

STATE BUDGET REQUEST

FY21

NAU
NORTHERN
ARIZONA
UNIVERSITY





September 6, 2019

Governor Ducey 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 2021. 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,

A handwritten signature in black ink, appearing to read "Rita Cheng", is written over the printed name and title.

Rita Cheng
President

**NORTHERN ARIZONA UNIVERSITY
FY 2021 STATE OPERATING BUDGET REQUEST**

TABLE OF CONTENTS

President's Letter to the Governor and the Legislature	Continuation Request	Academic Support
Budget Request Transmittal Form..... 1	New Economy Initiative – Enhancing Arizona's Workforce Competitiveness 27	Summary of Expenditures (Sch 3)48
Mission Statement 2	New Economy Initiative – NAU Mission Support..... 32	Schedule 3B49
University Organizational Chart..... 3	Incorporate FY20 One-Time appropriation into base appropriation 37	
Non-Appropriated Funds (Schedule 1B) 4	Adjustment of FY20 One Time Appropriation 39	Student Services and Administration
State Collections Revenue (Schedule 1D) 12		Summary of Expenditures (Sch 3)50
Approved Local Retention (Schedule 1D – 4) 18	Supplemental Information	Schedule 3B51
	Health, Dental & Life Insurance Costs 40	
Administrative Costs	Retirement Program Costs 41	Institutional Support
Administrative Cost Matrix..... 19	Instruction	Summary of Expenditures (Sch 3)52
Agency Summary of Administrative Cost 21	Summary of Expenditures (Sch 3)42	Schedule 3B53
Assumptions for Administrative Cost Summary 22	Schedule 3B43	
		Below the Line Item - NAU-Yuma
University Totals	Organized Research	Summary of Expenditures (Sch 3)54
Summary of Expenditures (Sch 3)..... 23	Summary of Expenditures (Sch 3)44	Schedule 3B55
Schedule 3A 24	Schedule 3B45	
Schedule 3B 25		Auxiliary
	Public Service	Summary of Expenditures (Sch 3).....56
Continuation Request and Strategic Investments	Summary of Expenditures (Sch 3)46	Federal Funds
Summary 26	Schedule 3B47	Federal Summary57
		Schedules: Fed 1, Fed 260
		BUDDIES Reports

STATE OF ARIZONA
BUDGET REQUEST
TRANSMITTAL STATEMENT

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

	<u>FY 2021 Request</u>
TOTAL STATE BUDGET REQUEST	<u>\$783,766,313</u>
GENERAL FUND	<u>149,250,900</u>
OTHER APPROPRIATED FUNDS	<u>156,154,500</u>
FEDERAL FUNDS	<u>107,459,200</u>
OTHER NON-APPROPRIATED FUNDS	<u>370,901,713</u>

GOVERNOR DUCEY:

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 2021.

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

Agency Head Rita Cheng

Title President

Signature 

Request Prepared by Bjorn Flugstad

Phone (928) 523-4240

Date Prepared September 6, 2019

TRANSMITTAL STATEMENT

**NORTHERN ARIZONA UNIVERSITY
MISSION, VISION, VALUES, AND GOALS**

Mission

Our academic programs, research, public service, and creative endeavors enrich lives and create opportunities in Arizona and beyond. We develop solutions to challenges and drive innovation in a supportive, inclusive, and diverse environment.

Vision

NAU leads the way to a better Arizona and a sustainable world through personalized attention to student success and scholarly excellence

Values

- Student centered: We place student success at the center of our academic and service planning, policies, and programs.
- Integrity: We operate with fairness, honesty, and the highest ethical standards.
- Diversity: We strengthen our community through diversity of cultures, experiences, and perspectives.
- Service: We partner with our communities, in the spirit of collaboration, to provide services and expertise to support Arizona, the nation, and the world.
- Discovery: We engage in innovation to create, share, and apply new knowledge, scholarship, and artistry.
- Excellence: We commit to the highest quality in all endeavors.

Northern Arizona University Goals

Student Success and Access

Educate students to serve, lead, and achieve

Research and Discovery

Expand the boundaries of knowledge and creativity

Commitment to Native Americans

Become the nation's leading university serving Native Americans

Engagement

Strengthen university, community, regional, national, and global ties for the mutually beneficial exchange of knowledge and resources

Stewardship

Ensure long-term viability of the university

Rita Cheng
President

Exec. VP & Chief of Staff Joanne Keene	Assistant VP for Community Relations Vacant	Chief Human Resources Officer Josh Mackey	Assistant Vice President Equity & Access Office Priscilla Mills	Director University Events Krista Allen	Director Policy and Spec. Projects Mark Grisham				
Chief Marketing Officer Harlan Teller									
Asst. to the Pres. for Exec. Communication & Media Relations Kimberly Ott									
Provost & VP for Academic Affairs Diane Stearns	Vice Provost Academic Affairs John Masserini	Vice Provost Academic Personnel Roger Bounds	Arts & Letters Robert Friedman, Int Dean	Health & Human Services Lynda Ransdell, Dean	Social & Behavioral Sciences Karen Pugliesi, Dean	Graduate College Maribeth Watwood, Dean	Engineering, Informatics, & Applied Sciences John Georgas, Int Dean	Exec. Dir., Ctr for Int'l Ed., & Special Adv. to Pres. for Global Initiatives Daniel Palm	
	Vice Provost - Teaching, Learning Design & Assessmt Laurie Dickson	Vice Provost and Dean of Online Innov. Ed Intitvs. Gayla Stoner	Education Ramona Mellott, Dean	Honors College Kevin Gustafson, Dean	The W.A. Franke College of Business Elieen Hogan, Int Dean	Environment, Forestry & Natural Sciences Jason Wilder, Int Dean	Cline Library Cynthia Childrey, Dean & University Librarian	Assoc. VP & Campus Executive Officer, NAU – Yuma Mike Sabath	
Faculty Athletics Representative Alisse Ali-Joseph									
VP for Enrollment Management Jane Kuhn	Assoc. Vice President Enrollment Managment Margot Saltonstall	Exec. Director, Office of Scholarships & Financial Aid Nydia Nittmann							
VP for Student Affairs Erin Grisham	Asst. Vice President Student Affairs Ivy Banks	Exec. Director Housing & Residence Life Rich Payne	Exec. Director Campus Health Services Julie Ryan						
VP for Development & Alumni Engagement Rickey McCurry	Associate Vice President Bonnie Baker	Chief Financial Officer Vacant	Assttant Vice President Mary Negri, Interim	Director of Alumni Engagement Stephanie Smith					
VP for Native American Initiatives Chad Hamill	Assoc. VP Nat. Am. Cultural Ctr. Ron Lee	Executive Director Nat. Am. Cultural Ctr. Ora Marek-Martinez	Executive Director Inst. for Tribal Env. Prof. Ann Marie Chischilly						
VP for Intercollegiate Athletics Mike Marlow	Sr. Assoc. Athletics Director SWA Robyn Sharp	Assoc. Athletics Director Internal Operations Beth Vechinski	Assoc. Athletics Director Matt Howdeshell	Assoc. Athletics Director Uri Farkas					
General Counsel Michelle Parker	Assoc. General Counsel MJ Vuinovich								
VP for Capital Planning & Campus Operation Dan Okoli	Int. Assoc. VP, Facility Services Stephen Vedral	Exec. Director Contracting & Purchasing Srvs Becky McGaugh	Director, Business Operations Jessica Fitchett	Director, Postal Services Susan Maetras	Director, University Transit Services Erin Stam	Exec. Director CSA Administration TC Eberly			
VP for External Affairs & Partnerships Christy Farley	Assoc. VP Government Affairs Katy Yanez	Assoc. VP Educational Partnerships Kathrine Yeager							
VP for Research David R. Schultz	Assoc. VP Andy Koppisch	Assoc. VP Sponsored Projects Michael Nichols	Assist. VP Regulatory Compliance David Faguy	Asst. VP Research and Innovation William Aylor					
Chief Information Officer Steven Burrell									
VP for Finance, Inst. Planning & Analysis & CFO Bjorn Flugstad	Chief Institutional Data Officer Laura Jones	Chief Audit Executive Mark Ruppert	Assoc. VP Financial Services Wendy Swartz	Budget Director Siri Mullaney					

AGENCY NAME & AFIS CODE: NORTHERN ARIZONA UNIVERSITY
 COST CENTER/PROGRAM NAME: SUMMARY

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

FUNDS AVAILABLE	2019 Actual	2020 Estimate	2021 Estimate
Balance Forward	134,364.8	135,868.4	110,552.5
Receipts	438,082.7	455,780.0	467,755.2
TOTAL FUNDS AVAILABLE	572,447.5	591,648.4	578,307.7
DISPOSITION OF FUNDS			
FTE Positions	1,641.7	1,863.6	1,883.4
Personal Services	98,500.7	113,688.6	114,890.1
ERE	30,902.1	35,861.0	36,655.6
All Other Operating Expenditures:			
Professional and Outside Services	69,461.1	72,555.5	72,719.3
Travel: In State	1,847.3	2,098.1	2,075.8
Travel: Out of State	7,266.5	6,829.8	6,886.2
Other Operating Expenditures	166,487.4	172,093.5	173,086.8
Library Acquisitions	0.0	11.0	11.0
Equipment	4,922.5	6,226.8	4,639.6
All Other Operating Subtotal	249,984.8	259,814.7	259,418.7
TOTAL FUNDS EXPENDED	379,387.6	409,364.3	410,964.4
Net Transfers Out (In)	57,191.5	71,731.6	67,396.5
TOTAL DISPOSITION OF FUNDS	436,579.1	481,095.9	478,360.9
BALANCE FORWARD TO NEXT YEAR	135,868.4	110,552.5	99,946.8
Operating Expenditure Detail:			
Operating:			
Operating - Federal	94,367.2	95,310.7	96,264.0
Operating - Other Non Appropriated	285,020.4	314,053.6	314,700.4
Total Operating Expenditures	379,387.6	409,364.3	410,964.4
Total Funds Expended	379,387.6	409,364.3	410,964.4

AGENCY NAME & AFIS CODE: NORTHERN ARIZONA UNIVERSITY
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 DESIGNATED TUITION AND FEES - SOURCE AND DISPOSITION OF FUNDS**

FUNDS AVAILABLE	2019 Actual	2020 Estimate	2021 Estimate
Balance Forward	27,704.7	26,873.5	26,841.2
Receipts	107,003.4	133,086.5	134,417.4
TOTAL FUNDS AVAILABLE	134,708.1	159,960.0	161,258.6
DISPOSITION OF FUNDS			
FTE Positions	153.2	245.9	248.5
Personal Services	9,192.9	14,999.6	15,149.5
ERE	2,205.3	3,922.8	3,962.1
All Other Operating Expenditures:			
Professional and Outside Services	6,818.2	7,424.8	7,499.0
Travel: In State	235.3	240.5	242.9
Travel: Out of State	164.0	268.5	271.3
Other Operating Expenditures	6,312.8	6,778.4	6,846.0
Library Acquisitions	0.0	0.0	0.0
Equipment	427.8	735.6	743.0
All Other Operating Subtotal	13,958.1	15,447.8	15,602.2
TOTAL FUNDS EXPENDED	25,356.3	34,370.2	34,713.8
Net Transfers Out (In)	82,478.3	98,748.6	99,736.1
TOTAL DISPOSITION OF FUNDS	107,834.6	133,118.8	134,449.9
BALANCE FORWARD TO NEXT YEAR	26,873.5	26,841.2	26,808.7
Source of Revenue: Tuition and fees retained by the University and summer session fees. Resources in this fund are designated in use. Purpose of Fund: To account for transactions related to academic year tuition and fees retained by the University and the summer session program. Indirect cost recovery, part of the designated fund group, is presented separately.			

AGENCY NAME & AFIS CODE: NORTHERN ARIZONA UNIVERSITY
 COST CENTER/PROGRAM NAME: SUMMARY

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

FUNDS AVAILABLE	2019 Actual	2020 Estimate	2021 Estimate
Balance Forward	60,234.6	48,607.4	32,795.4
Receipts	68,476.9	62,955.8	69,000.0
TOTAL FUNDS AVAILABLE	128,711.5	111,563.2	101,795.4
DISPOSITION OF FUNDS			
FTE Positions	458.0	513.9	519.1
Personal Services	27,481.1	31,345.4	31,658.7
ERE	8,823.5	10,326.1	10,429.3
All Other Operating Expenditures:			
Professional and Outside Services	33,887.1	34,092.4	33,905.0
Travel: In State	519.1	596.3	566.5
Travel: Out of State	2,210.0	2,286.8	2,309.7
Other Operating Expenditures	57,521.7	60,042.5	60,643.2
Library Acquisitions	0.0	11.0	11.0
Equipment	1,345.5	1,650.9	1,549.0
All Other Operating Subtotal	95,483.4	98,679.9	98,984.4
TOTAL FUNDS EXPENDED	131,788.0	140,351.4	141,072.4
Net Transfers Out (In)	(51,683.9)	(61,583.6)	(62,199.6)
TOTAL DISPOSITION OF FUNDS	80,104.1	78,767.8	78,872.8
BALANCE FORWARD TO NEXT YEAR	48,607.4	32,795.4	22,922.6

Source of Revenue:

Unrestricted gifts and departmental revenues. Resources in this fund are designated in use.

Purpose of Fund:

To account for transactions related to the use of unrestricted gifts and departmental revenues.
 Indirect cost recovery, part of the designated fund group, is presented separately.

Notes:

Indirect Cost Recovery are adjusted out of these totals and are reported on a separate schedule in this report.

AGENCY NAME & AFIS CODE: NORTHERN ARIZONA UNIVERSITY
 COST CENTER/PROGRAM NAME: SUMMARY

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

FUNDS AVAILABLE	2019 Actual	2020 Estimate	2021 Estimate
Balance Forward	30,944.2	35,841.5	29,128.2
Receipts	106,376.7	107,740.9	109,936.4
TOTAL FUNDS AVAILABLE	137,320.9	143,582.4	139,064.6
DISPOSITION OF FUNDS			
FTE Positions	429.4	450.2	454.7
Personal Services	25,761.9	27,464.3	27,738.9
ERE	8,947.9	9,949.3	10,406.4
All Other Operating Expenditures:			
Professional and Outside Services	12,636.6	14,826.0	14,954.2
Travel: In State	395.8	503.7	500.0
Travel: Out of State	3,154.0	2,404.1	2,405.0
Other Operating Expenditures	35,223.1	36,984.5	36,295.2
Library Acquisitions	0.0	0.0	0.0
Equipment	575.5	1,213.9	700.0
All Other Operating Subtotal	51,985.0	55,932.2	54,854.4
TOTAL FUNDS EXPENDED	86,694.8	93,345.8	92,999.7
Net Transfers Out (In)	14,784.6	21,108.4	17,281.5
TOTAL DISPOSITION OF FUNDS	101,479.4	114,454.2	110,281.2
BALANCE FORWARD TO NEXT YEAR	35,841.5	29,128.2	28,783.4
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.			

AGENCY NAME & AFIS CODE: NORTHERN ARIZONA UNIVERSITY
 COST CENTER/PROGRAM NAME: SUMMARY

SCHEDULE 1B
DESIGNATED INDIRECT COST RECOVERY - SOURCE AND DISPOSITION OF FUNDS

FUNDS AVAILABLE	2019 Actual	2020 Estimate	2021 Estimate
Balance Forward	10,566.5	14,839.1	12,080.8
Receipts	12,425.8	11,553.4	12,507.2
TOTAL FUNDS AVAILABLE	22,992.3	26,392.5	24,588.0
DISPOSITION OF FUNDS			
FTE Positions	50.1	106.2	108.3
Personal Services	3,002.2	6,486.2	6,616.0
ERE	1,316.3	1,957.6	2,055.4
All Other Operating Expenditures:			
Professional and Outside Services	1,562.2	1,509.7	1,511.4
Travel: In State	58.9	113.1	115.5
Travel: Out of State	254.7	371.8	386.5
Other Operating Expenditures	1,512.2	1,666.0	1,968.0
Library Acquisitions	0.0	0.0	0.0
Equipment	958.6	995.1	0.0
All Other Operating Subtotal	4,346.6	4,655.7	3,981.4
TOTAL FUNDS EXPENDED	8,665.1	13,099.5	12,652.8
Net Transfers Out (In)	(511.9)	1,212.2	210.0
TOTAL DISPOSITION OF FUNDS	8,153.2	14,311.7	12,862.8
BALANCE FORWARD TO NEXT YEAR	14,839.1	12,080.8	11,725.2
Source of Revenue: Indirect costs recovered from sponsored research programs.			
Purpose of Fund: To account for transactions designated for various activities that assist or promote sponsored research at the University.			

AGENCY NAME & AFIS CODE: NORTHERN ARIZONA UNIVERSITY
 COST CENTER/PROGRAM NAME: SUMMARY

**SCHEDULE 1B
 CAPITAL INFRASTRUCTURE FUND - SOURCE AND DISPOSITION OF FUNDS**

FUNDS AVAILABLE	2019 Actual	2020 Estimate	2021 Estimate
Balance Forward	0.0	0.0	0.0
Receipts	4,520.9	4,611.3	4,703.5
TOTAL FUNDS AVAILABLE	4,520.9	4,611.3	4,703.5
DISPOSITION OF FUNDS			
FTE Positions	0.0	0.0	0.0
Personal Services	0.0	0.0	0.0
ERE	0.0	0.0	0.0
All Other Operating Expenditures:			
Professional and Outside Services	0.0	0.0	0.0
Travel: In State	0.0	0.0	0.0
Travel: Out of State	0.0	0.0	0.0
Other Operating Expenditures	4,520.9	4,611.3	4,703.5
Library Acquisitions	0.0	0.0	0.0
Equipment	0.0	0.0	0.0
All Other Operating Subtotal	4,520.9	4,611.3	4,703.5
TOTAL FUNDS EXPENDED	4,520.9	4,611.3	4,703.5
Net Transfers Out (In)	0.0	0.0	0.0
TOTAL DISPOSITION OF FUNDS	4,520.9	4,611.3	4,703.5
BALANCE FORWARD TO NEXT YEAR	0.0	0.0	0.0
Source of Revenue:			
Unrestricted gifts and departmental revenue			
Purpose of Fund:			
To account for capital infrastructure appropriation match			

AGENCY NAME & AFIS CODE: NORTHERN ARIZONA UNIVERSITY
 COST CENTER/PROGRAM NAME: SUMMARY

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

FUNDS AVAILABLE	2019 Actual	2020 Estimate	2021 Estimate
Balance Forward	4,914.8	9,706.9	9,706.9
Receipts	33,937.6	29,437.1	29,731.5
TOTAL FUNDS AVAILABLE	38,852.4	39,144.0	39,438.4
DISPOSITION OF FUNDS			
FTE Positions	183.1	181.9	183.7
Personal Services	10,985.8	11,095.6	11,206.5
ERE	3,252.0	3,284.5	3,317.5
Professional and Outside Services	2,882.0	2,910.9	2,940.0
Travel: In State	168.8	170.4	172.1
Travel: Out of State	311.9	315.0	318.2
Other Operating Expenditures	9,808.9	9,907.2	10,006.2
Library Acquisitions	0.0	0.0	0.0
Equipment	585.9	591.8	597.7
All Other Operating Subtotal	13,757.5	13,895.3	14,034.2
TOTAL FUNDS EXPENDED	27,995.3	28,275.4	28,558.2
Net Transfers Out (In)	1,150.2	1,161.7	1,173.3
TOTAL DISPOSITION OF FUNDS	29,145.5	29,437.1	29,731.5
BALANCE FORWARD TO NEXT YEAR	9,706.9	9,706.9	9,706.9

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 nonfederal grants and contracts. Revenue and operating expenditures exclude indirect cost recovery.

AGENCY NAME & AFIS CODE: NORTHERN ARIZONA UNIVERSITY
 COST CENTER/PROGRAM NAME: SUMMARY

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

FUNDS AVAILABLE	2019 Actual	2020 Estimate	2021 Estimate
Balance Forward	0.0	0.0	0.0
Receipts	105,341.4	106,395.0	107,459.2
TOTAL FUNDS AVAILABLE	105,341.4	106,395.0	107,459.2
DISPOSITION OF FUNDS			
FTE Positions	367.9	365.5	369.1
Personal Services	22,076.8	22,297.5	22,520.5
ERE	6,357.1	6,420.7	6,484.9
All Other Operating Expenditures:			
Professional and Outside Services	11,675.0	11,791.7	11,909.7
Travel: In State	469.4	474.1	478.8
Travel: Out of State	1,171.9	1,183.6	1,195.5
Other Operating Expenditures	51,587.8	52,103.6	52,624.7
Library Acquisitions	0.0	0.0	0.0
Equipment	1,029.2	1,039.5	1,049.9
All Other Operating Subtotal	65,933.3	66,592.5	67,258.6
TOTAL FUNDS EXPENDED	94,367.2	95,310.7	96,264.0
Net Transfers Out (In)	10,974.2	11,084.3	11,195.2
TOTAL DISPOSITION OF FUNDS	105,341.4	106,395.0	107,459.2
BALANCE FORWARD TO NEXT YEAR	0.0	0.0	0.0
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.			

**STATE OF ARIZONA
SCHEDULE 1D
STATE COLLECTIONS REVENUE**

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

University: NORTHERN ARIZONA		Actual FY2017	Actual FY2018	Actual FY2019	Budgeted FY2020	INCREASE/ (DECREASE)	Request FY2020
RESIDENT AND NON RESIDENT TUITION							
NON RESIDENT TUITION RECEIPTS							
Undergraduate	Non Fixed	5,988,900	5,329,000	7,801,100	8,213,400	1,214,700	9,428,100
	Fixed	24,489,000	27,383,900	24,552,000	26,992,500	(1,663,100)	25,329,400
WUE	Non Fixed	345,300	292,300	432,300	455,100	(5,700)	449,400
	Fixed	70,346,200	73,268,200	76,383,800	73,682,900	(496,000)	73,186,900
Graduate		5,912,000	6,286,900	8,338,000	9,861,900	(628,000)	9,233,900
RESIDENT TUITION RECEIPTS							
Undergraduate - Other Sites		26,633,400	28,505,500	27,719,600	23,260,700	3,739,600	27,000,300
Undergraduate Flagstaff	Non Fixed	120,000	85,300	138,900	240,600	(17,200)	223,400
	Fixed	57,976,200	60,325,200	60,030,700	57,151,200	(1,444,100)	55,707,100
Graduate		14,223,400	15,844,100	18,027,000	17,452,900	500,700	17,953,600
SPECIAL PROGRAM FEES		4,023,000	4,224,000	4,248,500	4,608,000	125,000	4,733,000
INSTITUTIONAL FINANCIAL AID (VALUE OF WAIVERS*)		76,166,600	86,966,600	98,966,600	112,136,400	5,700,000	117,836,400
TOTAL STUDENT FEE TUITION RECEIPTS		286,224,000	308,511,000	326,638,500	334,055,600	7,025,900	341,081,500
Less Financial Aid Awards		77,063,300	87,891,400	99,894,800	113,039,100	5,700,000	118,739,100
Less Debt Service/Plant Fund		17,000,000	15,500,000	17,000,000	18,000,000	1,900,000	19,900,000
Less Regents' Financial Aid Set-Aside		30,250,000	32,250,000	33,000,000	33,000,000	-	33,000,000
Less All Other Local Retention		16,292,400	17,988,500	18,534,800	16,987,000	(74,100)	16,912,900
Total Local Retention (from Schedule 1D-4)		140,605,700	153,629,900	168,429,600	181,026,100	7,525,900	188,552,000
SUBTOTAL NET TUITION TO STATE BUDGET		145,618,300	154,881,100	158,208,900	153,029,500	(500,000)	152,529,500

**STATE OF ARIZONA
SCHEDULE 1D
STATE COLLECTIONS REVENUE**

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

	Actual FY2017	Actual FY2018	Actual FY2019	Budgeted FY2020	INCREASE/ (DECREASE)	Request FY2020
University: NORTHERN ARIZONA						
OTHER REVENUES/RECEIPTS						
Miscellaneous Student Receipts	125,000	125,000	125,000	200,000		200,000
Summer Sessions Fees	1,500,000	1,700,000	1,900,000	2,200,000	500,000	2,700,000
State Land Grant Endowment (incl Prop 123 - Eminent Scholars)	40,000	725,000	725,000	725,000		725,000
Actual Balance Forward	-	-	-			-
TOTAL OTHER RECEIPTS	1,665,000	2,550,000	2,750,000	3,125,000	500,000	3,625,000
TOTAL APPROVED TO SUPPORT STATE EXPENDITURE AUTHORITY	147,283,300	157,431,100	160,958,900	156,154,500	-	156,154,500

**STATE OF ARIZONA
SCHEDULE 1D
STATE COLLECTIONS REVENUE**

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

University: NORTHERN ARIZONA			Actual FY2017	Actual FY2018	Actual FY2019	Budgeted FY2020	INCREASE/ (DECREASE)	Request FY2020
FULL TIME EQUIVALENT STUDENTS (FALL SEMESTER 21 Day)								
Under 15/12/10 Methodology			28,710	29,524	29,384	29,734	-	29,734
FULL PAY EQUIVALENT STUDENTS								
NON RESIDENT FPE STUDENTS			6,782	6,707	6,510	6,668	34	6,702
Undergraduate	Non Fixed		246	313	484	592	102	694
	Fixed		1,104	1,138	937	847	(64)	783
WUE	Non Fixed		30	24	32	35	1	36
	Fixed		5,032	4,818	4,576	4,605	49	4,654
Graduate			370	414	481	589	(54)	535
As a percent of Full Time Equivalent Students			23.6%	22.7%	22.2%	22.4%		22.5%
RESIDENT FPE STUDENTS			11,262	10,641	9,550	9,053	444	9,497
Undergraduate Flag	Non Fixed		16	10	16	17	(2)	15
	Fixed		6,218	5,937	5,396	5,185	(54)	5,131
Undergraduate Other Campuses			3,431	3,103	2,512	2,232	397	2,629
Graduate			1,597	1,591	1,626	1,619	103	1,722
As a percent of Full Time Equivalent Students			39.2%	36.0%	32.5%	30.4%		31.9%

**STATE OF ARIZONA
SCHEDULE 1D
STATE COLLECTIONS REVENUE**

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

		Actual FY2017	Actual FY2018	Actual FY2019	Budgeted FY2020	INCREASE/ (DECREASE)	Request FY2020
University: NORTHERN ARIZONA							
ACADEMIC YEAR TUITION							
RESIDENT AND NON RESIDENT TUITION RATES							
Flagstaff							
Academic Year Nonresident Tuition							
Undergraduate	Non Fixed	20,003	20,604	21,324	21,964	-	21,964
	Fixed FY16	22,452	22,452	22,452	22,452	-	22,452
	Fixed FY17	23,126	23,126	23,126	23,126	-	23,126
	Fixed FY18		23,820	23,820	23,820	-	23,820
	Fixed FY19			24,654	24,654	-	24,654
	Fixed FY20				25,720	-	25,720
	Fixed FY21						25,720
WUE	Non Fixed	11,471	11,814	12,228	12,597	-	12,597
	Fixed FY16	14,193	14,193	14,193	14,193	-	14,193
	Fixed FY17	14,619	14,619	14,619	14,619	-	14,619
	Fixed FY18		15,057	15,057	15,057	-	15,057
	Fixed FY19			15,585	15,585	-	15,585
	Fixed FY20				15,975	-	15,975
	Fixed FY21						15,975
Graduate		20,958	21,588	22,882	24,484	-	24,484
Academic Year Resident Tuition							
Undergraduate	Non Fixed	7,647	7,876	8,152	8,398	-	8,398
	Fixed FY16	9,462	9,462	9,462	9,462	-	9,462
	Fixed FY17	9,746	9,746	9,746	9,746	-	9,746
	Fixed FY18		10,038	10,038	10,038	-	10,038
	Fixed FY19			10,390	10,390	-	10,390
	Fixed FY20				10,650	-	10,650
	Fixed FY21						10,650
Graduate		8,971	9,240	9,796	10,480	-	10,480
Statewide							
Academic Year Nonresident Tuition							
Undergraduate		20,003	20,604	21,324	21,964	-	21,964
Yuma		20,003	20,604	21,324	21,964	-	21,964
Yavapai		16,126	17,508	18,382	21,964	-	21,964
Graduate		20,958	21,588	22,450	23,574	-	23,574
Academic Year Resident Tuition							
Undergraduate		7,239	7,456	7,718	7,950	-	7,950
Yuma		7,101	7,456	7,718	7,950	-	7,950
Yavapai		5,453	5,920	6,216	7,950	-	7,950
Graduate		8,971	9,240	9,610	10,090	-	10,090

**STATE OF ARIZONA
SCHEDULE 1D
STATE COLLECTIONS REVENUE**

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

University: NORTHERN ARIZONA	Actual FY2017	Actual FY2018	Actual FY2019	Budgeted FY2020	INCREASE/ (DECREASE)	Request FY2020
SPECIAL PROGRAM FEES						
Master of Business Administration (MBA) Special Program Fee	7,000	7,000	7,000	7,000	-	7,000
Doctorate of Nursing Practice (DNP) Special Program Fee	1,800	1,800	1,800	1,800	-	1,800
Doctorate of Physical Therapy (DPT) Special Program Fee - Flagstaff (per year)	5,000	5,000	5,000	6,000	-	6,000
Doctorate of Physical Therapy (DPT) Special Program Fee - Phoenix (per year)	7,000	7,000	7,000	8,000	-	8,000
Doctorate of Occupational Therapy (OTD) Special Program Fee (per year)	11,000	11,000	11,000	11,000	-	11,000
Master of Administration (MA) Special Program Fee	2,500	2,500	-	-	-	-
Master of Science in Nursing Special Program Fee	1,800	1,800	1,800	1,800	-	1,800
Master of Science in Physician Assistant Studies Special Program Fee (per year)	14,000	14,000	14,000	20,000	-	20,000
Master of Science in Clinical Speech-Language Pathology Special Program Fee	2,400	2,400	2,400	2,400	-	2,400
Bachelor in Business Administration Special Program Fee (per year)	580	580	580	700	-	700
Bachelor of Science in Dental Hygiene Special Program Fee (per year)	800	800	800	2,000	-	2,000
Bachelor of Science in Nursing Special Program Fee (per year)	1,200	1,200	1,200	1,200	-	1,200
Bachelor of Science in Nursing Accelerated Option Special Program Fee (per year)	1,600	1,600	1,600	1,600	-	1,600
Bachelor of Science in Nursing - Registered Nurse Option Special Program Fee (per year)	150	150	150	150	-	150
Bachelor of Science in Forestry Program Fee (per year)	400	400	400	400	-	400
Bachelor of Science in Geology Special Program Fee	700	700	700	700	-	700
Bachelor of Science in Hotel Restaurant Management Special Program Fee	580	580	580	700	-	700
Undergrad Engineering /Construction Special Program Fee (per year)	500	500	500	850	-	850
Undergrad Honors Special Program Fee (per year)	200	500	700	700	-	700
Bachelor of Science in Fitness Wellness (per year)			150	150	-	150
Bachelor of Science in Nutrition and Foods (per year)			300	300	-	300
Bachelor of Science in Public Health (per year)			60	60	-	60
GIS Program Fee	750	-	-	-	-	-
Master of Science in Climate Science and Solutions Special Program Fee (per year)	3,000	3,000	3,000	3,000	-	3,000
Master of Science in Athletic Training Special Program Fee - Flagstaff (per year)	2,000	2,000	2,000	2,000	-	2,000
Master of Science in Athletic Training Special Program Fee - Phoenix (per year)	3,000	3,000	3,000	3,000	-	3,000
Master of Public Administration Special Program Fee (per year)	1,500	1,500	1,500	1,500	-	1,500
Master in Global Business Administration Special Program Fee (per year)	6,000	6,000	6,000	6,000	-	6,000
Master of Public Health - Health Promotion (per year)			520	520	-	520
Master of Public Health - Nutrition (per year)			870	870	-	870
Master of Social Work			1,200	1,200	-	1,200
Bachelor of Fine Arts in Visual Communication (per year)				500	-	500
Bachelor of Science in Creative Media and Film (per year)				800	-	800
Master of Science in Engineering and Master of Engineering (per year)				900	-	900
Master of Arts in Clinical Mental Health Counseling (per year)				1,000	-	1,000
Educational Specialist in School Psychology (per year)				1,500	-	1,500
					-	-

ACADEMIC YEAR MANDATORY FEES

Date Prepared: August 2019

**STATE OF ARIZONA
SCHEDULE 1D
STATE COLLECTIONS REVENUE**

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

University: NORTHERN ARIZONA	Actual FY2017	Actual FY2018	Actual FY2019	Budgeted FY2020	INCREASE/ (DECREASE)	Request FY2020
Financial Aid Trust	76	79	82	84	-	84
ASNAU/Green Fee	56	56	56	76	-	76
Information Technology (Per Credit Hour, 12 Credit Maximum)	14	14	14	14	-	14
Student Wellness	500	500	500	550	-	550
Student Activity Fee	50	50	50	50	-	50
Athletic Fee			150	150	-	150

NORTHERN ARIZONA UNIVERSITY

Fiscal Year 2018-2020

Locally Retained Tuition

	REQUESTED ALLOCATION 2018/19	REQUESTED ALLOCATION 2019/20	INCREASE/ (DECREASE)	REQUESTED ALLOCATION 2020/21
DESIGNATED				
American Disabilities Act (ADA) Services	750,000	750,000		750,000
Art Gallery	10,900	10,900		10,900
Child Care	43,900	43,900		43,900
Graduate Assistant Tuition Remission	2,400,000	2,400,000		2,400,000
Peer Mentoring and Retention	502,000	502,000		502,000
Performing Arts (including Music)	90,800	105,800		105,800
Registrar's Office Operations	123,000	-		-
School of Comm Student Radio, Cable & Forensics	27,200	27,200		27,200
Student Activities	254,000	90,400		90,400
Student Financial Aid Operations	337,300	337,300		337,300
Online and Educational Innovation and Partnership Investment	10,610,000	11,578,700	(74,100)	11,504,600
Doctorate of Physical Therapy (DPT) Program Fee (86%)	458,500	458,500		458,500
Physician Assistant (PA) Program Fee (86%)	75,000	75,000		75,000
Occupational Therapy (OT) Program Fee (86%)	45,000	45,000		45,000
Athletic Training (AT) Program Fee (86%)	10,000	10,000		10,000
Engineering Program Expansion	500,000	-		-
Employee Benefit Contingency	50,000	50,000		50,000
Operations: Collections	502,300	502,300		502,300
Sub-Total Designated	16,789,900	16,987,000	(74,100)	16,912,900
AUXILIARY				
Intercollegiate Athletics	1,537,000	-		-
Skydome	207,900	-		-
Sub-Total Auxiliary	1,744,900	-	-	-
TOTAL OPERATING FUNDS	18,534,800	16,987,000	(74,100)	16,912,900
FINANCIAL AID				
Regent's Financial Aid Set-Aside	33,000,000	33,000,000		33,000,000
Set-Aside for Acad Meritorious AZ Residents	15,000	15,000		15,000
Student Financial Aid Match (SSIG, SEOG, and etc.)	318,400	242,500		242,500
Institutional Financial Aid - (formerly tuition waivers)	98,966,600	112,136,400	5,700,000	117,836,400
Doctorate of Physical Therapy (DPT): Scholarship (14%)	189,900	212,100		212,100
Physician Assistant (PA) Scholarship (14%)	196,000	210,700		210,700
Occupational Therapy (OT) Scholarships (14%)	192,500	206,400		206,400
Athletic Training (AT) Scholarships (14%)	16,400	16,000		16,000
Sub-Total Set Aside	132,894,800	146,039,100	5,700,000	151,739,100
Plant Fund/Minor Capital Projects	1,000,000	1,000,000	-	1,000,000
Debt Service	16,000,000	17,000,000	1,900,000	18,900,000
Total Locally Retained	168,429,600	181,026,100	7,525,900	188,552,000

**ADMINISTRATIVE COST MATRIX
NORTHERN ARIZONA UNIVERSITY**

Activity	Administrative Costs	Program Costs	DOA Related Costs (1)
Executive Management			
Affirmative Action Office	X		X
Legal Services	X		X
President's Office	X		
Office of Communication & Media Relations	X		
Vice President for Capital Planning & Campus Operations	X		
Human Resources			
Human Resources	X		X
Information Technology			
Computing Technology Services	X		X
Business and Finance			
Facility Services	X		X
Comptroller's Office & Student/Departmental Acct Office	X		X
Internal Audit	X		X
Postal Services	X		X
Purchasing	X		X
State Insurance		X	
University Budget Office	X		

**ADMINISTRATIVE COST MATRIX
NORTHERN ARIZONA UNIVERSITY**

Activity	Administrative Costs	Program Costs	DOA Related Costs (1)
Other Central Administration			
Development & Alumni Engagement		X	
Diversity		X	
Environmental Health & Safety		X	
NAU Online Administration	X		
General Administration	X		
Government Affairs	X		
Office of Regulatory Compliance		X	
Institutional Research & Analysis	X		
University Central Administration	X		
University Police and Emergency Management	X		X
Utilities	X		X

(1) Activities identified in this column reflect university functions that directly relate to services provided by the Department of Administration to state government. 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.

AGENCY SUMMARY OF ADMINISTRATIVE COSTS ⁽¹⁾
NORTHERN ARIZONA UNIVERSITY

CATEGORY	ACTUAL FY2019	EXPENDITURE PLAN - FY2020 ⁽²⁾	REQUEST FY2021 ⁽²⁾
ADMINISTRATIVE COST FUNCTION:			
Executive Management	2,623,814	2,952,043	2,952,043
Human Resources	-	-	-
Information Technology	-	-	-
Business and Finance	647,099	636,795	636,795
Other Central Administration	2,118,819	1,919,050	1,919,050
TOTAL EXPENDITURES BY ADMINISTRATIVE COST COMPONENT	5,389,733	5,507,888	5,507,888
FUND SOURCE DETAIL			
GENERAL FUND			
OTHER APPROPRIATED FUNDS	5,389,733	5,507,888	5,507,888
TOTAL EXPENDITURES BY FUND	5,389,733	5,507,888	5,507,888
TOTAL UNIVERSITY EXPENDITURE AUTHORITY	273,054,600	273,405,400	305,405,400
ADMINISTRATIVE COST AS A PERCENT OF TOTAL BUDGET	1.97%	2.01%	1.80%
(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.			

ASSUMPTIONS FOR ADMINISTRATIVE COST SUMMARY NORTHERN ARIZONA UNIVERSITY

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.

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.

STATE OF ARIZONA
SUMMARY OF EXPENDITURES AND BUDGET REQUEST FOR FY 2021

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

	Program				UNIVERSITY TOTAL
Expenditure Category	ACTUAL FY 2019	ESTIMATED FY 2020	CONTINUATION REQUEST	STRATEGIC INVESTMENTS	TOTAL REQ FY 2021
FTE POSITIONS *	2,316.50	2,316.50	0.00	150.00	2,466.50
PERSONAL SERVICES	160,266,919	163,416,790	2,800,000	10,835,000	177,051,790
EMPLOYEE RELATED EXP.	51,104,929	49,082,101	950,000	5,133,900	55,166,001
OTHER OPERATING EXPENDITURES					
Professional & Outside Services	13,529,306	10,770,388	-	-	10,770,388
Travel In-State	336,789	514,440	-	225,000	739,440
Travel Out-of-State	453,035	-	-	-	-
Other Operating Expenditures	33,327,530	31,515,061	1,250,000	6,056,100	38,821,161
Library Acquisitions	2,922,836	2,104,611	-	250,000	2,354,611
Capital Expenditures	5,041,856	9,930,609	(5,000,000)	9,500,000	14,430,609
Transfer Out***	3,000,000	3,000,000	-	-	3,000,000
Subtotal Other Operating Expenditures	58,611,352	57,835,109	(3,750,000)	16,031,100	70,116,209
BELOW THE LINE ITEM: NAU-YUMA	3,071,400	3,071,400	-	-	3,071,400
TOTAL APPROPRIATED	273,054,600	273,405,400	-	32,000,000	305,405,400
Collections	158,208,900	153,029,500	(500,000)	-	152,529,500
Summer Sessions and Misc. Collections	1,900,000	2,200,000	500,000	-	2,700,000
Land Grant Endowment	725,000	725,000	-	-	725,000
Misc. Receipts	125,000	200,000	-	-	200,000
Balance Forward	-	-	-	-	-
Total Revenues & Receipts	160,958,900	156,154,500	-	-	156,154,500
TOTAL GENERAL FUND	112,095,700	117,250,900	-	32,000,000	149,250,900
FEDERAL FUNDS	105,341,409	106,395,000	1,064,200	-	107,459,200
OTHER FUNDS (Est.)	331,237,826	374,700,813	(3,799,100)	-	370,901,713
TOTAL NON-APPROPRIATED	436,579,235	481,095,813	(2,734,900)	-	478,360,913
TOTAL PROGRAM	709,633,835	754,501,213	(2,734,900)	32,000,000	783,766,313

* 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.

***Reflects \$3,000,000 Appropriation transferred to TGEN.

**STATE OF ARIZONA
SUMMARY OF EXPENDITURES AND BUDGET REQUEST FY 2021**

<u>NORTHERN ARIZONA UNIVERSITY 0440</u>	PROGRAM				<u>UNIVERSITY TOTAL</u>
FUND: 1421					
EXPENDITURE CATEGORY	ACTUAL FY 2019	ESTIMATED FY 2020	CONTINUATION REQUEST	STRATEGIC INVESTMENTS	TOTAL REQ FY 2021
INSTRUCTION	134,193,923	128,216,083	6,650,000	17,570,000	152,436,083
ORGANIZED RESEARCH	9,054,524	7,736,032	-	-	7,736,032
PUBLIC SERVICE	5,755,213	5,712,394	-	-	5,712,394
ACADEMIC SUPPORT	29,166,147	31,671,171	-	14,430,000	46,101,171
STUDENT SERVICES & ADMIN.	23,243,972	23,055,643	-	-	23,055,643
INSTITUTIONAL SUPPORT	68,569,421	73,942,677	(6,650,000)	-	67,292,677
NAU YUMA	3,071,400	3,071,400	-	-	3,071,400
TOTAL OPERATING BUDGET	273,054,600	273,405,400	-	32,000,000	305,405,400
FTE POSITIONS	2,316.50	2,316.50	0.00	150.00	2,466.50
PERSONAL SERVICES	160,266,919	163,416,790	2,800,000	10,835,000	177,051,790
EMPLOYEE RELATED EXP.	51,104,929	49,082,101	950,000	5,133,900	55,166,001
ALL OTHER OPERATING EXP.	58,611,352	57,835,109	(3,750,000)	16,031,100	70,116,209
SUBTOTAL	269,983,200	270,334,000	-	32,000,000	302,334,000
NAU YUMA	3,071,400	3,071,400	-	-	3,071,400
TOTAL OPERATING BUDGET	273,054,600	273,405,400	-	32,000,000	305,405,400

**Northern Arizona University
FY 2021 Operating Budget Request**

Program	Actual FY19	Estimated FY20	CONTINUATION REQUEST						Subtotal Continuation
			NAU FY20 One Time Appropriation Adjustment	Incorporate FY20 One- Time appropriation into base appropriation					
UNIVERSITY SUMMARY									
FTE	2,316.50	2,316.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Personal Services	162,502.3	165,670.1	(1,200.0)	4,000.0	-	-	-	-	2,800.0
ERE	51,785.9	49,685.1	(450.0)	1,400.0	-	-	-	-	950.0
Operations	58,766.4	58,050.2	(5,000.0)	1,250.0	-	-	-	-	(3,750.0)
Prof & Out. Svc.	13,587.0	10,896.5	-	-	-	-	-	-	-
Travel In-State	347.8	531.6	-	-	-	-	-	-	-
Travel Out-of-State	466.4	-	-	-	-	-	-	-	-
Other Operating	33,381.8	31,556.8	-	1,250.0	-	-	-	-	1,250.0
Capital Expenditures	5,041.9	9,930.7	(5,000.0)	-	-	-	-	-	(5,000.0)
Library Acquisitions	2,941.5	2,134.6	-	-	-	-	-	-	-
Transfer Out	3,000.0	3,000.0	-	-	-	-	-	-	-
Total	273,054.6	273,405.4	(6,650.0)	6,650.0	-	-	-	-	-

Program	Subtotal FY21 Request	STRATEGIC INVESTMENTS						Subtotal Strategic Investments	TOTAL FY21 Request
		New Economy Initiative - Enhancing Arizona's Workforce Competitiveness	New Economy Initiative - NAU Mission Support						
UNIVERSITY SUMMARY									
FTE	2,316.50	90.00	60.00	0.00	0.00	0.00	0.00	150.00	2,466.50
Personal Services	168,470.1	6,475.0	4,360.0	-	-	-	-	10,835.0	179,305.1
ERE	50,635.1	3,074.9	2,059.0	-	-	-	-	5,133.9	55,769.0
Operations	54,300.2	12,450.1	3,581.0	-	-	-	-	16,031.1	70,331.3
Prof & Out. Svc.	10,896.5	-	-	-	-	-	-	-	10,896.5
Travel In-State	531.6	225.0	-	-	-	-	-	225.0	756.6
Travel Out-of-State	-	-	-	-	-	-	-	-	-
Other Operating	32,806.8	2,975.1	3,081.0	-	-	-	-	6,056.1	38,862.9
Capital Expenditures	4,930.7	9,000.0	500.0	-	-	-	-	9,500.0	14,430.7
Library Acquisitions	2,134.6	250.0	-	-	-	-	-	250.0	2,384.6
Transfer Out	3,000.0	-	-	-	-	-	-	-	3,000.0
Total	273,405.4	22,000.0	10,000.0	-	-	-	-	32,000.0	305,405.4

NORTHERN ARIZONA UNIVERSITY Fiscal Year 2021 State Budget Request

	<u>FY 2021 Request</u>
STATE BUDGET REQUEST ITEMS	
<u>Base Funding Request</u>	
New Economy Initiative - Enhancing Arizona's Workforce Competitiveness	22,000,000
New Economy Initiative - NAU Mission Support	10,000,000
Incorporate FY20 One-Time Appropriation Into Base Appropriation	6,650,000
TOTAL STATE OPERATING BASE BUDGET REQUEST	<u>38,650,000</u>
 Adjustment to Appropriation Levels	
Remove FY20 One-Time Appropriation	<u>-6,650,000</u>
 Other Items to report	
Annual Personnel Report Competitive Salary Request	51,643,300
FY 21 Building Renewal Formula	24,472,200

**NORTHERN ARIZONA UNIVERSITY
FY 2021 Strategic Investment**

Initiative **New Economy Initiative - Enhancing Arizona's Workforce Competitiveness**

Budget Program and Dollar Amount Requested:

<u>\$ 11,022,000</u>			<u>\$ 10,978,000</u>			<u>\$ 22,000,000</u>
Instruction	Org Research	Public Service	Acad Support	Student Services	Instit Support	Total

Description of Request

The FY21 State Budget Request from Northern Arizona University is being submitted in to help advance a New Economic Initiative: Enhancing Arizona's Competitiveness. This is based on the accelerating the transformation of the universities into adaptive drivers of economic success for Arizona. This will result in more graduates and graduates in critical high demand areas, incentives for universities to compete aggressively for major, national research grants, continuing the Governor's efforts to expand critical career and technical training, and raising the high school graduation rate and college going rate of Arizonans.

NAU plans to invest in the following to support this overall initiative: 1) Health Care, 2) Statewide Education and Innovation, and 3) Teacher Preparation. For item 1) Health Care, NAU will prepare a robust talent pipeline in high demand filed with an emphasis on healthcare, including mental health and behavioral health, as the largest privat industry in Arizona. NAU will expand opportunities for students to enter high demand fields in increasing numbers by increasing the educational opportunities available in Arizona through a variety of delivery models and at a variety of locations. For Item 2) Statewide Education and Innovation, NAU will expand and support pathway and expedited degree programs that provide students access to high demand degree programs through continued development of partnerships with CTEDS, community colleges and expedited bachelor to masters programs. For Item 3) Technology, NAU will respond to Arizona's growing technology industry and expand NAU's programs in the new School of Informatics, Computing and Cyber Systems.

Effect on University if Delayed or Not Funded

Progress toward meeting Enterprise 2025 goals may be compromised as will the universities' ability to help the state achieve its educational attainment goals and maintain its workforce competitiveness.

Alternatives

Arizona's public universities are committed to succeed as an integral part of Arizona's economic development plan, but without a state investment in funding to support the universities' progress the investment in the Arizona's workforce will not be maximized.

Expenditures by Line Item:

	FY 2021	
	FTE	Amount
FTE.....	90.00	
Personal Services.....		6,475,000
ERE.....		3,074,900
All Other Operating:		
Professional and Outside Services.....		-
Travel In State.....		225,000
Travel Out of State.....		-
Other Operating Expenditures.....		2,975,100
Library Acquisitions.....		250,000
Capital/Equipment.....		9,000,000
Subtotal All Other Operating.....		12,450,100
TOTAL REQUEST	90.00	22,000,000

FTE Position Detail

	FY 2021	
	FTE	Amount
1. Faculty	75.00	5,700,000
2. Clerical	10.00	430,000
3. Support Staff	5.00	345,000
4. Graduate Assistants	0.00	0
5. Student Worker	0.00	0
6. Temporary	0.00	0
Total	90.00	6,475,000

**NORTHERN ARIZONA UNIVERSITY
FY 2021 Strategic Investment**

New Economy Initiative - Enhancing Arizona's Workforce Competitiveness

Instruction Expenditures By Line Item	FY 2021
	Amount
FTE Positions (See Listing on Next Page)	75.00
Personal Services	5,700,000
ERE	2,622,000
PROFESSIONAL AND OUTSIDE SERVICES	-
TRAVEL IN STATE	200,000
TRAVEL OUT OF STATE	-
OTHER OPERATING EXPENDITURES	2,500,000
LIBRARY ACQUISITIONS	-
CAPTIAL/EQUIPMENT	0
TOTAL	11,022,000

NORTHERN ARIZONA UNIVERSITY
FY 2021 Strategic Investment

New Economy Initiative - Enhancing Arizona's Workforce Competitiveness

INSTRUCTION FTE POSITION DETAIL	FY 2021		
	FTE	SALARY PER FTE	PERSONAL SERVICES
1. Faculty	75.00	76,000	5,700,000
2. Clerical	0.00	43,000	-
3. Staff	0.00	69,000	-
4. Graduate Assistants	0.00	15,000	-
5. Student Worker	0.00	-	-
6. Temporary	0.00	-	-
TOTAL	75.00		5,700,000

	ERE Rate	ERE
1. Faculty	46%	2,622,000
2. Clerical	66%	-
3. Staff	49%	-
4. Graduate Assistants	10%	-
5. Student Worker	2%	-
6. Temporary	11%	-
ERE DETAIL		ERE AMOUNT
	Total ERE	2,622,000

FY 2021 Strategic Investment

New Economy Initiative - Enhancing Arizona's Workforce Competitiveness

Academic Support Expenditures By Line Item	FY 2021
	Amount
FTE Positions (See Listing on Next Page)	15.00
Personal Services	775,000
ERE	452,900
PROFESSIONAL AND OUTSIDE SERVICES	-
TRAVEL IN STATE	25,000
TRAVEL OUT OF STATE	-
OTHER OPERATING EXPENDITURES	475,100
LIBRARY ACQUISITIONS	250,000
CAPTIAL/EQUIPMENT	9,000,000
TOTAL	10,978,000

NORTHERN ARIZONA UNIVERSITY
FY 2021 Strategic Investment

New Economy Initiative - Enhancing Arizona's Workforce Competitiveness

ACADEMIC SUPPORT FTE POSITION DETAIL	FTE	FY 2021	
		SALARY PER FTE	PERSONAL SERVICES
1. Faculty	0.00	76,000	-
2. Clerical	10.00	43,000	430,000
3. Staff	5.00	69,000	345,000
4. Graduate Assistants	0.00	15,000	-
5. Student Workers	0.00	-	-
6. Temporary	0.00	-	-
TOTAL	15.00		775,000

	ERE Rate	ERE
1. Faculty	46%	-
2. Clerical	66%	283,800
3. Staff	49%	169,100
4. Graduate Assistants	10%	-
5. Student Workers	2%	-
6. Temporary	11%	-
ERE DETAIL		ERE AMOUNT
	Total ERE	452,900

**NORTHERN ARIZONA UNIVERSITY
FY 2021 Strategic Investment**

Initiative **New Economy Initiative - NAU Mission Support**

Budget Program and Dollar Amount Requested:

<u>\$ 6,548,000</u>			<u>\$ 3,452,000</u>			<u>\$ 10,000,000</u>
Instruction	Org Research	Public Service	Acad Support	Student Services	Instit Support	Total

Description of Request

The FY21 State Budget Request from Northern Arizona University is being submitted in to help advance a New Economy Initiative: Enhancing Arizona's Competitiveness. This is based on the accelerating the transformation of the universities into adaptive drivers of economic success for Arizona. This will result in more graduates and graduates in critical high demand areas, incentives for universities to compete aggressively for major, national research grants, continuing the Governor's efforts to expand critical career and technical training, and raising the high school graduation rate and college going rate of Arizonans.

To further the ability of NAU to meet its mission and contribute to the New Economy, \$10 million will be invested to further NAU's mission as a quality residential undergraduate institution also serving a high number of Arizona students in a variety of locations. NAU has a greater reliance on the state general fund because of more limited access to supplementary revenue streams. This investment would assist NAU in continuing to support student outreach, quality instruction, and student services while increasing access to higher education for a diverse population of students contributing to Arizona's attainment goals.

Effect on University if Delayed or Not Funded

Progress toward meeting Enterprise 2025 goals may be compromised as will the universities' ability to help the state achieve its educational attainment goals and maintain its workforce competitiveness.

Alternatives

Arizona's public universities are committed to succeed as an integral part of Arizona's economic development plan, but without a state investment in funding to support the universities' progress the investment in the Arizona's workforce will not be maximized.

Expenditures by Line Item:

	FY 2021	
	FTE	Amount
FTE.....	60.00	
Personal Services.....		4,360,000
ERE.....		2,059,000
All Other Operating:		
Professional and Outside Services.....		-
Travel In State.....		-
Travel Out of State.....		-
Other Operating Expenditures.....		3,081,000
Library Acquisitions.....		-
Capital/Equipment.....		500,000
Subtotal All Other Operating.....		3,581,000
TOTAL REQUEST	60.00	10,000,000

FTE Position Detail

	FY 2021	
	FTE	Amount
1. Faculty	50.00	5,700,000
2. Clerical	5.00	430,000
3. Support Staff	5.00	345,000
4. Graduate Assistants	0.00	0
5. Student Worker	0.00	0
6. Temporary	0.00	0
Total	60.00	6,475,000

**NORTHERN ARIZONA UNIVERSITY
FY 2021 Strategic Investment**

New Economy Initiative - NAU Mission Support

		FY 2021
Instruction Expenditures By Line Item		Amount
FTE Positions (See Listing on Next Page)		50.00
Personal Services		3,800,000
ERE		1,748,000
PROFESSIONAL AND OUTSIDE SERVICES		-
TRAVEL IN STATE		-
TRAVEL OUT OF STATE		-
OTHER OPERATING EXPENDITURES		1,000,000
LIBRARY ACQUISITIONS		-
CAPTIAL/EQUIPMENT		0
TOTAL		6,548,000

**NORTHERN ARIZONA UNIVERSITY
FY 2021 Strategic Investment**

New Economy Initiative - NAU Mission Support

INSTRUCTION FTE POSITION DETAIL	FY 2021		
	FTE	SALARY PER FTE	PERSONAL SERVICES
1. Faculty	50.00	76,000	3,800,000
2. Clerical	0.00	43,000	-
3. Staff	0.00	69,000	-
4. Graduate Assistants	0.00	15,000	-
5. Student Worker	0.00	-	-
6. Temporary	0.00	-	-
TOTAL	50.00		3,800,000

	ERE Rate	ERE
1. Faculty	46%	1,748,000
2. Clerical	66%	-
3. Staff	49%	-
4. Graduate Assistants	10%	-
5. Student Worker	2%	-
6. Temporary	11%	-
ERE DETAIL		ERE AMOUNT
	Total ERE	1,748,000

**NORTHERN ARIZONA UNIVERSITY
FY 2021 Strategic Investment**

New Economy Initiative - NAU Mission Support

		FY 2021
Academic Support Expenditures By Line Item		Amount
FTE Positions (See Listing on Next Page)		10.00
Personal Services		560,000
ERE		311,000
PROFESSIONAL AND OUTSIDE SERVICES		-
TRAVEL IN STATE		-
TRAVEL OUT OF STATE		-
OTHER OPERATING EXPENDITURES		2,081,000
LIBRARY ACQUISITIONS		-
CAPTIAL/EQUIPMENT		500,000
TOTAL		3,452,000

NORTHERN ARIZONA UNIVERSITY
FY 2021 Strategic Investment
New Economy Initiative - NAU Mission Support

ACADEMIC SUPPORT FTE POSITION DETAIL	FY 2021		
	FTE	SALARY PER FTE	PERSONAL SERVICES
1. Faculty	0.00	76,000	-
2. Clerical	5.00	43,000	215,000
3. Staff	5.00	69,000	345,000
4. Graduate Assistants	0.00	15,000	-
5. Student Workers	0.00	-	-
6. Temporary	0.00	-	-
TOTAL	10.00		560,000

	ERE Rate	ERE
1. Faculty	46%	-
2. Clerical	66%	141,900
3. Staff	49%	169,100
4. Graduate Assistants	10%	-
5. Student Workers	2%	-
6. Temporary	11%	-
ERE DETAIL		ERE AMOUNT
Total ERE		311,000

**NORTHERN ARIZONA UNIVERSITY
FY 2021 Strategic Investment**

Initiative Incorporate FY20 One-Time Appropriation Into Base Appropriation

Budget Program and Dollar Amount Requested:

\$ 6,650,000	\$ -		\$ -		\$ -	\$ 6,650,000
Instruction	Org Research	Public Service	Acad Support	Student Services	Instit Support	Total

Description of Request

The FY21 State Budget Request from Northern Arizona University is being submitted in to help advance a New Economy Initiative: Enhancing Arizona's Competitiveness. This is based on the accelerating the transformation of the universities into adaptive drivers of economic success for Arizona. This will result in more graduates and graduates in critical high demand areas, incentives for universities to compete aggressively for major, national research grants, continuing the Governor's efforts to expand critical career and technical training, and raising the high school graduation rate and college going rate of Arizonans.

This portion of NAU's budget request for 2021 is based on incorporating NAU's one-time FY20 appropriation of \$6,650,000 into the FY21 base appropriation. Incorporating this funding into the base appropriation would enable NAU to make investments in support of faculty and staff retention and recruitment, facility maintenance and other operational support which are all recurring expenditures.

Effect on University if Delayed or Not Funded

Progress toward meeting Enterprise 2025 goals may be compromised as will the universities' ability to help the state achieve its educational attainment goals and maintain its workforce competitiveness.

Alternatives

Arizona's public universities are committed to succeed as an integral part of Arizona's economic development plan, but without a state investment in funding to support the universities' progress the investment in the Arizona's workforce will not be maximized.

Expenditures by Line Item:

	FY 2021	
	FTE	Amount
FTE.....	0.00	
Personal Services.....		4,000,000
ERE.....		1,400,000
All Other Operating:		
Professional and Outside Services.....		-
Travel In State.....		-
Travel Out of State.....		-
Other Operating Expenditures.....		1,250,000
Library Acquisitions.....		-
Capital/Equipment.....		-
Subtotal All Other Operating.....		1,250,000
TOTAL REQUEST	0.00	6,650,000

FTE Position Detail

	FY 2021	
	FTE	Amount
1. Faculty	0.00	0
2. Clerical	0.00	0
3. Support Staff	0.00	0
4. Graduate Assistants	0.00	0
5. Student Worker	0.00	0
6. Temporary	0.00	0
Total	0.00	0

**NORTHERN ARIZONA UNIVERSITY
FY 2021 Strategic Investment**

Incorporate FY20 One-Time Appropriation Into Base Appropriation

Instruction Expenditures By Line Item	FY 2021 Amount
FTE Positions (See Listing on Next Page)	0.00
Personal Services	4,000,000
ERE	1,400,000
PROFESSIONAL AND OUTSIDE SERVICES	-
TRAVEL IN STATE	-
TRAVEL OUT OF STATE	-
OTHER OPERATING EXPENDITURES	1,250,000
LIBRARY ACQUISITIONS	-
CAPTIAL/EQUIPMENT	0
TOTAL	6,650,000

NORTHERN ARIZONA UNIVERSITY
FY 2021 Strategic Investment

Initiative Adjustment of FY20 One-Time Appropriation

Budget Program and Dollar Amount Requested:

	\$ -	\$ -			\$ (6,650,000)	\$ (6,650,000)
Instruction	Org Research	Public Service	Acad Support	Student Services	Instit Support	Total

Description of Request

The FY21 State Budget Request from Northern Arizona University is being submitted in to help advance a New Economy Initiative: Enhancing Arizona's Competitiveness. This is based on the accelerating the transformation of the universities into adaptive drivers of economic success for Arizona. This will result in more graduates and graduates in critical high demand areas, incentives for universities to compete aggressively for major, national research grants, continuing the Governor's efforts to expand critical career and technical training, and raising the high school graduation rate and college going rate of Arizonans.

FY21 represents the removal of the FY20 one-time appropriation of \$6.65 million to NAU.

Effect on University if Delayed or Not Funded

Progress toward meeting Enterprise 2025 goals may be compromised as will the universities' ability to help the state achieve its educational attainment goals and maintain its workforce competitiveness.

Alternatives

Arizona's public universities are committed to succeed as an integral part of Arizona's economic development plan, but without a state investment in university facilities there will be significant negative consequences on the universities' ability to address state needs.

Expenditures by Line Item:

	FY 2021	
	FTE	Amount
FTE.....	0.00	
Personal Services.....		(1,200,000)
ERE.....		(450,000)
All Other Operating:		
Professional and Outside Services.....		-
Travel In State.....		-
Travel Out of State.....		-
Other Operating Expenditures.....		-
Library Acquisitions.....		-
Capital/Equipment.....		(5,000,000)
Subtotal All Other Operating.....		-5,000,000
TOTAL REQUEST	0.00	-6,650,000

FTE Position Detail

	FY 2021	
	FTE	Amount
1. Faculty	0.00	0
2. Clerical	0.00	0
3. Support Staff	0.00	0
4. Graduate Assistants	0.00	0
5. Student Worker	0.00	0
6. Temporary	0.00	0
Total	0.00	0

**NORTHERN ARIZONA UNIVERSITY
HEALTH, DENTAL AND LIFE INSURANCE COSTS**

		Number Enrolled		Monthly Premium		FY 20		FY 20 Annual NAU	
		(State Funds)	7-1-19 to 12-31-19	(State Funds)	1-1-20 to 6-30-20	Annual Premium		Portion of Premium Per Enrollee	
HEALTH INSURANCE:									
Employee Only	BLUE CROSS/ BLUE SHIELD	666	647.47	666	647.47	5,174,580			
	AETNA HDHP	50	394.06	50	394.06	236,436			
	AETNA EPO	2	582.62	2	582.62	13,983			
	AETNA PPO	3	592.15	3	592.15	21,317			
	BCBSAZ EPO	26	582.62	26	582.62	181,777			
	BCBSAZ PPO	16	592.15	16	592.15	113,693			
	CIGNA EPO	4	582.62	4	582.62	27,966			
	UNITED HEALTHCARE EPO	13	582.62	13	582.62	90,889			
	UNITED HEALTHCARE PPO	2	592.15	2	592.15	14,212			
	Subtotal	782		782		\$ 5,874,853			
	Annual Premium per Enrollee					\$ 7,512.60		\$	7,512.60
Employee + One Adult	BLUE CROSS/ BLUE SHIELD	320	1,302.83	320	1,302.83	5,002,867			
	AETNA HDHP	17	816.72	17	816.72	166,611			
	AETNA EPO	2	1,197.01	2	1,197.01	28,728			
	AETNA PPO	1	1,252.09	1	1,252.09	15,025			
	BCBSAZ EPO	8	1,197.01	8	1,197.01	114,913			
	BCBSAZ PPO	4	1,252.09	4	1,252.09	60,100			
	UNITED HEALTHCARE EPO	3	1,197.01	3	1,197.01	43,092			
	UNITED HEALTHCARE PPO	1	1,252.09	1	1,252.09	15,025			
	Subtotal	356		356		\$ 5,446,362			
	Annual Premium per Enrollee					\$ 15,298.77		\$	15,298.77
Employee + One Child	BLUE CROSS/ BLUE SHIELD	133	930.60	133	930.60	1,485,238			
	AETNA EPO	2	777.53	2	777.53	18,661			
	AETNA HDHP	5	533.89	5	533.89	32,033			
	BCBSAZ EPO	4	777.53	4	777.53	37,321			
	BCBSAZ PPO	1	837.91	1	837.91	10,055			
	CIGNA EPO	3	777.53	3	777.53	27,991			
	UNITED HEALTHCARE EPO	-	777.53	-	777.53	-			
	Subtotal	148		148		\$ 1,611,299			
	Annual Premium per Enrollee					\$ 10,887.16		\$	10,887.16
Family	BLUE CROSS/ BLUE SHIELD	518	1,625.68	518	1,625.68	10,105,227			
	AETNA EPO	2	1,311.41	2	1,311.41	31,474			
	AETNA PPO	-	1,460.78	-	1,460.78	-			
	AETNA HDHP	58	909.94	58	909.94	633,318			
	BCBSAZ EPO	33	1,311.41	33	1,311.41	519,318			
	BCBSAZ PPO	36	1,460.78	36	1,460.78	631,057			
	CIGNA EPO	4	1,311.41	4	1,311.41	62,948			
	UNITED HEALTHCARE EPO	4	1,311.41	4	1,311.41	62,948			
	UNITED HEALTHCARE PPO	6	1,460.78	6	1,460.78	105,176			
	Subtotal	661		661		\$ 12,151,466			
	Annual Premium per Enrollee					\$ 18,383.46		\$	18,383.46
DENTAL INSURANCE:									
Employee Only	DELTA DENTAL	775	4.96	775	4.96	46,128			
	Subtotal	775		775		\$ 46,128			
	Annual Premium per Enrollee					\$ 59.52		\$	59.52
Employee + One Dependent	DELTA DENTAL	492	9.92	492	9.92	58,568			
	Subtotal	492		492		\$ 58,568			
	Annual Premium per Enrollee					\$ 119.04		\$	119.04
Family	DELTA DENTAL	608	13.70	608	13.70	99,955			
	Subtotal	608		608		\$ 99,955			
	Annual Premium per Enrollee					\$ 164.40		\$	164.40
							Annual Premium		
					Number Enrolled	per Enrollee	Annual Amount		
HEALTH INSURANCE:					782	7,512.60	\$	5,874,900	
Employee Only					782	7,512.60	\$	5,874,900	
Employee + One Adult					356	15,298.77	\$	5,446,400	
Employee + One Child					148	10,887.16	\$	1,611,300	
Family					661	18,383.46	\$	12,151,500	
DENTAL INSURANCE:									
Employee Only					775	59.52	\$	46,100	
Employee + One Dependent					492	119.04	\$	58,600	
Family					608	164.40	\$	100,000	
LIFE					2,084	18.00	\$	37,500	
TOTAL HEALTH, DENTAL, & LIFE INSURANCE								\$	25,326,300
DIVIDED BY TOTAL FY2019 BENEFIT ELIGIBLE EMPLOYEE HEADCOUNT									2,084
AVERAGE HEALTH, DENTAL, & LIFE INSURANCE PREMIUM ADJUSTED HEADCOUNT									\$ 12,153
Workers Comp Rate 0.37% Unemployment Rate 0.15%									

NORTHERN ARIZONA UNIVERSITY

Northern Arizona University including Yuma					
FY 2019 Retirement System/Plan Expense					
	State Funds			Non-appropriated Funds	
	FTE	General Fund	Collections Fund	FTE	Expense
Arizona State Retirement System	1,132.33	2,815,151	5,024,083	1,027.42	5,995,738
University Optional Retirement Plan	803.76	2,625,621	2,188,041	263.21	1,709,658
Public Safety Personnel Retirement System	16.00	-	885,394	-	-
FY 2020 Retirement System/Plan Personal Services					
Arizona State Retirement System	1,193.00	29,288,285	46,263,587	1,011.30	51,971,903
University Optional Retirement Plan	764.21	36,615,185	30,524,482	260.48	19,023,595
Public Safety Personnel Retirement System	16.00	-	1,152,536	-	-
	FTE	State Funds			
FTE and Personal Services Exceeding the FICA Max	99.36	3,865,093			
FTE Positions Not Eligible for Health, Dental & Life	-	14,070,612			

Northern Arizona University - Yuma Only					
FY 2019 Retirement System/Plan Expense					
	State Funds			Non-appropriated Funds	
	FTE	General Fund	Collections Fund	FTE	Expense
Arizona State Retirement System	18.32	174,933		0.50	5,482
University Optional Retirement Plan	5.70	36,527		1.90	12,870
Public Safety Personnel Retirement System	-	-		-	-
FY 2020 Retirement System/Plan Personal Services					
Arizona State Retirement System	19.30	1,456,766		0.50	47,014
University Optional Retirement Plan	5.70	491,704		1.30	106,943
Public Safety Personnel Retirement System	-	-		-	-
	FTE	State Funds			
FTE and Personal Services Exceeding the FICA Max	2.00	48,924			
FTE Positions Not Eligible for Health, Dental & Life	-	229,600			

STATE OF ARIZONA
SUMMARY OF EXPENDITURES AND BUDGET REQUEST FOR FY 2021

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

Program

INSTRUCTION 4530

Expenditure Category	ACTUAL FY 2019	ESTIMATED FY 2020	CONTINUATION REQUEST	STRATEGIC INVESTMENTS	TOTAL REQ FY 2021
FTE POSITIONS	1,359.90	1,359.50	0.00	125.00	1,484.50
PERSONAL SERVICES	97,290,895	93,498,741	4,000,000	9,500,000	106,998,741
EMPLOYEE RELATED EXP.	29,663,476	29,351,974	1,400,000	4,370,000	35,121,974
OTHER OPERATING EXPENDITURES					
Professional & Outside Services	4,946,306	3,156,270	-	-	3,156,270
Travel In-State	108,426	97,588	-	200,000	297,588
Travel Out-of-State	135,742	-	-	-	-
Other Operating Expenditures	1,989,645	1,943,758	1,250,000	3,500,000	6,693,758
Library Acquisitions	-	-	-	-	-
Capital Expenditures	59,433	167,752	-	-	167,752
Transfer Out	-	-	-	-	-
Subtotal Other Operating Expenditures	7,239,552	5,365,368	1,250,000	3,700,000	10,315,368
TOTAL APPROPRIATED	134,193,923	128,216,083	6,650,000	17,570,000	152,436,083
Collections	41,539,933	36,037,142	(500,000)		35,537,142
Summer Sessions and Misc. Collections	1,900,000	2,200,000	500,000		2,700,000
Land Grant Endowment	725,000	725,000	-		725,000
Misc. Receipts	125,000	200,000	-		200,000
Balance Forward	-	-			-
Total Revenues & Receipts	44,289,933	39,162,142	-	-	39,162,142
TOTAL GENERAL FUND	89,903,990	89,053,941	6,650,000	17,570,000	113,273,941
FEDERAL FUNDS	1,993,925	2,013,900	20,300	-	2,034,200
OTHER FUNDS (Est.)	51,585,542	47,133,613	(56,830)	-	47,076,783
TOTAL NON-APPROPRIATED	53,579,467	49,147,513	(36,530)	-	49,110,983
TOTAL PROGRAM	187,773,390	177,363,596	6,613,470	17,570,000	201,547,066

* Figures exclude FTE and dollars for NAU Yuma which is reported separately.

Northern Arizona University
FY 2021 Operating Budget Request

Program	Actual FY19	Estimated FY20	CONTINUATION REQUEST						
			NAU FY20 One Time Appropriation Adjustment	Incorporate FY20 One- Time appropriation into base appropriation					Subtotal Continuation
INSTRUCTION									
FTE	1,359.90	1,359.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Personal Services	97,290.9	93,498.7		4,000.0					4,000.0
ERE	29,663.5	29,352.0		1,400.0					1,400.0
Operations	7,239.5	5,365.5	-	1,250.0	-	-	-	-	1,250.0
Prof & Out. Svc.	4,946.2	3,156.3							-
Travel In-State	108.4	97.6							-
Travel Out-of-State	135.8	-							-
Other Operating	1,989.7	1,943.8		1,250.0					1,250.0
Capital Expenditures	59.4	167.8							-
Library Acquisitions	-	-							-
Transfer Out	-	-							-
Total	134,193.9	128,216.2	-	6,650.0	-	-	-	-	6,650.0

Program	Subtotal FY21 Request	STRATEGIC INVESTMENTS							TOTAL FY21 Request
		New Economy Initiative - Enhancing Arizona's Workforce Competitiveness	New Economy Initiative - NAU Mission Support					Subtotal Strategic Investments	
INSTRUCTION									
FTE	1,359.50	75.00	50.00	0.00	0.00	0.00	0.00	125.00	1,484.50
Personal Services	97,498.7	5,700.0	3,800.0					9,500.0	106,998.7
ERE	30,752.0	2,622.0	1,748.0					4,370.0	35,122.0
Operations	6,615.5	2,700.0	1,000.0	-	-	-	-	3,700.0	10,315.5
Prof & Out. Svc.	3,156.3							-	3,156.3
Travel In-State	97.6	200.0						200.0	297.6
Travel Out-of-State	-							-	-
Other Operating	3,193.8	2,500.0	1,000.0					3,500.0	6,693.8
Capital Expenditures	167.8							-	167.8
Library Acquisitions	-							-	-
Transfer Out	-							-	-
Total	134,866.2	11,022.0	6,548.0	-	-	-	-	17,570.0	152,436.2

STATE OF ARIZONA
SUMMARY OF EXPENDITURES AND BUDGET REQUEST FOR FY 2021

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

Program

ORGANIZED RESEARCH 4531

Expenditure Category	ACTUAL FY 2019	ESTIMATED FY 2020	CONTINUATION REQUEST	STRATEGIC INVESTMENTS	TOTAL REQ FY 2021
FTE POSITIONS	27.10	27.70	0.00	0.00	27.70
PERSONAL SERVICES	4,913,010	3,574,704	-	-	3,574,704
EMPLOYEE RELATED EXP.	905,176	1,011,223	-	-	1,011,223
OTHER OPERATING EXPENDITURES					
Professional & Outside Services	46,376	11,000	-	-	11,000
Travel In-State	8,704	25,000	-	-	25,000
Travel Out-of-State	14,641	-	-	-	-
Other Operating Expenditures	166,617	97,148	-	-	97,148
Library Acquisitions	-	-	-	-	-
Capital Expenditures	-	16,957	-	-	16,957
Transfer Out**	3,000,000	3,000,000	-	-	3,000,000
Subtotal Other Operating Expenditures	3,236,338	3,150,105	-	-	3,150,105
TOTAL APPROPRIATED	9,054,524	7,736,032	-	-	7,736,032
Collections	6,054,524	4,736,032			4,736,032
Summer Sessions and Misc. Collections					-
Land Grant Endowment					-
Misc. Receipts					-
Balance Forward					-
Total Revenues & Receipts	6,054,524	4,736,032	-	-	4,736,032
TOTAL GENERAL FUND	3,000,000	3,000,000	-	-	3,000,000
FEDERAL FUNDS	35,382,706	35,736,600	357,400	-	36,094,000
OTHER FUNDS (Est.)	12,104,965	14,100,660	838,305	-	14,938,965
TOTAL NON-APPROPRIATED	47,487,671	49,837,260	1,195,705	-	51,032,965
TOTAL PROGRAM	56,542,195	57,573,292	1,195,705	-	58,768,997

* Figures exclude FTE and dollars for NAU Yuma which is reported separately.

**Reflects \$3,000,000 Appropriation transferred to TGEN.

Northern Arizona University
FY 2021 Operating Budget Request

Program	Actual FY19	Estimated FY20	CONTINUATION REQUEST						Subtotal Continuation
			NAU FY20 One Time Appropriation Adjustment	Incorporate FY20 One- Time appropriation into base appropriation					
ORGANIZED RESEARCH									
FTE	27.10	27.70	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Personal Services	4,913.0	3,574.7							-
ERE	905.2	1,011.2							-
Operations	3,236.3	3,150.1	-	-	-	-	-	-	-
Prof & Out. Svc.	46.4	11.0							-
Travel In-State	8.7	25.0							-
Travel Out-of-State	14.6	-							-
Other Operating	166.6	97.1							-
Capital Expenditures	-	17.0							-
Library Acquisitions	-	-							-
Transfer Out	3,000.0	3,000.0	-	-	-	-	-	-	-
Total	9,054.5	7,736.0	-	-	-	-	-	-	-

Program	Subtotal FY21 Request	STRATEGIC INVESTMENTS							TOTAL FY21 Request
		New Economy Initiative - Enhancing Arizona's Workforce Competitiveness	New Economy Initiative - NAU Mission Support					Subtotal Strategic Investments	
ORGANIZED RESEARCH									
FTE	27.70	0.00	0.00	0.00	0.00	0.00	0.00	0.00	27.70
Personal Services	3,574.7							-	3,574.7
ERE	1,011.2							-	1,011.2
Operations	3,150.1	-	-	-	-	-	-	-	3,150.1
Prof & Out. Svc.	11.0							-	11.0
Travel In-State	25.0							-	25.0
Travel Out-of-State	-							-	-
Other Operating	97.1							-	97.1
Capital Expenditures	17.0							-	17.0
Library Acquisitions	-							-	-
Transfer Out	3,000.0							-	3,000.0
Total	7,736.0	-	-	-	-	-	-	-	7,736.0

STATE OF ARIZONA
SUMMARY OF EXPENDITURES AND BUDGET REQUEST FOR FY 2021

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

Program

PUBLIC SERVICE 4532

Expenditure Category	ACTUAL FY 2019	ESTIMATED FY 2020	CONTINUATION REQUEST	STRATEGIC INVESTMENTS	TOTAL REQ FY 2021
FTE POSITIONS	31.20	30.10	0.00	0.00	30.10
PERSONAL SERVICES	2,251,539	2,246,104	-	-	2,246,104
EMPLOYEE RELATED EXP.	778,691	692,194	-	-	692,194
OTHER OPERATING EXPENDITURES					
Professional & Outside Services	2,043,295	2,514,148	-	-	2,514,148
Travel In-State	76,821	23,500	-	-	23,500
Travel Out-of-State	60,695	-	-	-	-
Other Operating Expenditures	521,332	211,448	-	-	211,448
Library Acquisitions	-	-	-	-	-
Capital Expenditures	22,840	25,000	-	-	25,000
Transfer Out	-	-	-	-	-
Subtotal Other Operating Expenditures	2,724,983	2,774,096	-	-	2,774,096
TOTAL APPROPRIATED	5,755,213	5,712,394	-	-	5,712,394
Collections	2,963,513	2,686,172			2,686,172
Summer Sessions and Misc. Collections					-
Land Grant Endowment					-
Misc. Receipts					-
Balance Forward					-
Total Revenues & Receipts	2,963,513	2,686,172	-	-	2,686,172
TOTAL GENERAL FUND	2,791,700	3,026,222	-	-	3,026,222
FEDERAL FUNDS	17,844,235	18,022,700	180,300	-	18,203,000
OTHER FUNDS (Est.)	12,070,522	12,516,203	252,062	-	12,768,265
TOTAL NON-APPROPRIATED	29,914,757	30,538,903	432,362	-	30,971,265
TOTAL PROGRAM	35,669,970	36,251,297	432,362	-	36,683,659

* Figures exclude FTE and dollars for NAU Yuma which is reported separately.

Northern Arizona University
FY 2021 Operating Budget Request

Program	Actual FY19	Estimated FY20	CONTINUATION REQUEST						
			NAU FY20 One Time Appropriation Adjustment	Incorporate FY20 One-Time appropriation into base appropriation					Subtotal Continuation
PUBLIC SERVICE									
FTE	31.20	30.10	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Personal Services	2,251.6	2,246.1							-
ERE	778.7	692.2							-
Operations	2,724.9	2,774.1	-	-	-	-	-	-	-
Prof & Out. Svc.	2,043.3	2,514.1							-
Travel In-State	76.8	23.5							-
Travel Out-of-State	60.7	-							-
Other Operating	521.3	211.5	-						-
Capital Expenditures	22.8	25.0							-
Library Acquisitions	-	-							-
Transfer Out	-	-							-
Total	5,755.2	5,712.4	-	-	-	-	-	-	-

Program	Subtotal FY21 Request	STRATEGIC INVESTMENTS							TOTAL FY21 Request
		New Economy Initiative - Enhancing Arizona's Workforce Competitiveness	New Economy Initiative - NAU Mission Support					Subtotal Strategic Investments	
PUBLIC SERVICE									
FTE	30.10	0.00	0.00	0.00	0.00	0.00	0.00	0.00	30.10
Personal Services	2,246.1							-	2,246.1
ERE	692.2							-	692.2
Operations	2,774.1	-	-	-	-	-	-	-	2,774.1
Prof & Out. Svc.	2,514.1							-	2,514.1
Travel In-State	23.5							-	23.5
Travel Out-of-State	-							-	-
Other Operating	211.5							-	211.5
Capital Expenditures	25.0							-	25.0
Library Acquisitions	-							-	-
Transfer Out	-							-	-
Total	5,712.4	-	-	-	-	-	-	-	5,712.4

STATE OF ARIZONA
SUMMARY OF EXPENDITURES AND BUDGET REQUEST FOR FY 2021

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

Program

ACADEMIC SUPPORT 4533

Expenditure Category	ACTUAL FY 2019	ESTIMATED FY 2020	CONTINUATION REQUEST	STRATEGIC INVESTMENTS	TOTAL REQ FY 2021
FTE POSITIONS	291.10	307.80	0.00	25.00	332.80
PERSONAL SERVICES	17,985,082	21,922,738	-	1,335,000	23,257,738
EMPLOYEE RELATED EXP.	5,917,146	6,141,593	-	763,900	6,905,493
OTHER OPERATING EXPENDITURES					
Professional & Outside Services	1,011,687	440,591	-	-	440,591
Travel In-State	52,115	183,225	-	25,000	208,225
Travel Out-of-State	172,292	-	-	-	-
Other Operating Expenditures	1,111,528	878,413	-	2,556,100	3,434,513
Library Acquisitions	2,835,572	2,104,611	-	250,000	2,354,611
Capital Expenditures	80,725	-	-	9,500,000	9,500,000
Transfer Out	-	-	-	-	-
Subtotal Other Operating Expenditures	5,263,919	3,606,840	-	12,331,100	15,937,940
TOTAL APPROPRIATED	29,166,147	31,671,171	-	14,430,000	46,101,171
Collections	29,165,682	31,671,171			31,671,171
Summer Sessions and Misc. Collections					-
Land Grant Endowment					-
Misc. Receipts					-
Balance Forward					-
Total Revenues & Receipts	29,165,682	31,671,171	-	-	31,671,171
TOTAL GENERAL FUND	465	-	-	14,430,000	14,430,000
FEDERAL FUNDS	-	-	-	-	-
OTHER FUNDS (Est.)	3,268,929	3,183,724	(272,794)	-	2,910,930
TOTAL NON-APPROPRIATED	3,268,929	3,183,724	(272,794)	-	2,910,930
TOTAL PROGRAM	32,435,076	34,854,895	(272,794)	14,430,000	49,012,101

* Figures exclude FTE and dollars for NAU Yuma which is reported separately.

Northern Arizona University
FY 2021 Operating Budget Request

Program	Actual FY19	Estimated FY20	CONTINUATION REQUEST						Subtotal Continuation
			NAU FY20 One Time Appropriation Adjustment	Incorporate FY20 One- Time appropriation into base appropriation					
ACADEMIC SUPPORT									
FTE	291.10	307.80	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Personal Services	17,985.1	21,922.7							-
ERE	5,917.1	6,141.6							-
Operations	5,264.0	3,606.8	-	-	-	-	-	-	-
Prof & Out. Svc.	1,011.7	440.6							-
Travel In-State	52.1	183.2							-
Travel Out-of-State	172.3	-							-
Other Operating	1,111.5	878.4							-
Capital Expenditures	80.8	-							-
Library Acquisitions	2,835.6	2,104.6							-
Transfer Out	-	-							-
Total	29,166.2	31,671.1	-	-	-	-	-	-	-

Program	Subtotal FY21 Request	STRATEGIC INVESTMENTS						Subtotal Strategic Investments	TOTAL FY21 Request
		New Economy Initiative - Enhancing Arizona's Workforce Competitiveness	New Economy Initiative - NAU Mission Support						
ACADEMIC SUPPORT									
FTE	307.80	15.00	10.00	0.00	0.00	0.00	0.00	25.00	332.80
Personal Services	21,922.7	775.0	560.0					1,335.0	23,257.7
ERE	6,141.6	452.9	311.0					763.9	6,905.5
Operations	3,606.8	9,750.1	2,581.0	-	-	-	-	12,331.1	15,937.9
Prof & Out. Svc.	440.6							-	440.6
Travel In-State	183.2	25.0						25.0	208.2
Travel Out-of-State	-							-	-
Other Operating	878.4	475.1	2,081.0					2,556.1	3,434.5
Capital Expenditures	-	9,000.0	500.0					9,500.0	9,500.0
Library Acquisitions	2,104.6	250.0						250.0	2,354.6
Transfer Out	-								-
Total	31,671.1	10,978.0	3,452.0	-	-	-	-	14,430.0	46,101.1

STATE OF ARIZONA
SUMMARY OF EXPENDITURES AND BUDGET REQUEST FOR FY 2021

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

Program

STUDENT SERVICES 4534

Expenditure Category	ACTUAL FY 2019	ESTIMATED FY 2020	CONTINUATION REQUEST	STRATEGIC INVESTMENTS	TOTAL REQ FY 2021
FTE POSITIONS	249.10	237.70	0.00	0.00	237.70
PERSONAL SERVICES	14,174,194	14,922,280	-	-	14,922,280
EMPLOYEE RELATED EXP.	4,957,895	4,168,611	-	-	4,168,611
OTHER OPERATING EXPENDITURES					
Professional & Outside Services	722,103	540,873	-	-	540,873
Travel In-State	32,768	87,355	-	-	87,355
Travel Out-of-State	25,353	-	-	-	-
Other Operating Expenditures	3,331,659	3,336,524	-	-	3,336,524
Library Acquisitions	-	-	-	-	-
Capital Expenditures	-	-	-	-	-
Transfer Out	-	-	-	-	-
Subtotal Other Operating Expenditures	4,111,883	3,964,752	-	-	3,964,752
TOTAL APPROPRIATED	<u>23,243,972</u>	<u>23,055,643</u>	<u>-</u>	<u>-</u>	<u>23,055,643</u>
Collections	21,917,972	21,729,643			21,729,643
Summer Sessions and Misc. Collections					-
Land Grant Endowment					-
Misc. Receipts					-
Balance Forward					-
Total Revenues & Receipts	21,917,972	21,729,643	-	-	21,729,643
TOTAL GENERAL FUND	<u>1,326,000</u>	<u>1,326,000</u>	<u>-</u>	<u>-</u>	<u>1,326,000</u>
FEDERAL FUNDS	50,120,543	50,621,800	506,200	-	51,128,000
OTHER FUNDS (Est.)	85,084,559	109,955,440	1,095,529	-	111,050,969
TOTAL NON-APPROPRIATED	135,205,102	160,577,240	1,601,729	-	162,178,969
TOTAL PROGRAM	<u>158,449,074</u>	<u>183,632,883</u>	<u>1,601,729</u>	<u>-</u>	<u>185,234,612</u>

* Figures exclude FTE and dollars for NAU Yuma which is reported separately.

** Student Support Includes scholarships and fellowships

Northern Arizona University
FY 2021 Operating Budget Request

Program	Actual FY19	Estimated FY20	CONTINUATION REQUEST						
			NAU FY20 One Time Appropriation Adjustment	Incorporate FY20 One- Time appropriation into base appropriation					Subtotal Continuation
STUDENT SERVICES									
FTE	249.10	237.70	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Personal Services	14,174.2	14,922.3							-
ERE	4,957.9	4,168.6							-
Operations	4,111.9	3,964.7	-	-	-	-	-	-	-
Prof & Out. Svc.	722.1	540.9							-
Travel In-State	32.8	87.3							-
Travel Out-of-State	25.4	-							-
Other Operating	3,331.6	3,336.5							-
Capital Expenditures	-	-							-
Library Acquisitions	-	-							-
Transfer Out	-	-							-
Total	23,244.0	23,055.6	-	-	-	-	-	-	-

Program	Subtotal FY21 Request	STRATEGIC INVESTMENTS							TOTAL FY21 Request
		New Economy Initiative - Enhancing Arizona's Workforce Competitiveness	New Economy Initiative - NAU Mission Support					Subtotal Strategic Investments	
STUDENT SERVICES									
FTE	237.70	0.00	0.00	0.00	0.00	0.00	0.00	0.00	237.70
Personal Services	14,922.3							-	14,922.3
ERE	4,168.6							-	4,168.6
Operations	3,964.7	-	-	-	-	-	-	-	3,964.7
Prof & Out. Svc.	540.9							-	540.9
Travel In-State	87.3							-	87.3
Travel Out-of-State	-							-	-
Other Operating	3,336.5							-	3,336.5
Capital Expenditures	-							-	-
Library Acquisitions	-							-	-
Transfer Out	-							-	-
Total	23,055.6	-	-	-	-	-	-	-	23,055.6

**STATE OF ARIZONA
SUMMARY OF EXPENDITURES AND BUDGET REQUEST FOR FY 2021**

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

Program

INSTITUTIONAL SPT 4535

Expenditure Category	ACTUAL FY 2019	ESTIMATED FY 2020	CONTINUATION REQUEST	STRATEGIC INVESTMENTS	TOTAL REQ FY 2021
FTE POSITIONS	332.20	327.80	0.00	0.00	327.80
PERSONAL SERVICES	23,652,199	27,252,223	(1,200,000)	-	26,052,223
EMPLOYEE RELATED EXP.	8,882,545	7,716,506	(450,000)	-	7,266,506
OTHER OPERATING EXPENDITURES					
Professional & Outside Services	4,759,539	4,107,506	-	-	4,107,506
Travel In-State	57,955	97,772	-	-	97,772
Travel Out-of-State	44,312	-	-	-	-
Other Operating Expenditures	26,206,749	25,047,770	-	-	25,047,770
Library Acquisitions	87,264	-	-	-	-
Capital Expenditures	4,878,858	9,720,900	(5,000,000)	-	4,720,900
Transfer Out	-	-	-	-	-
Subtotal Other Operating Expenditures	36,034,677	38,973,948	(5,000,000)	-	33,973,948
TOTAL APPROPRIATED	68,569,421	73,942,677	(6,650,000)	-	67,292,677
Collections	56,567,276	56,169,340			56,169,340
Summer Sessions and Misc. Collections					-
Land Grant Endowment					-
Misc. Receipts					-
Balance Forward					-
Total Revenues & Receipts	56,567,276	56,169,340	-	-	56,169,340
TOTAL GENERAL FUND	12,002,145	17,773,337	(6,650,000)	-	11,123,337
FEDERAL FUNDS	-	-	-	-	-
OTHER FUNDS (Est.)	65,569,128	73,278,998	(1,482,260)	-	71,796,738
TOTAL NON-APPROPRIATED	65,569,128	73,278,998	(1,482,260)	-	71,796,738
TOTAL PROGRAM	134,138,549	147,221,675	(8,132,260)	-	139,089,415

* Figures exclude FTE and dollars for NAU Yuma which is reported separately.

** Institutional support includes operations and maintenance.

Northern Arizona University
FY 2021 Operating Budget Request

Program	Actual FY19	Estimated FY20	CONTINUATION REQUEST						Subtotal Continuation
			NAU FY20 One Time Appropriation Adjustment	Incorporate FY20 One- Time appropriation into base appropriation					
INSTITUTIONAL SUPPORT									
FTE	332.20	327.80	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Personal Services	23,652.2	27,252.2	(1,200.0)						(1,200.0)
ERE	8,882.6	7,716.5	(450.0)						(450.0)
Operations	36,034.6	38,974.0	(5,000.0)	-	-	-	-	-	(5,000.0)
Prof & Out. Svc.	4,759.6	4,107.5							-
Travel In-State	57.9	97.8							-
Travel Out-of-State	44.3	-							-
Other Operating	26,206.7	25,047.8							-
Capital Expenditures	4,878.9	9,720.9	(5,000.0)						(5,000.0)
Library Acquisitions	87.2	-							-
Transfer Out	-	-							-
Total	68,569.4	73,942.7	(6,650.0)	-	-	-	-	-	(6,650.0)

Program	Subtotal FY21 Request	STRATEGIC INVESTMENTS							TOTAL FY21 Request
		New Economy Initiative - Enhancing Arizona's Workforce Competitiveness	New Economy Initiative - NAU Mission Support					Subtotal Strategic Investments	
INSTITUTIONAL SUPPORT									
FTE	327.80	0.00	0.00	0.00	0.00	0.00	0.00	0.00	327.80
Personal Services	26,052.2							-	26,052.2
ERE	7,266.5							-	7,266.5
Operations	33,974.0	-	-	-	-	-	-	-	33,974.0
Prof & Out. Svc.	4,107.5							-	4,107.5
Travel In-State	97.8							-	97.8
Travel Out-of-State	-							-	-
Other Operating	25,047.8							-	25,047.8
Capital Expenditures	4,720.9							-	4,720.9
Library Acquisitions	-							-	-
Transfer Out	-							-	-
Total	67,292.7	-	-	-	-	-	-	-	67,292.7

STATE OF ARIZONA
SUMMARY OF EXPENDITURES AND BUDGET REQUEST FOR FY 2021

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 1421

Program

NAU YUMA

Expenditure Category	ACTUAL FY 2019	ESTIMATED FY 2020	CONTINUATION REQUEST	STRATEGIC INVESTMENTS	TOTAL REQ FY 2021
FTE POSITIONS	25.90	25.90	0.00	0.00	25.90
PERSONAL SERVICES	2,235,409	2,253,333	-	-	2,253,333
EMPLOYEE RELATED EXP.	680,955	603,039	-	-	603,039
OTHER OPERATING EXPENDITURES					
Professional & Outside Services	57,582	126,074	-	-	126,074
Travel In-State	11,022	17,250	-	-	17,250
Travel Out-of-State	13,323	-	-	-	-
Other Operating Expenditures	54,405	41,704	-	-	41,704
Library Acquisitions	18,704	30,000	-	-	30,000
Capital Expenditures	-	-	-	-	-
Transfer Out	-	-	-	-	-
Subtotal Other Operating Expenditures	155,036	215,028	-	-	215,028
TOTAL APPROPRIATED	3,071,400	3,071,400	-	-	3,071,400
Collections					-
Summer Sessions and Misc. Collections					-
Land Grant Endowment					-
Misc. Receipts					-
Balance Forward					-
Total Revenues & Receipts	-	-	-	-	-
TOTAL GENERAL FUND	3,071,400	3,071,400	-	-	3,071,400
FEDERAL FUNDS	-	-	-	-	-
OTHER FUNDS (Est.)	74,781	78,009	(209)	-	77,800
TOTAL NON-APPROPRIATED	74,781	78,009	(209)	-	77,800
TOTAL PROGRAM	3,146,181	3,149,409	(209)	-	3,149,200

Northern Arizona University
FY 2021 Operating Budget Request

Program	Actual FY19	Estimated FY20	CONTINUATION REQUEST						
			NAU FY20 One Time Appropriation Adjustment	Incorporate FY20 One- Time appropriation into base appropriation					Subtotal Continuation
NAU YUMA									
FTE	25.90	25.90	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Personal Services	2,235.3	2,253.4							-
ERE	680.9	603.0							-
Operations	155.2	215.0	-	-	-	-	-	-	-
Prof & Out. Svc.	57.7	126.1							-
Travel In-State	11.1	17.2							-
Travel Out-of-State	13.3	-							-
Other Operating	54.4	41.7							-
Capital Expenditures	-	-							-
Library Acquisitions	18.7	30.0							-
Transfer Out	-	-							-
Total	3,071.4	3,071.4	-	-	-	-	-	-	-

Program	Subtotal FY21 Request	STRATEGIC INVESTMENTS							TOTAL FY21 Request
		New Economy Initiative - Enhancing Arizona's Workforce Competitiveness	New Economy Initiative - NAU Mission Support					Subtotal Strategic Investments	
NAU YUMA									
FTE	25.90	0.00	0.00	0.00	0.00	0.00	0.00	0.00	25.90
Personal Services	2,253.4							-	2,253.4
ERE	603.0							-	603.0
Operations	215.0	-	-	-	-	-	-	-	215.0
Prof & Out. Svc.	126.1							-	126.1
Travel In-State	17.2							-	17.2
Travel Out-of-State	-							-	-
Other Operating	41.7							-	41.7
Capital Expenditures	-							-	-
Library Acquisitions	30.0							-	30.0
Transfer Out	-							-	-
Total	3,071.4	-	-	-	-	-	-	-	3,071.4

STATE OF ARIZONA
SUMMARY OF EXPENDITURES AND BUDGET REQUEST FOR FY 2021

NORTHERN ARIZONA UNIVERSITY 0440
FUND: 8906

Program

AUXILIARY

Expenditure Category	ACTUAL FY 2019	ESTIMATED FY 2020	CONTINUATION REQUEST	STRATEGIC INVESTMENTS	TOTAL REQ FY 2021
FTE POSITIONS	0.00	0.00	0.00	0.00	0
PERSONAL SERVICES	-	-	-	-	-
EMPLOYEE RELATED EXP.	-	-	-	-	-
OTHER OPERATING EXPENDITURES					
Professional & Outside Services	-	-	-	-	-
Travel In-State	-	-	-	-	-
Travel Out-of-State	-	-	-	-	-
Other Operating Expenditures	-	-	-	-	-
Library Acquisitions	-	-	-	-	-
Capital Expenditures	-	-	-	-	-
Transfer Out	-	-	-	-	-
TOTAL APPROPRIATED	-	-	-	-	-
Collections					-
Summer Sessions and Misc. Collections					-
Land Grant Endowment					-
Misc. Receipts					-
Balance Forward					-
Total Revenues & Receipts	-	-	-	-	-
TOTAL GENERAL FUND	-	-	-	-	-
FEDERAL FUNDS	-	-	-	-	-
OTHER FUNDS (Est.)	101,479,400	114,454,166	(4,172,903)	-	110,281,263
TOTAL NON-APPROPRIATED	101,479,400	114,454,166	(4,172,903)	-	110,281,263
TOTAL PROGRAM	101,479,400	114,454,166	(4,172,903)	-	110,281,263

* Figures exclude FTE and dollars for NAU Yuma which is reported separately.

SUMMARY OF FEDERAL PROJECTS FY 2021

NORTHERN ARIZONA UNIVERSITY 0440
Fund 2000

PROGRAM: UNIVERSITY TOTAL

PROJECT TITLE	ACTUAL FY 2019	ESTIMATED FY 2020	INCREASE (DECREASE)	ESTIMATED FY 2021
INSTRUCTION	1,993,925	2,013,900	20,300	2,034,200
RESEARCH	35,382,706	35,736,600	357,400	36,094,000
PUBLIC SERVICE	17,844,235	18,022,700	180,300	18,203,000
ACADEMIC SUPPORT	0	0	0	0
STUDENT SERVICES	2,487,800	2,512,600	25,000	2,537,600
SCHOLARSHIPS AND FELLOWSHIPS	47,632,743	48,109,200	481,200	48,590,400
INSTITUTIONAL SUPPORT	0	0	0	0
OPERATIONS AND MAINT OF PLANT	0	0	0	0
UNIVERSITY TOTAL	105,341,409	106,395,000	1,064,200	107,459,200

Northern Arizona University State of Arizona Program Summary of Federal Funds FY 2021

SUMMARY

Expenditure Category	Actual FY2019	Estimated FY2020	Increase/ Decrease	Request FY2021
FTE Positions	367.9	365.5	3.6	369.1
Personal Services	18,149,696	18,331,200	183,400	18,514,600
Employee Related Expenditures	5,206,168	5,258,200	52,600	5,310,800
All Other Operating Expenditures				
Professional and Outside Services	10,540,983	10,646,300	106,500	10,752,800
Travel In State	310,184	313,300	3,100	316,400
Travel Out of State	1,033,975	1,044,400	10,500	1,054,900
Other Operating	51,132,709	51,644,200	516,600	52,160,800
Equipment	994,688	1,004,600	10,000	1,014,600
Risk Management	-	-	-	-
Utilities	-	-	-	-
Library Acquisitions	-	-	-	-
Total Direct Costs	87,368,403	88,242,200	882,700	89,124,900
Indirect Costs	9,257,956	9,350,500	93,500	9,444,000
TOTAL EXPENDITURES	96,626,359	97,592,700	976,200	98,568,900
Pass Through Funds - State Agencies	2,427,202	2,451,500	24,500	2,476,000
Pass Through Funds - Non State Agencies	6,287,848	6,350,800	63,500	6,414,300
SUBTOTAL	8,715,050	8,802,300	88,000	8,890,300
Land Acquisition and Capital Projects	-	-	-	-
TOTAL EXPENDITURES	105,341,409	106,395,000	1,064,200	107,459,200

SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2021

Summary by Agency	No. of Projects	Actual FY2019	Estimated FY2020	Estimated FY2021
Department of Health and Human Services	29	3,708,680	3,745,700	3,783,200
Health Resources & Services Admin	3	526,667	531,900	537,200
National Science Foundation	118	8,083,469	8,164,200	8,245,900
U.S. Department of Education	33	55,118,920	55,671,200	56,228,300
NASA	23	2,095,471	2,116,400	2,137,500
Environmental Protection Agency	18	3,014,662	3,044,800	3,075,200
U.S. Department of Commerce	1	100,080	101,100	102,100
U.S. Department of Energy	3	1,085,149	1,096,000	1,107,000
U.S. Department of Agriculture	8	169,246	170,800	172,500
Bureau of Reclamation	2	98,042	99,000	100,000
National Park Service	27	824,534	832,700	841,000
Bureau of Land Management	14	628,927	635,100	641,500
Department of Justice	3	651,879	658,400	665,000
U.S. Geological Survey	25	1,304,712	1,317,700	1,330,900
U.S. Department of Defense	3	516,011	521,100	526,300
U.S. Army Corp of Engineers	1	329,128	332,400	335,700
National Renewable Energy Laboratory	3	70,304	71,000	71,700
Defense Threat Reduction Agency	4	3,926,599	3,965,800	4,005,500
Jet Propulsion Laboratory	12	379,825	383,600	387,400
Oak Ridge National Laboratory	1	143,494	144,900	146,300
National Institute of Food and Agriculture	4	546,748	552,200	557,700
Pacific Northwest National Laboratory	2	497,765	502,700	507,700
Department of Homeland Security	4	1,129,222	1,140,500	1,151,900
Bureau of Indian Affairs	3	401,778	405,700	409,700
Forest Service	45	2,669,919	2,696,600	2,723,600
National Institutes of Health	37	6,509,323	6,574,400	6,640,200
Corp for National Community Service	8	1,456,477	1,471,000	1,485,700
Natural Resource Conservation Service	1	72,407	73,100	73,800
Naval Facilities Engineering Command SW	1	(402)	-	-
Centers for Disease Control	3	280,988	283,800	286,600
Lawrence Livermore National Laboratory	1	81,658	82,400	83,200
Indian Health Service	9	88,842	89,700	90,600
Air Force Office of Scientific Research	1	75,000	75,700	76,500
Air Force Research Laboratory	1	32,313	32,600	32,900
Department of the Navy	1	1,778	1,700	1,700
US Department of Interior	1	6,743	6,800	6,900
Federal thru State Agency	48	2,427,202	2,451,500	2,476,000
Federal thru Local Agency	73	3,867,926	3,906,700	3,945,800
Federal thru Misc. Private	53	2,419,923	2,444,100	2,468,500
TOTAL	627	105,341,409	106,395,000	107,459,200

**Northern Arizona University
State of Arizona
Program Summary of Federal Funds FY 2021**

INSTRUCTION

Expenditure Category	Actual FY2019	Estimated FY2020	Increase/ Decrease	Request FY2021
FTE Positions	8.30	8.30	0.10	8.40
Personal Services	458,497	463,100	4,600	467,700
Employee Related Expenditures	145,710	147,200	1,500	148,700
All Other Operating Expenditures				
Program Summary of Federal Funds FY 2021	412,978	417,100	4,200	421,300
Travel In State	9,783	9,900	100	10,000
Travel Out of State	58,885	59,500	600	60,100
Other Operating	684,614	691,400	7,000	698,400
Equipment	-	-	-	-
Risk Management	-	-	-	-
Utilities	-	-	-	-
Library Acquisitions	-	-	-	-
Total Direct Costs	1,770,467	1,788,200	18,000	1,806,200
Indirect Costs	95,452	96,400	1,000	97,400
TOTAL EXPENDITURES	1,865,919	1,884,600	19,000	1,903,600
Pass Through Funds - State Agencies	27,208	27,500	300	27,800
Pass Through Funds - Non State Agencies	100,798	101,800	1,000	102,800
SUBTOTAL	128,006	129,300	1,300	130,600
Land Acquisition and Capital Projects	-	-	-	-
TOTAL EXPENDITURES	1,993,925	2,013,900	20,300	2,034,200

SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2021

INSTRUCTION	No. of Projects	Actual FY2019	Estimated FY2020	Estimated FY2021
Department of Health and Human Services	1	(24,963)	(25,200)	(25,500)
National Science Foundation	5	121,358	122,600	123,800
U.S. Department of Education	6	1,332,118	1,345,400	1,359,100
National Institutes of Health	3	133,717	135,100	136,500
Health Resoures & Services Admin	2	289,140	292,000	294,900
National Renewable Energy Laboratory	2	14,548	14,700	14,800
Federal thru State Agency	1	27,208	27,500	27,800
Federal thru Local Agency	2	57,688	58,300	58,900
Federal thru Misc. Private	1	43,111	43,500	43,900
Total Instruction	23	1,993,925	2,013,900	2,034,200

**Northern Arizona University
State of Arizona
Program Summary of Federal Funds FY 2021**

RESEARCH

Expenditure Category	Actual FY2019	Estimated FY2020	Increase/ Decrease	Request FY2021
FTE Positions	224.30	222.80	2.20	225.00
Personal Services	11,572,991	11,688,700	116,900	11,805,600
Employee Related Expenditures	3,135,362	3,166,700	31,700	3,198,400
All Other Operating Expenditures				
Program Summary of Federal Funds FY 2021	5,092,038	5,143,000	51,500	5,194,500
Travel In State	187,682	189,600	1,900	191,500
Travel Out of State	611,863	618,000	6,200	624,200
Other Operating	2,190,786	2,212,700	22,100	2,234,800
Equipment	994,688	1,004,600	10,000	1,014,600
Risk Management	-	-	-	-
Utilities	-	-	-	-
Library Acquisitions	-	-	-	-
Total Direct Costs	23,785,410	24,023,300	240,300	24,263,600
Indirect Costs	7,503,095	7,578,100	75,800	7,653,900
TOTAL EXPENDITURES	31,288,505	31,601,400	316,100	31,917,500
Pass Through Funds - State Agencies	430,454	434,800	4,300	439,100
Pass Through Funds - Non State Agencies	3,663,747	3,700,400	37,000	3,737,400
SUBTOTAL	4,094,201	4,135,200	41,300	4,176,500
Land Acquisition and Capital Projects	-	-	-	-
TOTAL EXPENDITURES	35,382,706	35,736,600	357,400	36,094,000

SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2021

RESEARCH	No. of Projects	Actual FY2019	Estimated FY2020	Estimated FY2021
Department of Health and Human Services	18	1,530,479	1,545,700	1,561,200
National Science Foundation	104	7,403,355	7,477,300	7,552,200
U.S. Department of Education	2	(900)	-	-
U.S. Department of Agriculture	6	81,383	82,100	82,900
Bureau of Reclamation	2	98,042	99,000	100,000
National Park Service	26	821,863	830,000	838,300
NASA	21	1,499,432	1,514,400	1,529,500
Bureau of Land Management	13	622,771	628,900	635,200
National Renewable Energy Laboratory	1	55,756	56,300	56,900
Department of Energy	3	1,085,149	1,096,000	1,107,000
U.S. Geological Survey	24	1,304,524	1,317,500	1,330,700
U.S. Department of Defense	3	516,011	521,100	526,300
Defense Threat Reduction Agency	4	3,926,599	3,965,800	4,005,500
Jet Propulsion Laboratory	12	379,825	383,600	387,400
Forest Service	45	2,669,919	2,696,600	2,723,600
National Institutes of Health	34	6,375,606	6,439,300	6,503,700
National Institute of Food and Agriculture	4	546,748	552,200	557,700
Oak Ridge National Laboratory	1	143,494	144,900	146,300
Pacific Northwest National Laboratory	2	497,765	502,700	507,700
US Army Corp of Engineers	1	329,128	332,400	335,700
Department of Homeland Security	4	1,129,222	1,140,500	1,151,900
Natural Resource Conservation Service	1	72,407	73,100	73,800
Bureau of Indian Affairs	2	2,837	2,800	2,800
Naval Facilities Engineering Command SW	1	(402)	-	-
Lawrence Livermore National Laboratory	1	81,658	82,400	83,200
Air Force Office of Scientific Research	1	75,000	75,700	76,500
Air Force Research Laboratory	1	32,313	32,600	32,900
Department of the Navy	1	1,778	1,700	1,700
US Department of Interior	1	6,743	6,800	6,900
Federal Thru State Agency	15	430,454	434,800	439,100
Federal Thru Local Agency	40	1,626,701	1,643,000	1,659,400
Federal Thru Misc. Private	44	2,037,046	2,057,400	2,078,000
Total Research	438	35,382,706	35,736,600	36,094,000

**Northern Arizona University
State of Arizona
Program Summary of Federal Funds FY 2021**

PUBLIC SERVICE

Expenditure Category	Actual FY2019	Estimated FY2020	Increase/ Decrease	Request FY2021
FTE Positions	104.90	104.20	1.10	105.20
Personal Services	4,294,060	4,337,000	43,400	4,380,400
Employee Related Expenditures	1,607,493	1,623,600	16,200	1,639,800
All Other Operating Expenditures				
Program Summary of Federal Funds FY 2021	4,702,680	4,749,600	47,500	4,797,100
Travel In State	98,080	99,100	1,000	100,100
Travel Out of State	343,928	347,400	3,500	350,900
Other Operating	812,763	820,900	8,200	829,100
Equipment	-	-	-	-
Risk Management	-	-	-	-
Utilities	-	-	-	-
Library Acquisitions	-	-	-	-
Total Direct Costs	11,859,004	11,977,600	119,800	12,097,400
Indirect Costs	1,531,844	1,547,200	15,500	1,562,700
TOTAL EXPENDITURES	13,390,848	13,524,800	135,300	13,660,100
Pass Through Funds - State Agencies	1,969,540	1,989,200	19,900	2,009,100
Pass Through Funds - Non State Agencies	2,483,847	2,508,700	25,100	2,533,800
SUBTOTAL	4,453,387	4,497,900	45,000	4,542,900
Land Acquisition and Capital Projects	-	-	-	-
TOTAL EXPENDITURES	17,844,235	18,022,700	180,300	18,203,000

SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2021

PUBLIC SERVICE	No. of Projects	Actual FY2019	Estimated FY2020	Estimated FY2021
Department of Health and Human Services	8	1,573,134	1,588,900	1,604,800
U.S. Department of Education	11	4,895,401	4,944,500	4,994,100
U.S. Geological Survey	1	188	200	200
U.S. Department of Agriculture	2	87,863	88,700	89,600
Bureau of Land Management	1	6,156	6,200	6,300
Environmental Protection Agency	18	3,014,662	3,044,800	3,075,200
National Park Service	1	2,671	2,700	2,700
U.S. Department of Commerce	1	100,080	101,100	102,100
Department of Justice	3	651,879	658,400	665,000
Bureau of Indian Affairs	1	398,941	402,900	406,900
Corp for National Community Service	8	1,456,477	1,471,000	1,485,700
Health Resources and Services Admin	1	237,527	239,900	242,300
Indian Health Service	9	88,842	89,700	90,600
NASA	2	596,039	602,000	608,000
Centers for Disease Control & Prevention	3	280,988	283,800	286,600
Federal Thru State Agency	32	1,969,540	1,989,200	2,009,100
Federal Thru Local Agency	30	2,144,081	2,165,500	2,187,200
Federal Thru Misc. Private	8	339,766	343,200	346,600
Total Public Service	140	17,844,235	18,022,700	18,203,000

**Northern Arizona University
State of Arizona
Program Summary of Federal Funds FY 2021**

STUDENT SERVICES

Expenditure Category	Actual FY2019	Estimated FY2020	Increase/ Decrease	Request FY2021
FTE Positions	29.50	29.30	0.30	29.60
Personal Services	1,769,406	1,787,100	17,900	1,805,000
Employee Related Expenditures	307,755	310,800	3,100	313,900
All Other Operating Expenditures				
Program Summary of Federal Funds FY 2021	202,909	204,900	2,000	206,900
Travel In State	13,013	13,100	100	13,200
Travel Out of State	13,265	13,400	100	13,500
Other Operating	77,874	78,700	800	79,500
Equipment	-	-	-	-
Risk Management	-	-	-	-
Utilities	-	-	-	-
Library Acquisitions	-	-	-	-
Total Direct Costs	2,384,222	2,408,000	24,000	2,432,000
Indirect Costs	103,578	104,600	1,000	105,600
TOTAL EXPENDITURES	2,487,800	2,512,600	25,000	2,537,600
Pass Through Funds - State Agencies	-	-	-	-
Pass Through Funds - Non State Agencies	-	-	-	-
SUBTOTAL	-	-	-	-
Land Acquisition and Capital Projects	-	-	-	-
TOTAL EXPENDITURES	2,487,800	2,512,600	25,000	2,537,600

SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2021

STUDENT SERVICES	No. of Projects	Actual FY2019	Estimated FY2020	Estimated FY2021
U.S. Department of Education	7	2,487,770	2,512,600	2,537,600
Department of Health and Human Services	1	30	-	-
Total Student Services	8	2,487,800	2,512,600	2,537,600

**Northern Arizona University
State of Arizona
Program Summary of Federal Funds FY 2021**

SCHOLARSHIPS AND FELLOWSHIPS

Expenditure Category	Actual FY2019	Estimated FY2020	Increase/ Decrease	Request FY2021
FTE Positions	0.90	0.90	-	0.90
Personal Services	54,742	55,300	600	55,900
Employee Related Expenditures	9,848	9,900	100	10,000
All Other Operating Expenditures				
Program Summary of Federal Funds FY 2021	130,378	131,700	1,300	133,000
Travel In State	1,626	1,600	-	1,600
Travel Out of State	6,034	6,100	100	6,200
Other Operating	47,366,672	47,840,500	478,500	48,319,000
Equipment	-	-	-	-
Risk Management	-	-	-	-
Utilities	-	-	-	-
Library Acquisitions	-	-	-	-
Total Direct Costs	47,569,300	48,045,100	480,600	48,525,700
Indirect Costs	23,987	24,200	200	24,400
TOTAL EXPENDITURES	47,593,287	48,069,300	480,800	48,550,100
Pass Through Funds - State Agencies	-	-	-	-
Pass Through Funds - Non State Agencies	39,456	39,900	400	40,300
SUBTOTAL	39,456	39,900	400	40,300
Land Acquisition and Capital Projects	-	-	-	-
TOTAL EXPENDITURES	47,632,743	48,109,200	481,200	48,590,400

SUMMARY OF FEDERAL EXPENDITURES BY PROGRAM FY 2021

SCHOLARSHIPS AND FELLOWSHIPS	No. of Projects	Actual FY2019	Estimated FY2020	Estimated FY2021
U.S. Department of Health and Human Services	1	630,000	636,300	642,700
National Science Foundation	9	558,756	564,300	569,900
U.S. Department of Education	7	46,404,531	46,868,700	47,337,500
Federal Thru Local Agency	1	39,456	39,900	40,300
Total Scholarships and Fellowships	18	47,632,743	48,109,200	48,590,400

The image features the Northern Arizona University logo in white, centered against a golden-yellow background. The background is a photograph of a mountainous landscape with a forested valley and a town, overlaid with a semi-transparent golden-yellow filter. The logo consists of the letters 'NAU' in a large, bold, sans-serif font, with the 'A' having a unique triangular cutout. Below 'NAU', the words 'NORTHERN', 'ARIZONA', and 'UNIVERSITY' are stacked in a smaller, all-caps, sans-serif font.

NAU

NORTHERN
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