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<td>12,143.4</td>
<td>10,143.4</td>
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<tr>
<td>Receipts</td>
<td>20,575.0</td>
<td>20,830.6</td>
<td>20,988.4</td>
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<td>32,650.4</td>
<td>32,974.0</td>
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<table>
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<th></th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
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</thead>
<tbody>
<tr>
<td><strong>DISPOSITION OF FUNDS</strong></td>
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<td></td>
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<td>FTE Positions</td>
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<td>9,635.0</td>
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<td>ERE</td>
<td>2,743.1</td>
<td>2,770.4</td>
<td>2,798.2</td>
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<td><strong>All Other Operating Expenditures:</strong></td>
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<tr>
<td>Professional and Outside Services</td>
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<td>3,642.1</td>
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<td>148.5</td>
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<td>304.5</td>
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<td>Equipment</td>
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<td><strong>TOTAL FUNDS EXPENDED</strong></td>
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<td>20,830.6</td>
<td>20,988.4</td>
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<tr>
<td>Net Transfers Out (In)</td>
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<td>2,000.0</td>
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<td><strong>TOTAL DISPOSITION OF FUNDS</strong></td>
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<td><strong>BALANCE FORWARD TO NEXT YEAR</strong></td>
<td>12,143.4</td>
<td>10,143.4</td>
<td>8,143.4</td>
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Source of Revenue:
State appropriated match for the Financial Aid Trust Fund and nonfederal grants and contracts.

Purpose of Fund:
To account for current operating funds restricted in use by the federal government. Revenue and operating expenditures exclude indirect cost recovery.
<table>
<thead>
<tr>
<th>Funds Available</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
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<tbody>
<tr>
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<td>Estimate</td>
<td>Estimate</td>
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<tr>
<td>Balance Forward</td>
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<td>6,524.6</td>
<td>6,524.6</td>
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<tr>
<td>Receipts</td>
<td>73,444.8</td>
<td>73,851.5</td>
<td>74,589.8</td>
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<tr>
<td>TOTAL FUNDS AVAILABLE</td>
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<td>Disposition of Funds</td>
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<td>FTE Positions</td>
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<td>13,851.1</td>
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<td>4,097.1</td>
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<td>All Other Operating Expenditures:</td>
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<tr>
<td>Professional and Outside Services</td>
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<td>6,797.9</td>
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<td>Net Transfers Out (In)</td>
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<tr>
<td>TOTAL DISPOSITION OF FUNDS</td>
<td>73,120.1</td>
<td>73,851.5</td>
<td>74,589.8</td>
</tr>
<tr>
<td>BALANCE FORWARD TO NEXT YEAR</td>
<td>6,524.6</td>
<td>6,524.6</td>
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### DESIGNATED INDIRECT COST RECOVERY (FEDERAL) - SOURCE AND DISPOSITION OF FUNDS

**Funds Available**

<table>
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<tr>
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<th>2014 Estimate</th>
<th>2015 Estimate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Balance Forward</td>
<td>6,199.9</td>
<td>6,524.6</td>
<td>6,524.6</td>
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<tr>
<td>Receipts</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
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<tr>
<td><strong>TOTAL FUNDS AVAILABLE</strong></td>
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<td>6,524.6</td>
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**Disposition of Funds**

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<td><strong>All Other Operating Expenditures:</strong></td>
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<td></td>
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<tr>
<td>Professional and Outside Services</td>
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<td>0.0</td>
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<td>Travel: In State</td>
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<td>0.0</td>
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<tr>
<td>Equipment</td>
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<td>Net Transfers Out (In)</td>
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<td>6,524.6</td>
<td>6,524.6</td>
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</table>

**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.
<table>
<thead>
<tr>
<th>SCHEDULE 1B</th>
<th>RESTRICTED FEDERAL - SOURCE AND DISPOSITION OF FUNDS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Funds Available</strong></td>
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</tr>
<tr>
<td></td>
<td>2013</td>
</tr>
<tr>
<td></td>
<td>Actual</td>
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<td>Balance Forward</td>
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<tr>
<td>Receipts</td>
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<td><strong>Total Funds Available</strong></td>
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<tr>
<td><strong>Disposition of Funds</strong></td>
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<td>All Other Operating Expenditures:</td>
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<tr>
<td>Professional and Outside Services</td>
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<td>Other Operating Expenditures</td>
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<td>All Other Operating Subtotal</td>
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<td><strong>Total Disposition of Funds</strong></td>
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</tr>
<tr>
<td>Balance Forward to Next Year</td>
<td>0.0</td>
</tr>
</tbody>
</table>

**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.
## Northern Arizona University 0440

**Fund:** 1421

<table>
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<th></th>
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<td>24,527,300</td>
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<td>Less All Other Local Retention</td>
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<td>96,573,900</td>
<td>106,644,100</td>
<td>118,816,100</td>
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## NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

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<td>FULL TIME EQUIVALENT STUDENTS (FALL SEMESTER 21 Day) Under 15/12/10 Methodology</td>
<td>22,746</td>
<td>22,964</td>
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**FULL PAY EQUIVALENT STUDENTS**

- NON RESIDENT FPE STUDENTS – NonGrandfathered
  - Undergraduate
    - Non Fixed: 469, 394, 288, 199, 33, 232
    - Fixed: 783, 605, 862, 920, (101), 819
  - WUE
    - Non Fixed: 319, 148, 62, -
    - Fixed: 2,619, 3,263, 3,919, 4,515, 241, 4,756
  - Graduate: 180, 177, 179, 169, (7), 162
  - As a percent of Full Time Equivalent Students: 19.2%, 20.8%, 21.9%, 23.4%, 23.9%

- REG FEE FPE STUDENTS (Former Rate Structure)
  - RESIDENT FPE STUDENTS
    - Undergraduate Flag
      - Non Fixed: 1,483, 743, 245, 110, (91), 19
      - Fixed: 6,119, 6,626, 6,931, 6,948, 9, 6,957
    - Undergraduate Other Campuses
      - Graduate: 2,472, 2,259, 2,001, 1,787, (55), 1,732
    - As a percent of Full Time Equivalent Students: 57.7%, 56.0%, 52.3%, 49.1%, 48.8%
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<tr>
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### SPECIAL PROGRAM FEES

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### ACADEMIC YEAR MANDATORY FEES

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<td>Information Technology (Per Credit Hour, 12 Credit Maximum)</td>
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<td>6</td>
<td>6</td>
<td>8</td>
<td>-</td>
<td>8</td>
</tr>
<tr>
<td>Student Wellness</td>
<td>390</td>
<td>500</td>
<td>500</td>
<td>500</td>
<td>-</td>
<td>500</td>
</tr>
<tr>
<td>Student Activity Fee</td>
<td>50</td>
<td>50</td>
<td>50</td>
<td>50</td>
<td>-</td>
<td>50</td>
</tr>
</tbody>
</table>
## Schedule 1D-2B
### Student Enrollment - Total and Net FPE to Arrive at the FASA

<table>
<thead>
<tr>
<th></th>
<th>Budgeted FY14</th>
<th>Estimated FY15</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total FPE</td>
<td>F.A. Awards FPE</td>
</tr>
<tr>
<td>Non Resident Undergraduate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Fixed</td>
<td>446</td>
<td>247</td>
</tr>
<tr>
<td>Fixed</td>
<td>1,202</td>
<td>282</td>
</tr>
<tr>
<td>Non-Resident WUE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Fixed</td>
<td>50</td>
<td>50</td>
</tr>
<tr>
<td>Fixed</td>
<td>4,424</td>
<td>-91</td>
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<tr>
<td>Non Resident Graduate</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>234</td>
<td>65</td>
</tr>
<tr>
<td>Resident Undergraduate - Flagstaff</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Fixed</td>
<td>149</td>
<td>39</td>
</tr>
<tr>
<td>Fixed</td>
<td>11,675</td>
<td>4,727</td>
</tr>
<tr>
<td>Resident Undergraduate - Other</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3,925</td>
<td>574</td>
</tr>
<tr>
<td>Resident Graduate</td>
<td>2,711</td>
<td>924</td>
</tr>
<tr>
<td>Total</td>
<td>24,816</td>
<td>6,817</td>
</tr>
</tbody>
</table>

**Note:** Budgeted reflects ABOR-approved tuition rates.

- AY Resident FT UG Tuition Rate: 6,947
- Financial Aid Set Aside @ 17%: 21,600,000

Date Prepared: September 2013

Schedule 1D - 2
### REQUESTED ALLOCATION

<table>
<thead>
<tr>
<th>Designation</th>
<th>REQUESTED ALLOCATION 2012/13</th>
<th>INCREASE/DECREASE 2013/14</th>
<th>REQUESTED ALLOCATION 2014/15</th>
<th>INCREASE/DECREASE 2014/15</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Disabilities Act (ADA) Services</td>
<td>250,000</td>
<td>200,000</td>
<td>450,000</td>
<td>300,000</td>
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<tr>
<td>Art Gallery</td>
<td>10,900</td>
<td>10,900</td>
<td>10,900</td>
<td>10,900</td>
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<tr>
<td>Child Care</td>
<td>43,900</td>
<td>43,900</td>
<td>43,900</td>
<td>43,900</td>
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<tr>
<td>Graduate Assistant Tuition Remission</td>
<td>2,300,000</td>
<td>2,300,000</td>
<td>500,000</td>
<td>2,800,000</td>
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<tr>
<td>Honors Forum</td>
<td>11,200</td>
<td>11,200</td>
<td>11,200</td>
<td>11,200</td>
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<tr>
<td>NAU Yuma Activity Programs</td>
<td>19,900</td>
<td>19,900</td>
<td>19,900</td>
<td>19,900</td>
</tr>
<tr>
<td>Peer Mentoring and Retention</td>
<td>540,000</td>
<td>540,000</td>
<td>540,000</td>
<td>540,000</td>
</tr>
<tr>
<td>Performing Arts - Music</td>
<td>58,900</td>
<td>58,900</td>
<td>58,900</td>
<td>58,900</td>
</tr>
<tr>
<td>Registrar's Office Operations</td>
<td>112,400</td>
<td>10,200</td>
<td>122,600</td>
<td>122,600</td>
</tr>
<tr>
<td>School of Comm Student Radio, Cable &amp; Forensics</td>
<td>30,200</td>
<td>28,300</td>
<td>28,300</td>
<td>28,300</td>
</tr>
<tr>
<td>Special Events</td>
<td>-</td>
<td>28,300</td>
<td>28,300</td>
<td>28,300</td>
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<tr>
<td>Student Activities</td>
<td>285,100</td>
<td>285,100</td>
<td>285,100</td>
<td>285,100</td>
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<tr>
<td>Student Financial Aid, Operations</td>
<td>337,300</td>
<td>337,300</td>
<td>337,300</td>
<td>337,300</td>
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<tr>
<td>Extended Campus Expansion</td>
<td>1,800,000</td>
<td>1,800,000</td>
<td>1,700,000</td>
<td>3,500,000</td>
</tr>
<tr>
<td>SUN (Student Union Network Entertainment)</td>
<td>-</td>
<td>65,800</td>
<td>65,800</td>
<td>65,800</td>
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<tr>
<td>Yuma Enrollment Support</td>
<td>183,500</td>
<td>340,000</td>
<td>523,500</td>
<td>532,500</td>
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<tr>
<td>Doctorate of Physical Therapy (DPT) Program Fee (83%)</td>
<td>125,000</td>
<td>107,100</td>
<td>232,100</td>
<td>232,100</td>
</tr>
<tr>
<td>Physician Assistant (PA) Program Fee (83%)</td>
<td>45,000</td>
<td>45,000</td>
<td>45,000</td>
<td>45,000</td>
</tr>
<tr>
<td>Employee Benefit Contingency</td>
<td>100,000</td>
<td>100,000</td>
<td>100,000</td>
<td>100,000</td>
</tr>
<tr>
<td>Operations: Collections</td>
<td>500,800</td>
<td>500,800</td>
<td>500,800</td>
<td>500,800</td>
</tr>
<tr>
<td>Sub-Total Designated</td>
<td>6,794,000</td>
<td>751,400</td>
<td>7,545,400</td>
<td>2,500,000</td>
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<tr>
<td>AUXILIARY</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ASNAU</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Intercollegiate Athletics</td>
<td>1,665,500</td>
<td>1,665,500</td>
<td>250,000</td>
<td>1,915,500</td>
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<tr>
<td>Intramurals &amp; Outdoor Recreation</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Mountain Campus Identification Cards</td>
<td>13,200</td>
<td>13,200</td>
<td>13,200</td>
<td>13,200</td>
</tr>
<tr>
<td>Skydome</td>
<td>207,900</td>
<td>207,900</td>
<td>207,900</td>
<td>207,900</td>
</tr>
<tr>
<td>Sub-Total Auxiliary</td>
<td>1,886,600</td>
<td>-</td>
<td>1,886,600</td>
<td>250,000</td>
</tr>
<tr>
<td>TOTAL OPERATING FUNDS</td>
<td>8,680,600</td>
<td>751,400</td>
<td>9,432,000</td>
<td>2,750,000</td>
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<tr>
<td>FINANCIAL AID</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Regent's Financial Aid Set-Aside</td>
<td>20,500,000</td>
<td>1,100,000</td>
<td>21,600,000</td>
<td>300,000</td>
</tr>
<tr>
<td>Regent's Financial Aid Set-Aside on Tuition Surcharge</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Set-Aside for Acad Meritorious AZ Residents</td>
<td>15,000</td>
<td>15,000</td>
<td>15,000</td>
<td>15,000</td>
</tr>
<tr>
<td>Student Financial Aid Match (SSIG, SEOG, and etc.)</td>
<td>318,400</td>
<td>318,400</td>
<td>318,400</td>
<td>318,400</td>
</tr>
<tr>
<td>Institutional Financial Aid - (formerly tuition waivers)</td>
<td>34,700,000</td>
<td>2,700,000</td>
<td>37,400,000</td>
<td>3,000,000</td>
</tr>
<tr>
<td>Doctorate of Physical Therapy (DPT): Scholarship (17%)</td>
<td>29,400</td>
<td>45,200</td>
<td>74,600</td>
<td>74,600</td>
</tr>
<tr>
<td>Physician Assistant (PA) Scholarship (17%)</td>
<td>38,300</td>
<td>38,200</td>
<td>76,500</td>
<td>76,500</td>
</tr>
<tr>
<td>Sub-Total Set Aside</td>
<td>55,601,100</td>
<td>3,883,400</td>
<td>59,484,500</td>
<td>3,300,000</td>
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<tr>
<td>Plant Fund/Minor Capital Projects</td>
<td>1,378,200</td>
<td>1,000,000</td>
<td>2,378,200</td>
<td>2,000,000</td>
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<tr>
<td>Debt Service</td>
<td>14,447,700</td>
<td>1,000,000</td>
<td>15,447,700</td>
<td>500,000</td>
</tr>
<tr>
<td>Total Locally Retained</td>
<td>80,107,600</td>
<td>6,634,800</td>
<td>86,742,400</td>
<td>8,550,000</td>
</tr>
</tbody>
</table>
# Administrative Cost Matrix

**Northern Arizona University**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Administrative Costs</th>
<th>Program Costs</th>
<th>DOA Related Costs (1)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Executive Management</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Affirmative Action Office</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Legal Services</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>President's Office</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public Affairs</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>University Advancement VP</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>University Marketing</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>University Ombudsman's Office</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Vice President for Finance &amp; Administration</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Human Resources</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employment Training</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Human Resources</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Staff Recruitment</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td><strong>Information Technology</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Computing Technology Services</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td><strong>Business and Finance</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facility Services</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Comptroller's Office and Student/Departmental Acct Office</td>
<td>x</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Internal Audit</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Postal Services</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Property Administration</td>
<td>x</td>
<td></td>
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</tr>
<tr>
<td>Purchasing</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>State Insurance</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>University Budget Office</td>
<td>x</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Date Prepared: September 2013
# ADMINISTRATIVE COST MATRIX
NORTHERN ARIZONA UNIVERSITY

<table>
<thead>
<tr>
<th>Activity</th>
<th>Administrative Costs</th>
<th>Program Costs</th>
<th>DOA Related Costs (1)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Other Central Administration</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Development Office (Advancement)</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Diversity</td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Extended Campuses Administrative Services</td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Flagstaff Marketing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Administration</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Government Affairs (formerly Legislative Affairs)</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Office of Regulatory Compliance</td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Office of Economic Development</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Planning &amp; Institutional Research</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Telecommunication Services</td>
<td></td>
<td>x</td>
<td>x</td>
</tr>
<tr>
<td>University Central Administration</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>University Police and Emergency Management</td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Utilities</td>
<td></td>
<td>x</td>
<td>x</td>
</tr>
</tbody>
</table>

(1) Activities identified in this column reflect university functions that directly relate to services provided by the Department of Administration to state government. Legal Services, Affirmative Action, and University Ombudsman's Office directly relate to services provided by the Attorney General and Governor's Office. Amounts for these functions are **not** included on the "Agency Summary of Administrative Costs" form.
<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>ACTUAL FY2013</th>
<th>EXPENDITURE PLAN - FY2014 (2)</th>
<th>REQUEST FY2015 (2)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ADMINISTRATIVE COST FUNCTION:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Executive Management</td>
<td>3,412,200</td>
<td>3,564,500</td>
<td>3,564,500</td>
</tr>
<tr>
<td>Human Resources</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Information Technology</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Business and Finance</td>
<td>646,300</td>
<td>726,700</td>
<td>726,700</td>
</tr>
<tr>
<td>Other Central Administration</td>
<td>1,739,700</td>
<td>2,656,800</td>
<td>2,656,800</td>
</tr>
<tr>
<td><strong>TOTAL EXPENDITURES BY ADMINISTRATIVE COST COMPONENT</strong></td>
<td>5,798,200</td>
<td>6,948,000</td>
<td>6,948,000</td>
</tr>
<tr>
<td><strong>FUND SOURCE DETAIL</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>GENERAL FUND</td>
<td>5,798,200</td>
<td>6,948,000</td>
<td>6,948,000</td>
</tr>
<tr>
<td><strong>OTHER APPROPRIATED FUNDS</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL EXPENDITURES BY FUND</strong></td>
<td>5,798,200</td>
<td>6,948,000</td>
<td>6,948,000</td>
</tr>
<tr>
<td><strong>TOTAL UNIVERSITY EXPENDITURE AUTHORITY</strong></td>
<td>213,331,900</td>
<td>230,616,100</td>
<td>245,542,500</td>
</tr>
<tr>
<td><strong>ADMINISTRATIVE COST AS A PERCENT OF TOTAL BUDGET</strong></td>
<td>2.72%</td>
<td>3.01%</td>
<td>2.83%</td>
</tr>
</tbody>
</table>

(1) Administrative function costs exclude those Institutional Support activities that directly relate to services provided by the Department of Administration to state government.

(2) Amounts in these columns do not include ERE which is budgeted at the program level.
Northern Arizona University provided information on requested funding for administrative costs in accordance with A.R.S. 35-115. The Agency Summary of Administrative Cost 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.

The Administrative Cost Matrix 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 Costs" 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 the Agency Summary of Administrative Cost.

ASSUMPTIONS FOR ADMINISTRATIVE COST SUMMARY
NORTHERN ARIZONA UNIVERSITY
### Summary of Expenditures and Budget Request for FY 2015

#### Northern Arizona University 0440

<table>
<thead>
<tr>
<th>Expenditure Category</th>
<th>ACTUAL FY 2013</th>
<th>ESTIMATED FY 2014</th>
<th>CONTINUATION REQUEST</th>
<th>STRATEGIC INVESTMENTS</th>
<th>TOTAL REQ FY 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>FTE POSITIONS *</td>
<td>2,097.10</td>
<td>2,119.40</td>
<td>119.00</td>
<td>0.00</td>
<td>2,238.40</td>
</tr>
<tr>
<td>PERSONAL SERVICES</td>
<td>134,903,100</td>
<td>145,768,200</td>
<td>7,717,000</td>
<td>-</td>
<td>153,485,200</td>
</tr>
<tr>
<td>EMPLOYEE RELATED EXP.</td>
<td>38,288,200</td>
<td>42,848,300</td>
<td>3,428,100</td>
<td>-</td>
<td>46,276,400</td>
</tr>
</tbody>
</table>

**Other Operating Expenditures**

- Professional & Outside Services: 13,593,400 to 7,199,500, 74,600, -
- Travel In-State: 423,400 to 483,300, 288,900, -
- Travel Out-of-State: 759,600 to -
- Other Operating Expenditures: 19,873,400 to 28,781,400, 763,500, -
- Library Acquisitions: 1,865,900 to 1,704,600, 213,700, -
- Capitalized Equipment: 385,400 to 764,100, 2,440,600, -

Subtotal Other Operating Expenditures: 36,901,100 to 38,932,900, 3,781,300, -

**Below the Line Item: NAU-Yuma**

- Collections: 3,239,500 to 3,066,700, -
- Subtotal Appropriated: 213,331,900 to 230,616,100, 14,926,400, -

**Total Revenues & Receipts**

- Collections: 106,044,100 to 118,816,100, -
- Summer Sessions and Misc. Collections: 1,200,000 to 1,300,000, -
- Land Grant Endowment: 40,000 to 40,000, -
- Misc. Receipts: 125,000 to 125,000, -
- Balance Forward: -

Total Revenues & Receipts: 107,409,100 to 120,281,100, -

**Total General Fund**

- Total Revenues & Receipts: 105,922,800 to 110,335,100, 14,926,400, -

**Federal Funds**

- 73,120,100 to 73,851,500, 738,300, -

**Other Funds (Est.)**

- 214,164,800 to 243,230,000, (9,402,800), -

**Total Non-Appropriated**

- 287,284,900 to 317,081,100, (8,664,500), -

**Total Program**

- 500,616,800 to 547,697,600, 6,261,900, -

* University totals include the appropriate FTE and below the line allocations or expenditures for NAU Yuma.

** Actual General Fund appropriation expenditures include prior year encumbrance carry forward less encumbrance carry forward to next FY.
### STATE OF ARIZONA

#### SUMMARY OF EXPENDITURES AND BUDGET REQUEST FY 2015

**NORTHERN ARIZONA UNIVERSITY 0440**  
**PROGRAM**  
**UNIVERSITY TOTAL**  
**FUND: 1421**

<table>
<thead>
<tr>
<th>EXPENDITURE CATEGORY</th>
<th>ACTUAL FY 2013</th>
<th>ESTIMATED FY 2014</th>
<th>CONTINUATION REQUEST</th>
<th>STRATEGIC INVESTMENTS</th>
<th>TOTAL REQ FY 2015</th>
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<tbody>
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<td>115,209,300</td>
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<td>-</td>
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<td><strong>TOTAL OPERATING BUDGET</strong></td>
<td>213,331,900</td>
<td>230,616,100</td>
<td>14,926,400</td>
<td>-</td>
<td>245,542,500</td>
</tr>
</tbody>
</table>

| FTE POSITIONS                 | 2,097.10      | 2,119.40          | 119.00                | 0.00                   | 2,238.40          |

| PERSONAL SERVICES             | 134,903,100   | 145,768,200       | 7,717,000             | -                      | 153,485,200       |
| EMPLOYEE RELATED EXP.         | 38,288,200    | 42,848,300        | 3,428,100             | -                      | 46,276,400        |
| ALL OTHER OPERATING EXP.      | 36,901,100    | 38,932,900        | 3,781,300             | -                      | 42,714,200        |
| **SUBTOTAL**                  | 210,092,400   | 227,549,400       | 14,926,400            | -                      | 242,475,800       |
| NAU YUMA                      | 3,239,500     | 3,066,700         | -                     | -                      | 3,066,700         |
| **TOTAL OPERATING BUDGET**    | 213,331,900   | 230,616,100       | 14,926,400            | -                      | 245,542,500       |
## CONTINUATION REQUEST

<table>
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<tr>
<th>Program</th>
<th>Actual FY13</th>
<th>Estimated FY14</th>
<th>NAU Enrollmen</th>
<th>NAU Parity in Basic Student Support per FTE</th>
<th>NAU Performance Funding Formula</th>
<th>Student Credit Hour Limit Reductions</th>
<th>Operations &amp; Maintenance of New Facilities</th>
<th>Flagstaff Physical Infrastructure</th>
<th>Subtotal Continuation</th>
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<td><strong>UNIVERSITY SUMMARY</strong></td>
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<td>14,926.4</td>
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## STRATEGIC INVESTMENTS

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## NORTHERN ARIZONA UNIVERSITY
### Fiscal Year 2015 State Budget Request

<table>
<thead>
<tr>
<th>STATE BUDGET REQUEST ITEMS</th>
<th>FY 2015 Request</th>
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</thead>
<tbody>
<tr>
<td>Parity in Basic Per-Student Support</td>
<td>6,935,500 Final Parity Request</td>
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<tr>
<td>NAU Performance Formula</td>
<td>7,990,900 20.4 percent of Arizona University System Performance Funding Request</td>
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### TOTAL STATE BUDGET REQUEST

<table>
<thead>
<tr>
<th>Capital Funds</th>
<th>FY 2015 Request</th>
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<tr>
<td>FY 15 Building Renewal</td>
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### Other

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<th>Other</th>
<th>FY 2015 Request</th>
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<tbody>
<tr>
<td>Annual Personnel Report Competitive Salary Request</td>
<td>36,844,200</td>
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</table>

---

**Date Prepared:** September 2013

Summary
Goals

• Promote Student Learning and Success
• Advance Educational Attainment in Arizona
• Expand Research
• Impact Arizona

Fiscal Year 2015 State Operating Budget Request

Parity Funding

$6,935,500

Performance Funding

$7,990,900

Total State Investment Request

$14,926,400

Parity Funding

- In FY2014 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. This funding assists the university keep tuition as reasonable as possible and is essential to expanding classes and other retention efforts, and develop more effective and innovative instruction. This funding also addresses other Arizona workforce needs, and overall NAU to continue to expand seamless joint admissions programming with Arizona community colleges. NAU will meet the needs of currently enrolled students and address other Arizona workforce needs, and overall NAU to meet the needs of current and future students. The university will use these funds to expand health program offerings. These funds will also address other Arizona workforce needs, and overall NAU to continue to expand seamless joint admissions programming with Arizona community colleges. NAU will meet the needs of current and future students. The university will use these funds to expand health program offerings.

Performance Funding

- NAU 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 performance funding for FY 2015 totals $7.9 million. This funding will allow NAU to support the student services and educational programming necessary to handle the large student enrollment increases that have occurred at the Flagstaff campus.

Highlights

- Performance Funding
- Parity Funding

Statutory Requirements

- $12,001,560 building renewal formula
- $36,844,200 to bring faculty and staff salaries to market
- $790,900 for NAU’s success in increases in degrees awarded, completed
- $935,600 to bring faculty and staff salaries to market
- $177,400 for the construction of the new Engineering and Computing Building
- $12,001,560 building renewal formula
- $36,844,200 to bring faculty and staff salaries to market

Goals

- Expand Research
- Expand Enrollment in Arizona
- Advance Educational Attainment and Student Success
- Promote Student Learning and Success
NORTHERN ARIZONA UNIVERSITY

FY 2015 Strategic Investment

Initiative Parity in Basic Per-Student Support

Budget Program and Dollar Amount Requested:

<table>
<thead>
<tr>
<th>Initiative</th>
<th>Amount</th>
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</thead>
<tbody>
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<td>Instruction</td>
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<tr>
<td>Org Research</td>
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<tr>
<td>Public Service</td>
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<tr>
<td>Acad Support</td>
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<tr>
<td>Total</td>
<td>$ 6,935,500</td>
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</table>

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 ABOR and the universities recommend a method to address the issue of per student funding disparities among the three public universities and include a proposal in the FY2013 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 FY2013 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 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 even performance base from which to start. NAU requests that the remaining funding be appropriated beginning in FY 2015. Further, because the resolution of the funding inequity is accelerated, the request has been discounted by 30%. The request for parity funding for FY 2015 totals $6.9 million.

This funding will allow NAU to support the student services and educational programming necessary to handle the large student enrollment increases that have occurred at the Flagstaff campus. These investment areas include: additional faculty to maintain both quality instruction and appropriate amounts of course offerings, instructional and student support associated with enrollment growth and efforts to increase student retention and graduation. Specifically the university will increase the number of instructional faculty who are hired with some assurance of continued employment with good performance. It will “regularize” faculty typically hired on a one-year basis who understandably search for a more permanent position if not given an indication of continuing service from the university, and will allow the university to hire in a reasonable percentage of tenure-eligible and tenured faculty who are essential for maintaining accreditation and increasing research and curricular effectiveness and productivity.

Expenditures by Line Item:

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<thead>
<tr>
<th>FY 2015</th>
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<th>Amount</th>
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<tr>
<td>Personal Services</td>
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<td>4,218,800</td>
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<td>1,806,300</td>
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<tr>
<td>All Other Operating:</td>
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FTE Position Detail

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Date Prepared: September 2013

Parity
**Description of Request**

Ultimately this support will lead to increases in baccalaureate prepared graduates who will address state workforce needs. Pertinent to workforce needs, since FY 2008, NAU’s largest enrollment increases include those in the College of Engineering, Forestry and Natural Science which have grown 54% to over 5,400 students, and the College of Health Professions which grew 45% to over 2,400 students.

**Effect on University if Delayed or Not Funded**

Students will be funded at a lower per-student level at ASU and NAU, perpetuating long-standing inequities associated with enrollment growth. NAU will have to disproportionately raise tuition levels to maintain equitable student services or be limited in the services and educational opportunities it can provide.

**Alternatives**

Northern Arizona University’s State appropriation and net tuition per FTE continues to lag substantially. Without the requested funding, NAU students are forced to pick up a larger share of the cost of education or do without services and opportunities. NAU will be hampered in the new initiatives it can pursue and in its ability to achieve the ABOR 2020 goals.
<table>
<thead>
<tr>
<th>FTE Positions (See Listing on Next Page)</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Detail</td>
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<td>ERE</td>
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<td>PROFESSIONAL AND OUTSIDE SERVICES</td>
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<tr>
<td>TRAVEL IN STATE</td>
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**TOTAL** 4,736,700
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**TOTAL**                   | 41.00 |            | 2,895,500    |

### ERE DETAIL

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**Total ERE**                |        | 1,245,700  |
## FY 2015 Strategic Investment
### Parity in Basic Per-Student Support

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<th>Academic Support Expenditures By Line Item</th>
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<td>PROFESSIONAL AND OUTSIDE SERVICES</td>
<td></td>
</tr>
<tr>
<td>TRAVEL IN STATE</td>
<td>30,400</td>
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<td>TRAVEL OUT OF STATE</td>
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<tr>
<td>OTHER OPERATING EXPENDITURES</td>
<td>52,000</td>
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<tr>
<td>EQUIPMENT</td>
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<tr>
<td>TOTAL</td>
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Date Prepared: September 2013

Acad Support Object (2)
## ACADEMIC SUPPORT FTE POSITION DETAIL

<table>
<thead>
<tr>
<th>Position</th>
<th>FTE</th>
<th>Salary per FTE</th>
<th>Total Services</th>
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</thead>
<tbody>
<tr>
<td>1. Faculty</td>
<td>0.00</td>
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<td></td>
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<td>2. Clerical</td>
<td>2.00</td>
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<td>78,800</td>
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<td>3. Support Staff</td>
<td>8.00</td>
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<td>508,800</td>
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<tr>
<td>4. Graduate Assistants</td>
<td>3.00</td>
<td>15,900</td>
<td>47,700</td>
</tr>
<tr>
<td>5. Student Worker Pool</td>
<td>0.00</td>
<td>4,000</td>
<td>60,000</td>
</tr>
<tr>
<td>6. Temporary</td>
<td>0.00</td>
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**TOTAL** 13.00 695,300

## ERE DETAIL

<table>
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<th>ERE Amount</th>
</tr>
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<tr>
<td>1. Faculty</td>
<td>42%</td>
<td>-</td>
</tr>
<tr>
<td>2. Clerical</td>
<td>64%</td>
<td>50,400</td>
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<td>3. Support Staff</td>
<td>47%</td>
<td>239,100</td>
</tr>
<tr>
<td>4. Graduate Assistants</td>
<td>32%</td>
<td>15,300</td>
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<td>5. Student Workers</td>
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<td>1,800</td>
</tr>
<tr>
<td>6. Temporary/Student Workers</td>
<td>8%</td>
<td>4,800</td>
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**Total ERE** 311,400
### Parity in Basic Per-Student Support

#### Student Services Expenditures By Line Item

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<tr>
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<th>Amount</th>
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<tbody>
<tr>
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<tr>
<td>Personal Services</td>
<td>628,000</td>
</tr>
<tr>
<td>ERE</td>
<td>249,200</td>
</tr>
<tr>
<td>PROFESSIONAL AND OUTSIDE SERVICES</td>
<td></td>
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**TRAVEL IN STATE**

<table>
<thead>
<tr>
<th>Date</th>
<th>Amount</th>
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</thead>
<tbody>
<tr>
<td></td>
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**TRAVEL OUT OF STATE**

**OTHER OPERATING EXPENDITURES**

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**LIBRARY ACQUISITIONS**

**EQUIPMENT**

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<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>30,000</td>
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</tbody>
</table>

**TOTAL**

<table>
<thead>
<tr>
<th>Date</th>
<th>Amount</th>
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<tbody>
<tr>
<td></td>
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Date Prepared: September 2013

SS Support Object (2)
### FY 2015

**Parity in Basic Per-Student Support**

**STUDENT SERVICES FTE POSITION DETAIL**

<table>
<thead>
<tr>
<th>Position</th>
<th>FTE</th>
<th>Salary PER FTE</th>
<th>PERSONAL SERVICES</th>
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</thead>
<tbody>
<tr>
<td>1. Faculty</td>
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<td>80,000</td>
<td>-</td>
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<tr>
<td>2. Clerical</td>
<td>4.00</td>
<td>39,400</td>
<td>157,600</td>
</tr>
<tr>
<td>3. Support Staff</td>
<td>4.00</td>
<td>63,600</td>
<td>254,400</td>
</tr>
<tr>
<td>4. Graduate Assistants</td>
<td>4.00</td>
<td>15,900</td>
<td>64,000</td>
</tr>
<tr>
<td>5. Student Worker Pool</td>
<td>4.00</td>
<td>4,000</td>
<td>80,000</td>
</tr>
<tr>
<td>6. Temporary Pool</td>
<td>4.00</td>
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**TOTAL** 12.00 628,000

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**ERE DETAIL**

<table>
<thead>
<tr>
<th>Position</th>
<th>ERE Rate</th>
<th>ERE</th>
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<tbody>
<tr>
<td>1. Faculty</td>
<td>42%</td>
<td>-</td>
</tr>
<tr>
<td>2. Clerical</td>
<td>64%</td>
<td>100,900</td>
</tr>
<tr>
<td>3. Support Staff</td>
<td>47%</td>
<td>119,600</td>
</tr>
<tr>
<td>4. Graduate Assistants</td>
<td>32%</td>
<td>20,500</td>
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<td>5. Student Worker</td>
<td>3%</td>
<td>2,400</td>
</tr>
<tr>
<td>6. Temporary</td>
<td>8%</td>
<td>5,800</td>
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</table>

**ERE AMOUNT**

Total ERE 249,200

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Date Prepared: September 2013
NORTHERN ARIZONA UNIVERSITY
FY 2015 Strategic Investment

Initiative NAU Performance Formula

<table>
<thead>
<tr>
<th>Budget Program and Dollar Amount Requested:</th>
<th>$ 4,648,500</th>
<th>$ 1,128,600</th>
<th>$ 817,800</th>
<th>$ 1,196,000</th>
<th>$ 7,990,900</th>
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</thead>
<tbody>
<tr>
<td>Instruction</td>
<td>Org Research</td>
<td>Public Service</td>
<td>Acad Support</td>
<td>Student Services</td>
<td>Instit Support</td>
</tr>
</tbody>
</table>

Description of Request

Arizona’s 50th Legislature, 2nd regular session, 2012, through SB1530 required ABOR and the universities to adopt a performance funding model by July 1, 2012 and for future university budget requests to include amounts consistent with this formula. The performance funding formula to reward increases in degrees awarded, completed student credit hours and research and public service expenditures. The performance funding formula is based on incremental growth over a three year average. For FY 2015, the universities are requesting 50% of the Performance Model total to be distributed according to the formula which rewards success critical to addressing Arizona’s need for an educated workforce and economic development. NAU’s performance funding request is $7,990,900 primarily associated with significant growth in bachelor’s degrees awarded and completed undergraduate credit hours.

Northern Arizona University performance funds will enable the university to make progress toward the Arizona University System Enterprise 2020 goals. The university will use these funds to expand health program offerings, increase course offerings to meet student demand, enhance instructional effectiveness and productivity, and reduce time to degree. Specifically NAU will be able to meet the needs of currently enrolled students as they progress to upper division courses, incorporate learning technologies into instruction and other retention efforts, and develop more effective and efficient analytics to facilitate student success. The funds will allow the university to modernize classroom and library learning facilities and to provide students with resources they require. These funds would be used to expand programming to address Arizona workforce needs, and they will permit NAU to continue to expand seamless joint admissions programming with Arizona community colleges and to offer new Personalized Learning degree programs. This funding also helps the university keep tuition as reasonable as possible and is important to maintaining NAU’s four-year tuition guarantee PLEDGE program.

Effect on University if Delayed or Not Funded

Progress toward meeting 2020 goals may be compromised. Enrollment growth to achieve those goals has already stressed staff and operational support throughout the university as well as limited the ability to take successful initiatives to a larger scale.

Alternatives

Performance funding recognizes the state goals for Arizona’s public universities and demonstrates dedication to merit based funding. Arizona’s public universities are committed to succeed as integral part of Arizona’s economic development plan, but without a state investment in performance funding there will be significant negative consequences on the universities’ ability to address state needs.

Expenditures by Line Item:

<table>
<thead>
<tr>
<th>FY 2015</th>
<th>FTE</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>FTE</td>
<td>53.00</td>
<td></td>
</tr>
<tr>
<td>Personal Services</td>
<td>3,498,200</td>
<td></td>
</tr>
<tr>
<td>ERE</td>
<td>1,621,800</td>
<td></td>
</tr>
<tr>
<td>All Other Operating:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional and Outside Services</td>
<td>74,600</td>
<td></td>
</tr>
<tr>
<td>Travel In State</td>
<td>170,500</td>
<td></td>
</tr>
<tr>
<td>Travel Out of State</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Other Operating Expenditures</td>
<td>356,000</td>
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</tr>
<tr>
<td>Library Acquisitions</td>
<td>123,700</td>
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</tr>
<tr>
<td>Capital/Equipment</td>
<td>2,146,100</td>
<td></td>
</tr>
<tr>
<td>Subtotal All Other Operating</td>
<td>2,870,900</td>
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</tr>
<tr>
<td>TOTAL REQUEST</td>
<td>53.00</td>
<td>7,990,900</td>
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FTE Position Detail

<table>
<thead>
<tr>
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<th>FTE</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Faculty</td>
<td>24.00</td>
<td>1,920,000</td>
</tr>
<tr>
<td>2. Clerical</td>
<td>11.00</td>
<td>433,400</td>
</tr>
<tr>
<td>3. Support Staff</td>
<td>18.00</td>
<td>1,144,800</td>
</tr>
<tr>
<td>4. Graduate Assistants</td>
<td>0.00</td>
<td>0</td>
</tr>
<tr>
<td>5. Student Worker</td>
<td>0.00</td>
<td>0</td>
</tr>
<tr>
<td>6. Temporary</td>
<td>0.00</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>53.00</td>
<td>3,498,200</td>
</tr>
</tbody>
</table>

Date Prepared: September 2013
### Instruction Expenditures By Line Item

<table>
<thead>
<tr>
<th>Detail</th>
<th>FY 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>FTE Positions (See Listing on Next Page)</td>
<td>32.00</td>
</tr>
<tr>
<td>Personal Services</td>
<td>2,235,200</td>
</tr>
<tr>
<td>ERE</td>
<td>1,008,100</td>
</tr>
<tr>
<td>PROFESSIONAL AND OUTSIDE SERVICES</td>
<td>74,600</td>
</tr>
<tr>
<td>TRAVEL IN STATE</td>
<td>160,000</td>
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### Travel Out of State

#### Other Operating Expenditures

<table>
<thead>
<tr>
<th>Details</th>
<th>Amount</th>
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</thead>
<tbody>
<tr>
<td>Library Acquisitions</td>
<td></td>
</tr>
<tr>
<td>Equipment</td>
<td>1,098,600</td>
</tr>
<tr>
<td>Total</td>
<td>4,848,500</td>
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### INSTRUCTION FTE POSITION DETAIL

<table>
<thead>
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<th>Position</th>
<th>FTE</th>
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<th>Personal Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Faculty</td>
<td>24.00</td>
<td>80,000</td>
<td>1,920,000</td>
</tr>
<tr>
<td>2. Clerical</td>
<td>8.00</td>
<td>39,400</td>
<td>315,200</td>
</tr>
<tr>
<td>3. Staff</td>
<td>0.00</td>
<td>63,600</td>
<td>-</td>
</tr>
<tr>
<td>4. Graduate Assistants</td>
<td>0.00</td>
<td>15,900</td>
<td>-</td>
</tr>
<tr>
<td>5. Student Worker</td>
<td>0.00</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>6. Temporary</td>
<td>0.00</td>
<td>-</td>
<td>-</td>
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**TOTAL** 32.00 2,235,200

### ERE DETAIL

<table>
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<td>1. Faculty</td>
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<td>64%</td>
<td>201,700</td>
</tr>
<tr>
<td>3. Staff</td>
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<td>-</td>
</tr>
<tr>
<td>4. Graduate Assistants</td>
<td>32%</td>
<td>-</td>
</tr>
<tr>
<td>5. Student Worker</td>
<td>3%</td>
<td>-</td>
</tr>
<tr>
<td>6. Temporary</td>
<td>8%</td>
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**ERE AMOUNT**

Total ERE 1,008,100

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Date Prepared: September 2013
<table>
<thead>
<tr>
<th>Academic Support Expenditures By Line Item</th>
<th>FY 2015</th>
<th></th>
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<tbody>
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<td></td>
<td>Detail</td>
<td>Amount</td>
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<tr>
<td>FTE Positions ( See Listing on Next Page )</td>
<td>10.00</td>
<td>10.00</td>
</tr>
<tr>
<td>Personal Services</td>
<td></td>
<td>636,000</td>
</tr>
<tr>
<td>ERE</td>
<td></td>
<td>298,900</td>
</tr>
<tr>
<td>PROFESSIONAL AND OUTSIDE SERVICES</td>
<td></td>
<td>-</td>
</tr>
<tr>
<td>TRAVEL IN STATE</td>
<td></td>
<td>5,000</td>
</tr>
<tr>
<td>TRAVEL OUT OF STATE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OTHER OPERATING EXPENDITURES</td>
<td></td>
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</tr>
<tr>
<td>LIBRARY ACQUISITIONS</td>
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<td>123,700</td>
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<tr>
<td>EQUIPMENT</td>
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<tr>
<td><strong>TOTAL</strong></td>
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<td>1,128,600</td>
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Date Prepared: September 2013          Acad Support Object
<table>
<thead>
<tr>
<th>ACADEMIC SUPPORT FTE POSITION DETAIL</th>
<th>SALARY PER PERSONAL SERVICES</th>
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</thead>
<tbody>
<tr>
<td>1. Faculty</td>
<td>0.00 80,000</td>
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<td>0.00 39,400</td>
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<td>3. Staff</td>
<td>10.00 63,600 636,000</td>
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<tr>
<td>4. Graduate Assistants</td>
<td>0.00 15,900</td>
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<td>5. Student Workers</td>
<td>0.00 -</td>
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<tr>
<td>6. Temporary</td>
<td>0.00 -</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>10.00 636,000</strong></td>
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<table>
<thead>
<tr>
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<th>ERE</th>
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</thead>
<tbody>
<tr>
<td>1. Faculty</td>
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</tr>
<tr>
<td>2. Clerical</td>
<td>64%</td>
</tr>
<tr>
<td>3. Staff</td>
<td>47% 298,900</td>
</tr>
<tr>
<td>4. Graduate Assistants</td>
<td>32%</td>
</tr>
<tr>
<td>5. Student Workers</td>
<td>3%</td>
</tr>
<tr>
<td>6. Temporary</td>
<td>8%</td>
</tr>
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**ERE DETAIL**

<table>
<thead>
<tr>
<th>ERE AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total ERE</td>
</tr>
<tr>
<td>Student Services Expenditures By Line Item</td>
</tr>
<tr>
<td>------------------------------------------------</td>
</tr>
<tr>
<td>FTE Positions ( See Listing on Next Page )</td>
</tr>
<tr>
<td>Personal Services</td>
</tr>
<tr>
<td>ERE</td>
</tr>
<tr>
<td>PROFESSIONAL AND OUTSIDE SERVICES</td>
</tr>
<tr>
<td>TRAVEL IN STATE</td>
</tr>
<tr>
<td>TRAVEL OUT OF STATE</td>
</tr>
<tr>
<td>OTHER OPERATING EXPENDITURES</td>
</tr>
<tr>
<td>LIBRARY ACQUISITIONS</td>
</tr>
<tr>
<td>EQUIPMENT</td>
</tr>
<tr>
<td>TOTAL</td>
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</table>

Date Prepared: September 2013

SS Support Object
### FY 2015 Strategic Investment

#### NAU Performance Formula

##### STUDENT SERVICES FTE POSITION DETAIL

<table>
<thead>
<tr>
<th>Position</th>
<th>FTE</th>
<th>Salary PER FTE</th>
<th>Personal Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Faculty</td>
<td>0.00</td>
<td>80,000</td>
<td>-</td>
</tr>
<tr>
<td>2. Clerical</td>
<td>3.00</td>
<td>39,400</td>
<td>118,200</td>
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<tr>
<td>3. Support Staff</td>
<td>6.00</td>
<td>63,600</td>
<td>381,600</td>
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<tr>
<td>4. Graduate Assistants</td>
<td>0.00</td>
<td>15,900</td>
<td>-</td>
</tr>
<tr>
<td>5. Student Worker Pool</td>
<td>0.00</td>
<td>4,000</td>
<td>-</td>
</tr>
<tr>
<td>6. Temporary Pool</td>
<td>0.00</td>
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<td>-</td>
</tr>
</tbody>
</table>

**TOTAL**  
9.00 | 499,800

##### ERE DETAIL

<table>
<thead>
<tr>
<th>Position</th>
<th>ERE Rate</th>
<th>ERE Amount</th>
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<tbody>
<tr>
<td>1. Faculty</td>
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<td>-</td>
</tr>
<tr>
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<td>64%</td>
<td>75,600</td>
</tr>
<tr>
<td>3. Support Staff</td>
<td>47%</td>
<td>179,400</td>
</tr>
<tr>
<td>4. Graduate Assistants</td>
<td>32%</td>
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</tr>
<tr>
<td>5. Student Worker</td>
<td>3%</td>
<td>-</td>
</tr>
<tr>
<td>6. Temporary Pool</td>
<td>8%</td>
<td>-</td>
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</table>

**Total ERE**  
255,000

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Date Prepared: September 2013

SS FTE Detail
<table>
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<tr>
<th>Institutional Support Expenditures By Line Item</th>
<th>FY 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>FTE Positions ( See Listing on Next Page )</td>
<td>2.00</td>
</tr>
<tr>
<td>Personal Services</td>
<td>127,200</td>
</tr>
<tr>
<td>ERE</td>
<td>59,800</td>
</tr>
<tr>
<td>PROFESSIONAL AND OUTSIDE SERVICES</td>
<td>-</td>
</tr>
<tr>
<td>TRAVEL IN STATE</td>
<td>1,000</td>
</tr>
<tr>
<td>TRAVEL OUT OF STATE</td>
<td></td>
</tr>
<tr>
<td>OTHER OPERATING EXPENDITURES</td>
<td>8,000</td>
</tr>
<tr>
<td>LIBRARY ACQUISITIONS</td>
<td></td>
</tr>
<tr>
<td>CAPITAL AND EQUIPMENT</td>
<td>1,000,000</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>1,196,000</strong></td>
</tr>
</tbody>
</table>
# Northern Arizona University

## FY 2015 Strategic Investment

### NAU Performance Formula

#### Institutional Support FTE Position Detail

<table>
<thead>
<tr>
<th>Position</th>
<th>FTE</th>
<th>Salary Per FTE</th>
<th>ERE</th>
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</thead>
<tbody>
<tr>
<td>Faculty</td>
<td>0.00</td>
<td>80,000</td>
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<tr>
<td>Clerical</td>
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</tr>
<tr>
<td>Support Staff</td>
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<td>127,200</td>
</tr>
<tr>
<td>Graduate Assistants</td>
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</tr>
<tr>
<td>Student Worker</td>
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<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Temporary</td>
<td>0.00</td>
<td>-</td>
<td>-</td>
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</table>

**Total**

<table>
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<tr>
<th>FTE</th>
<th>Salary Per FTE</th>
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<tbody>
<tr>
<td>2.00</td>
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#### ERE Rate

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<th>Position</th>
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<tbody>
<tr>
<td>Faculty</td>
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<tr>
<td>Clerical</td>
<td>64%</td>
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<tr>
<td>Support Staff</td>
<td>47%</td>
<td>59,800</td>
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<tr>
<td>Graduate Assistants</td>
<td>32%</td>
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<tr>
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<tr>
<td>Temporary</td>
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**Total ERE**

<table>
<thead>
<tr>
<th>ERE Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>59,800</td>
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Date Prepared: September 2013

Inst Sppt FTE Detail

Page 47
## Northern Arizona University

### Health, Dental and Life Insurance Costs

#### HEALTH INSURANCE:

<table>
<thead>
<tr>
<th>Employee Only</th>
<th>Monthly Premium (State Funds) 7-1-13 to 12-31-13</th>
<th>Number Enrolled</th>
<th>Monthly Premium (State Funds) 1-1-14 to 6-30-14</th>
<th>Number Enrolled</th>
<th>FY 14 Annual Premium</th>
<th>Portion of Premium Per Enrollee</th>
</tr>
</thead>
<tbody>
<tr>
<td>BLUE CROSS/ BLUE SHIELD</td>
<td>AETNA HSAO 2</td>
<td>756</td>
<td>542.14</td>
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<td>542.14</td>
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</table>

**Subtotal 774** | **774** | **5,049,718** |

**Annual Premium per Enrollee:** **6,524.18** |

<table>
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<tr>
<th>Employee + One Dependent</th>
<th>Monthly Premium (State Funds) 7-1-13 to 12-31-13</th>
<th>Number Enrolled</th>
<th>Monthly Premium (State Funds) 1-1-14 to 6-30-14</th>
<th>Number Enrolled</th>
<th>FY 14 Annual Premium</th>
<th>Portion of Premium Per Enrollee</th>
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</thead>
<tbody>
<tr>
<td>BLUE CROSS/ BLUE SHIELD</td>
<td>AETNA HSAO 1</td>
<td>439</td>
<td>1,054.29</td>
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<td>1,054.29</td>
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<tr>
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</table>

**Subtotal 439** | **439** | **5,554,000** |

**Annual Premium per Enrollee:** **12,651.48** |

<table>
<thead>
<tr>
<th>Employee + One Adult</th>
<th>Monthly Premium (State Funds) 7-1-13 to 12-31-13</th>
<th>Number Enrolled</th>
<th>Monthly Premium (State Funds) 1-1-14 to 6-30-14</th>
<th>Number Enrolled</th>
<th>FY 14 Annual Premium</th>
<th>Portion of Premium Per Enrollee</th>
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<tbody>
<tr>
<td>AETNA HSAO</td>
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<td>1,133.00</td>
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</tr>
<tr>
<td>CIGNA EPO</td>
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<td>1,133.00</td>
<td>-</td>
<td>1,133.00</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>UNITED HEALTHCARE EPO</td>
<td>1</td>
<td>1,133.00</td>
<td>1</td>
<td>1,133.00</td>
<td>13,596</td>
<td></td>
</tr>
</tbody>
</table>

**Subtotal 3** | **3** | **39,312** |

**Annual Premium per Enrollee:** **13,104.00** |

<table>
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<tr>
<th>Employee + One Child</th>
<th>Monthly Premium (State Funds) 7-1-13 to 12-31-13</th>
<th>Number Enrolled</th>
<th>Monthly Premium (State Funds) 1-1-14 to 6-30-14</th>
<th>Number Enrolled</th>
<th>FY 14 Annual Premium</th>
<th>Portion of Premium Per Enrollee</th>
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</thead>
<tbody>
<tr>
<td>AETNA HSAO</td>
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<td>977.00</td>
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</table>

**Subtotal 3** | **3** | **37,596** |

**Annual Premium per Enrollee:** **12,532.00** |

<table>
<thead>
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<th>Family</th>
<th>Monthly Premium (State Funds) 7-1-13 to 12-31-13</th>
<th>Number Enrolled</th>
<th>Monthly Premium (State Funds) 1-1-14 to 6-30-14</th>
<th>Number Enrolled</th>
<th>FY 14 Annual Premium</th>
<th>Portion of Premium Per Enrollee</th>
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</thead>
<tbody>
<tr>
<td>BLUE CROSS/ BLUE SHIELD</td>
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<tr>
<td>AMERIBEN EPO</td>
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<td>1,405.00</td>
<td>50,580</td>
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<td>CIGNA EPO</td>
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<td>1,405.00</td>
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<td>1,405.00</td>
<td>50,580</td>
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</tr>
</tbody>
</table>

**Subtotal 575** | **575** | **9,762,848** |

**Annual Premium per Enrollee:** **16,978.87** |

#### DENTAL INSURANCE:

<table>
<thead>
<tr>
<th>Employee Only</th>
<th>Monthly Premium</th>
<th>Number Enrolled</th>
<th>Monthly Premium</th>
<th>Number Enrolled</th>
<th>FY 14 Annual Premium</th>
<th>Portion of Premium</th>
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</thead>
<tbody>
<tr>
<td>DELTA DENTAL</td>
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<td>741</td>
<td>4.96</td>
<td>741</td>
<td>44,104</td>
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**Subtotal 741** | **741** | **44,104** |

<table>
<thead>
<tr>
<th>Employee + One Dependent</th>
<th>Monthly Premium</th>
<th>Number Enrolled</th>
<th>Monthly Premium</th>
<th>Number Enrolled</th>
<th>FY 14 Annual Premium</th>
<th>Portion of Premium</th>
</tr>
</thead>
<tbody>
<tr>
<td>DELTA DENTAL</td>
<td>9.92</td>
<td>451</td>
<td>9.92</td>
<td>451</td>
<td>53,687</td>
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</table>

**Subtotal 451** | **451** | **53,687** |

#### LIFE INSURANCE:

<table>
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<tr>
<th>Employee + One Child</th>
<th>Monthly Premium</th>
<th>Number Enrolled</th>
<th>Monthly Premium</th>
<th>Number Enrolled</th>
<th>FY 14 Annual Premium</th>
<th>Portion of Premium</th>
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<tbody>
<tr>
<td>DELTA DENTAL</td>
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<td>528</td>
<td>13.70</td>
<td>528</td>
<td>86,803</td>
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</table>

**Subtotal 528** | **528** | **86,803** |

#### Total Health, Dental, & Life Insurance Costs:

<table>
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<tr>
<th>Total Health, Dental, &amp; Life Insurance</th>
<th>Number Enrolled</th>
<th>Monthly Premium</th>
<th>Number Enrolled</th>
<th>Monthly Premium</th>
<th>FY 14 Annual Premium</th>
<th>Portion of Premium</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employees Only</td>
<td>774</td>
<td>6,524.18</td>
<td>774</td>
<td>6,524.18</td>
<td>5,049,718</td>
<td></td>
</tr>
<tr>
<td>Employee + One Dependent</td>
<td>439</td>
<td>12,651.48</td>
<td>439</td>
<td>12,651.48</td>
<td>5,554,000</td>
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<tr>
<td>Employee + One Adult</td>
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<td>13,104.00</td>
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<td>13,104.00</td>
<td>39,312</td>
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<tr>
<td>Employee + One Child</td>
<td>3</td>
<td>12,532.00</td>
<td>3</td>
<td>12,532.00</td>
<td>37,596</td>
<td></td>
</tr>
<tr>
<td>Family</td>
<td>575</td>
<td>16,978.87</td>
<td>575</td>
<td>16,978.87</td>
<td>9,762,848</td>
<td></td>
</tr>
</tbody>
</table>

**Total Health, Dental, & Life Insurance:** **20,674,000**

**Divided by Total FY2014 Benefit Eligible Employee Headcount:** **1,958**

**Average Health, Dental, & Life Insurance Premium Adjusted Headcount:** **10,559**

**Workers Comp Rate:** 0.50%

**Unemployment Rate:** 0.65%
### NORTHERN ARIZONA UNIVERSITY FY15 Budget Request

<table>
<thead>
<tr>
<th></th>
<th>UNIVERSITY TOTAL (including Yuma)</th>
<th>Yuma Total</th>
<th>UNIVERSITY TOTAL (without Yuma)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>ESTIMATED FY14</td>
<td>ESTIMATED FY14</td>
<td>ESTIMATED FY14</td>
</tr>
<tr>
<td></td>
<td>FTE Amount</td>
<td>FTE Amount</td>
<td>FTE Amount</td>
</tr>
<tr>
<td>Optional Retirement</td>
<td>734.71</td>
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<td>62,512,400</td>
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<tr>
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<td>7,133,500</td>
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<td>7,123,500</td>
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</table>

**Date Prepared:** September 2013
### STATE OF ARIZONA

**SUMMARY OF EXPENDITURES AND BUDGET REQUEST FOR FY 2015**

**NORTHERN ARIZONA UNIVERSITY 0440**

**FUND: 1421**

<table>
<thead>
<tr>
<th>Expenditure Category</th>
<th>ACTUAL FY 2013</th>
<th>Estimated FY 2014</th>
<th>Continuation Request</th>
<th>Strategic Investments</th>
<th>TOTAL REQ FY 2015</th>
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<tbody>
<tr>
<td>FTE POSITIONS</td>
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<td>OTHER OPERATING EXPENSES</td>
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<tr>
<td>Professional &amp; Outside Services</td>
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<td>Travel Out-of-State</td>
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<td>-</td>
<td>-</td>
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<td>Other Operating Expenditures</td>
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<td>Capitalized Equipment</td>
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<td>TOTAL APPROPRIATED</td>
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<td>Summer Sessions and Misc. Collections</td>
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<td>-</td>
<td>-</td>
<td></td>
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<td>Total Revenues &amp; Receipts</td>
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<td>111,781,100</td>
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<tr>
<td>TOTAL NON-APPROPRIATED</td>
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<tr>
<td>TOTAL PROGRAM</td>
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</table>

*Figures exclude FTE and dollars for NAU Yuma which is reported separately.*
### Northern Arizona University
FY 2015 Operating Budget Request

#### CONTINUATION REQUEST

<table>
<thead>
<tr>
<th>Program</th>
<th>Actual FY13</th>
<th>Estimated FY14</th>
<th>NAU Enrollment Growth</th>
<th>NAU Parity in Basic Student Support per FTE</th>
<th>NAU Performance Funding Formula</th>
<th>Student Credit Hour Limit Reductions</th>
<th>Operations &amp; Maintenance of New Facilities</th>
<th>Flagstaff Physical Infrastructure</th>
<th>Subtotal Continuation</th>
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<tbody>
<tr>
<td><strong>INSTRUCTION</strong></td>
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Date Prepared: September 2013

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* Figures exclude FTE and dollars for NAU Yuma which is reported separately.
## Northern Arizona University

**FY 2015 Operating Budget Request**

### CONTINUATION REQUEST

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<th>NAU Performance Funding Formula</th>
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Date Prepared: September 2013

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* Figures exclude FTE and dollars for NAU Yuma which is reported separately.
## Northern Arizona University
### FY 2015 Operating Budget Request

### CONTINUATION REQUEST

<table>
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<tr>
<th>Program</th>
<th>Actual FY13</th>
<th>Estimated FY14</th>
<th>NAU Enrollment Growth</th>
<th>NAU Parity in Basic Student Support per FTE</th>
<th>NAU Performance Funding Formula</th>
<th>Student Credit Hour Limit Reductions</th>
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### STRATEGIC INVESTMENTS

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Date Prepared: September 2013

Schedule 3B
## STATE OF ARIZONA
SUMMARY OF EXPENDITURES AND BUDGET REQUEST FOR FY 2015

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<th>Expenditure Category</th>
<th>ACTUAL FY 2013</th>
<th>ESTIMATED FY 2014</th>
<th>CONTINUATION REQUEST</th>
<th>STRATEGIC INVESTMENTS</th>
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* Figures exclude FTE and dollars for NAU Yuma which is reported separately.
# Northern Arizona University
## FY 2015 Operating Budget Request

<table>
<thead>
<tr>
<th>Program</th>
<th>Actual FY13</th>
<th>Estimated FY14</th>
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<th><strong>Life Safety, Health and Fire Code Compliance</strong></th>
<th><strong>Subtotal Strategic Investments</strong></th>
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Date Prepared: September 2013

Schedule 3B
# Summary of Expenditures and Budget Request for FY 2015

## Northern Arizona University

### Fund: 1421

#### Program: Student Services 4534

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<th>STRATEGIC INVESTMENTS</th>
<th>TOTAL REQ FY 2015</th>
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- **Collections**: -
- **Summer Sessions and Misc. Collections**: -
- **Land Grant Endowment**: -
- **Misc. Receipts**: -
- **Balance Forward**: -

### Total Revenues & Receipts

- **Total General Fund**: 18,818,200
- **Federal Funds**: 39,565,700
- **Other Funds (Est.)**: 73,848,400

### Total Non-Appropriated

- 113,414,100

### Total Program

- 132,232,300

---

* Figures exclude FTE and dollars for NAU Yuma which is reported separately.
** Student Support includes scholarships and fellowships
## Northern Arizona University
### FY 2015 Operating Budget Request

### CONTINUATION REQUEST

<table>
<thead>
<tr>
<th>Program</th>
<th>Actual FY13</th>
<th>Estimated FY14</th>
<th>NAU Enrollment Growth</th>
<th>NAU Parity in Basic Student Support per FTE</th>
<th>NAU Performance Funding Formula</th>
<th>Student Credit Hour Limit Reductions</th>
<th>Operations &amp; Maintenance of New Facilities</th>
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### STRATEGIC INVESTMENTS

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Date Prepared: September 2013
Schedule 3B
# State of Arizona
## Summary of Expenditures and Budget Request for FY 2015

### NORTHERN ARIZONA UNIVERSITY 0440

**Program:** INSTITUTIONAL SPT 4535  
**FUND:** 1421  

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<th>Expenditure Category</th>
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<th>Estimated FY 2014</th>
<th>Continuation Request</th>
<th>Strategic Investments</th>
<th>Total Request FY 2015</th>
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* Figures exclude FTE and dollars for NAU Yuma which is reported separately.  
** Institutional support includes operations and maintenance.
## Northern Arizona University
### FY 2015 Operating Budget Request

### Continuation Request

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<tr>
<th>Program</th>
<th>Actual FY13</th>
<th>Estimated FY14</th>
<th>NAU Enrollment Growth</th>
<th>NAU Parity in Basic Student Support per FTE</th>
<th>NAU Performance Funding Formula</th>
<th>Student Credit Hour Limit Reductions</th>
<th>Operations &amp; Maintenance of New Facilities</th>
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## State of Arizona

### "Below the Line Items" and Other Expenses FY 2014

**Northern Arizona University**

**Fund:** 0440 1421

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<th>Continuation Request</th>
<th>Strategic Investments</th>
<th>Total Request FY 2015</th>
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**Date Prepared:** September 2013

**Schedule 3**
## Northern Arizona University
### FY 2015 Operating Budget Request

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<th>Actual FY13</th>
<th>Estimated FY14</th>
<th>NAU Enrollm. Growth</th>
<th>NAU Parity in Basic Student Support per FTE</th>
<th>NAU Performance Funding Formula</th>
<th>Student Credit Hour Limit Reductions</th>
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Date Prepared: September 2013
### STATE OF ARIZONA
### SUMMARY OF EXPENDITURES AND BUDGET REQUEST FOR FY 2015

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<th>CONTINUATION REQUEST</th>
<th>STRATEGIC INVESTMENTS</th>
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* Figures exclude FTE and dollars for NAU Yuma which is reported separately.
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<th>INCREASE (DECREASE)</th>
<th>ESTIMATED FY 2015</th>
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## SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2015

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### Northern Arizona University  
State of Arizona  
Program Summary of Federal Funds FY 2015

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<th>Expenditure Category</th>
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## SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2015

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## Northern Arizona University
### State of Arizona
#### Program Summary of Federal Funds FY 2015

### RESEARCH

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**Date Prepared:** September 2013  
**Federal Schedule 1**
## SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2015

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<th>FY2015 Estimated</th>
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## SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2015

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## Northern Arizona University

**State of Arizona**

**Program Summary of Federal Funds FY 2015**

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## SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2015

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# Northern Arizona University
## State of Arizona
### Program Summary of Federal Funds FY 2015

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## Northern Arizona University
### State of Arizona
#### Program Summary of Federal Funds FY 2015

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<tr>
<td>Pass Through Funds - State Agencies</td>
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<td>Pass Through Funds - Non State Agencies</td>
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<tr>
<td>Land Acquisition and Capital Projects</td>
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<td><strong>TOTAL EXPENDITURES</strong></td>
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</table>
### SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2015

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<thead>
<tr>
<th>INSTITUTIONAL SUPPORT</th>
<th>No. of Projects</th>
<th>Actual FY2013 Expense</th>
<th>FY2014 Estimated</th>
<th>FY2015 Estimated</th>
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<td>Federal Thru State Agency</td>
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<td><strong>Total Institutional Support</strong></td>
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## OPERATIONS MAINT OF PLANT

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<th>Expenditure Category</th>
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<th>Estimated FY2014</th>
<th>Increase/Decrease</th>
<th>Request FY2015</th>
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<td>Travel Out of State</td>
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<td>Other Operating</td>
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<td>Library Acquisitions</td>
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</tbody>
</table>

**SUBTOTAL**

| Pass Through Funds - State Agencies | - | - | - |
| Pass Through Funds - Non State Agencies | - | - | - |

**SUBTOTAL**

| Land Acquisition and Capital Projects | - | - | - |

**TOTAL EXPENDITURES**

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Date Prepared: September 2013

Federal Schedule 1
## SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2015

<table>
<thead>
<tr>
<th>OPERATIONS AND MAINT OF PLANT</th>
<th>No. of Projects</th>
<th>Actual FY2013 Expense</th>
<th>FY2014 Estimated</th>
<th>FY2015 Estimated</th>
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<td>U.S. Department of Commerce</td>
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<td>Federal Thru Misc. Private</td>
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<tr>
<td>Total Operations and Maint of Plant</td>
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</tbody>
</table>