

**Administrative Unit Name: Attorney General's Office**

- One goal of the budget development process for administrative units this year is to provide greater understanding of the connection between resource use and the primary, or core function by each part of the administrative structure. To begin, please paste a copy of your organization chart here. Please provide a chart that reflects the diversity of the organization and will serve as a sensible platform to complete the next question.

Because administrative units have a month and a half to complete this work, unit leadership should use their discretion in providing a level of detail that prompts a rich conversation, but is not overly burdensome.

<b>Attorney General's Office, University of Washington Division.</b>			
<b>Team</b>	<b>Attorney</b>	<b>Reader/Paralegal</b>	<b>Legal Assistant</b>
Interim Division Chief	Karin Nyrop	Liz Dahl	Mary Taylor
<b>Employment</b>	Rob Kosin, Team Leader	Michelle Doiron	Olga Buitter
	Larry Paulsen	"	"
	Jessica Russell	"	"
	(Vacant, currently recruiting)	"	"
<b>General Practice</b>	Karin Nyrop, Team Leader	Liz Dahl	Mary Taylor
	James Buder (start date 12/16/14)	"	"
	Aileen Huang	"	"
	Clark Shores	"	"
	Quentin Yerxa	"	"
	Tricia Boerger	"	Olga Buitter
<b>Healthcare</b>	Kate Battuello, Team Leader	Lanse Jones	Sandy Webb
	Alice Becker (start date 12/1/14)	"	"
	Catherine Hendricks	"	"
	Jane Yung	"	"
	Dina Yunker	"	"
<b>Office Administration</b>	Dawn Glinsmann, Administrator		
	Allison West, Administrative Coordinator		
	David Jenkins, Computer Support Analyst		
	(Vacant), Fiscal Specialist 1		

2. In order to provide a snapshot of current activities, the distribution of resources across various functions and how much these activities contribute to the University's mission, please provide information about the functional areas, or departments, of your organization.

At a level of granularity that reflects your organization's chart or if no chart exists, the functional areas of your organization, **please provide the following information for each functional area via the "FY15 Expenditures Worksheet" tab of the "Worksheets and Reference Materials – Administrative" Excel workbook**, available here: [https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets and Reference Materials Administrative.xlsx](https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets_and_Reference_Materials_Administrative.xlsx).

- a) A description *not to exceed 200 words* of how each functional area contributes to the University's research, service and teaching missions and what risks the University would face if this work were no longer funded<sup>1</sup>; and,
  - b) Planned expenditures, by functional area, showing how your unit intends to spend *permanent ABB funds*, as well as (if applicable to your unit) funds derived from self-sustaining efforts, grants and contracts, and philanthropy, and other funds during FY16.
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Attached is the FY16 Expenditures Worksheet for the University of Washington Division of the Attorney General's Office. This applies to staff salary and benefits; money for facilities and office operations; staff and attorney training, membership dues, conferences and CLEs; library materials and electronic subscriptions, and UW standard departmental expenses. This submission does not include funds related to attorney salaries and benefits.

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<sup>1</sup> Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development> for more information about the University's Sustainable Academic Business Plan goals and top institutional risks.

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3. In less than 200 words, please describe how you envision adapting your unit and its organization to meet changing institutional needs in the coming fiscal year. Please integrate self-sustaining, grant & contract, and philanthropic sources of funding (if applicable to your unit) and describe how these sources are marshalled to subsidize your activities.

The Attorney General’s Office operations budget is funded by two sources: (1) by the central budget office of the University, and (2) by cost transfers from UWMC and Harborview to support one secretary, one paralegal, and \$20,000 in overhead costs.

The AGO continues to adapt to meet the University’s changing needs by instituting process improvement, holding regular meetings among the practice groups, attorneys and staff, tracking work such as affiliation agreements, labor hearings, guardianships and outside counsel contracts in databases designed on site. Expenses are monitored and scrutinized to assure thrift.

4. In one paragraph or less, please assess the functional and financial health of your unit since FY09 (e.g. deficits, workforce capacity, declining grants or gifts).

From 2001 to 2005, the AGO had 13 attorneys and 10 staff. The office had eleven staff from 2005 to 2009; one was laid off due to budget cuts. There have been *no increases to staff FTE since 2005*. Meanwhile, the attorney-staff ratio has increased from 13:10 to 16:10. Of 10 staff, only six are direct legal support; the four others are administrative.

The current biennium Encumbrances do not reflect anticipated UW Medicine cost transfers. The amount remaining to be transferred this biennium is approximately \$90,475. So “Remaining” in this biennium is actually **(\$147,586.83) + 90,475 = (57,111.83)**.

	Budgeted Amount	Actual	Encumbrances	Remaining		
<b>Biennium 2013-2015 through November 15, 2014</b>						
Budget No. 01-4212	\$665,994.00	\$576,395.73	\$228,768.97	(\$139,170.70)	Atty	Staff
Budget No. 74-4212	\$427,429.00	\$290,242.02	\$145,603.11	(\$8,416.13)	16	10
	\$1,093,423.00	\$866,637.75	\$374,372.08	(\$147,586.83)	(15.2 FTE)	
<b>Biennium 2011-2013</b>						
Budget No. 01-4212	\$683,369.00	\$738,444.29	\$901.35	(\$55,976.64)	Atty	Staff
Budget No. 74-4212	\$410,315.00	\$437,918.31	\$1,360.00	(\$28,963.31)	16	10
	\$1,093,684.00	\$1,176,362.60	\$2,261.35	(\$84,939.95)	(15 FTE)	
<b>Biennium 2009-2011</b>						
Budget No. 01-4212	\$675,229.00	\$847,706.00	\$939.53	(\$173,416.53)	Atty	Staff
Budget No. 74-4212	\$404,253.00	\$434,388.97	\$1,725.05	(\$31,861.02)	16	10
	\$1,079,482.00	\$1,282,094.97	\$2,664.58	(\$205,277.55)	(15 FTE)	

5. In the event that neither state funds nor additional Provost Reinvestment is available for compensation increases, how might your unit cover salary increases for positions budgeted in GOF and DOF budgets? Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development>.
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According to the "Expected FY16 GOF & DOF Salary & Benefit Increases (Based on Budgeted Salaries)" the cost of projected salary increases for classified and professional staff in our unit will be \$17,707. As stated above, our unit has no resources, nor does it generate revenue to cover these increases.

6. This summer, the UW has been the sole subject of a state-required audit of net operating fee (tuition) and local fund accounts. This audit has revealed the importance of monitoring expenditures against budgets on a biennial basis, ensuring that colleges, schools and administrative units have plans to spend fund balance in a reasonable and mission-driven manner and that these plans are acted upon. As such, we are piloting a new administrative carryover policy for the FY16 budget process, though we will employ draft carryover data in executing this pilot.

In completing this work, please do the following, using the **"Carryover Worksheet – Detail" tab of the "Worksheets and Reference Materials – Administrative" Excel workbook**, which is provided at the following web page:

[https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets\\_and\\_Reference\\_Materials\\_Administrative.xlsx](https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets_and_Reference_Materials_Administrative.xlsx).

1. **Units may reserve up to 10 percent of their permanent ABB base (GOF and DOF ONLY).** Units may hold up to 10 percent of their permanent base as an emergency reserve. This reserve will be calculated annually and derived from the previous June/July's ABB base budget information to units. These figures are provided on the last two tabs of the **"Worksheets and Reference Materials – Administrative" Excel workbook**.
  2. **Set-aside "central" commitments from the reserve.** For this purpose, central commitments are defined as those allocated or approved by President, Provost, and/or OPB on behalf of the Provost which have not been fully expended. A list of these commitments is available from OPB in the event your unit should need assistance. The list would come from OPB's commitments database. If additional commitments are not reflected in OPB's database please send the information to Amy Floit in OPB.
  3. **Explain any remaining temporary carryover balance by providing a list of intended use(s)/purpose(s) (i.e. a spending plan).** These would be differentiated according to intended use along the following lines:
    - a. Permanent expenditures funded with temporary funds;
    - b. Possible multi-year commitments; and,
    - c. Immediate, current year use.
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Not applicable to the Attorney General's Office budgets.

7. Though we believe that few, if any, state funds will be available and that any new Provost Funds may be dispatched for mitigating cuts or providing salary increases, please indicate what **Provost Reinvestment Funds are being requested**. Requests for funds should be identified by a unique title, accompanied by the amount requested, the year funding is requested, whether the request is for permanent or temporary funds, the number of years funding is needed in the case of a temporary request and a brief description, not to exceed 500 words. **Successful requests will make meaningful contributions to institutional strategic plans, drive student support and student service missions, and correlate directly to the long-term financial health of the University or its efforts to mitigate institutional risk.** <sup>2</sup>

**Importantly, requests for new funding will be considered alongside carryover spending plans.** Administrative units with growing temporary fund balances will be asked to explain why new funding is needed to support mission-critical program enhancements.

Title	Funding	FY	P/T	DOF Requested (Y/N)
Executive Assistant*	\$61,296	FY16	Permanent	
Office Assistant*	\$48,168	FY16	Permanent	
Training	\$25,000	FY16	Permanent	
Software	\$30,000	FY16	Temporary	

*\*This is based on hiring an Executive Assistant at \$48,000 with a benefit load of 27.7% and an Office Assistant at \$36,000 with a benefit load of 33.8%. Load rates based on 2015 proposed rates here: <http://f2.washington.edu/fm/fo/sites/default/files/loadrate/Payroll-Load-Rates-2015estimated.pdf>.*

Mitigation of institutional risk is the hallmark of the Attorney General’s Office. Additional staffing and training are essential to the AGO continuing to advise and represent the University.

Executive Assistant

We are requesting funding for an Executive Assistant to support the Division Chief. This important administrative role is, for the most part, currently being completed by overtime workers or not at all. This has occurred for two reasons: (1) Currently, administrative support to the Division Chief is among the responsibilities of the office’s Administrator. This is not sustainable because the scope and volume of division work has grown and the complexities of all aspects of the Administrator’s and Division Chief’s work have multiplied. (2) Important case record-keeping and case tracking functions have simply not been maintained because of insufficient staffing. Reporting and coordination with client departments such as Risk Management have suffered due to this shortage. This executive support position will close that gap as well as facilitate the Division Chief’s assessment and advice on critical legal risks facing the University.

Office Assistant

<sup>2</sup> Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development> for more information about the University’s Sustainable Academic Business Plan goals and top institutional risks.

There is currently no Office Assistant in our Division to support the Legal Assistants, Paralegals, and Administrative Coordinator. It is critical, as the demands on our division grow and the number of attorneys increases, that we provide much-needed, consistent clerical support. An Office Assistant will be trained to provide consistent coverage for staff absences, which now cause critical shortages in attorney support. Moreover, the Office Assistant will provide support on all phone and document intake procedures which are integral to the delivery of legal services to the UW.

#### Training

The legal education temporary funding of \$50,000 in the 2011-2013 biennium was greatly valued by the attorneys and professional staff, and enhanced our ability to keep updated on the many areas of division expertise in support the University.

- This temporary funding was not received in the 2013-2015 biennium. This has compromised our ability to provide up-to-date, meaningful training to our attorneys and professional staff. We respectfully request permanent funding of \$25,000 per year for 01-4212-03 (03-34).
- This funding permitted us to send the attorneys to 43 local, regional and national conferences, and training for our support staff. We ask for this support to be renewed on a permanent basis.
- Our entire Contractual Services budget for FY2015 is \$6,944 GOF and \$1396 DOF. The GOF budget was recently increased from \$944 to \$6944 to cover cell phones.

#### Software

Two areas of our practice which have grown beyond our current software's capacity to manage them are (1) SAAG contract payment tracking and (2) document image indexing and production.

The SAAG payment procedure presents complexities of delivery, multiple approvals, payment via a variety of UW methods, and finally recharges to respective departments. We will be in the process of reviewing several comprehensive systems and will make a recommendation and request for this software later this fiscal year.

E-discovery management software decreases the complexity of managing discovery. It would allow our team to search, review, organize, produce and share litigation documents generated during discovery. This would include scanned paper, email and other e-discovery. It is essential that our office keep up to speed with these increasing needs which come to us in the form of subpoenas and other discovery requests, adjudication preparation, and AGO public records requests. We will be in the process of reviewing several comprehensive systems and will make a recommendation and request for this software later this fiscal year.

## FY16 Administrative Expenditures by Functional Area

At a level of granularity that reflects your organization’s chart or, if no chart exists, the functional areas of your organization, please provide the following information for each functional area using the template(s) below:

- a) A description not to exceed 200 words of how each functional area contributes to the University’s research, service and teaching missions and what risks the University would face if this work were no longer funded[1].
- b) Planned expenditures, by functional area, of how your unit intends to spend permanent ABB funds, as well as (if applicable to your unit) funds derived from self-sustaining efforts, grants and contracts, and philanthropy, and other funds during FY16.

Please describe any assumptions you are making in your response, such as those related to the availability of state or federal funding or projections based on the first complete month of expenditures in FY15, etc. Please see the example “Admin Template - Planning & Budgeting Draft,” which is provided at:

<http://opb.washington.edu/content/fy16-budget-development>

[1] Please refer to the webpage above for more information about the Sustainable Academic Business Plan goals and top institutional risks

**Name of area: Attorney General's Office**

*In accordance with RCW 28B.10.510 the Attorney General is the legal advisor to the University and shall “institute and prosecute or defend all suits” on behalf of the University. As set forth in Presidential Executive Order No. 19, the UWAGO is primarily responsible for fulfilling the responsibilities articulated in RCW 28B.10.510.*

*Classified and professional staff provide critical support to the Assistant Attorneys General who advise and represent the University. This includes support to all three legal teams as well as administrative support for this complex and busy law office. Additionally, to stay abreast of legal issues, these budgets provide important training, conferences and membership dues for the Assistant Attorneys General and staff. These budgets also support library materials and electronic subscriptions.*

*The Planned Annual Expenditures reflects current staff plus the estimated salary impact provided by OFM plus requests of two staff and training funds. We have added a line item below for Cost Transfers from UW Medicine in support of the Healthcare Team support staff and "overhead" for that team (such as conferences).*

Fund Source	FY16 FTE	FY16 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	10.00	\$ 667,515	\$ 61,367
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
<b>UWMC and Harborview supplemental funding</b>	2.00	\$ 139,153	\$ 20,000
<b>Total</b>	<b>12.00</b>	<b>\$ 806,668.00</b>	<b>\$ 81,367.00</b>

BT = Budget Type

## Administrative Unit Carryover Usage Plan SUMMARY

*This table will self-populate via the "Carryover Worksheet - Detail" tab*

**Administrative Unit Name:** Attorney General's Office  
**Estimate of Carryover Balance at "Close" of FY14:** none

<b>Usage Category</b>	<b>Amount</b>	<b>%</b>
Unit's Reserve	0	n/a
Central Commitments	0	n/a
Permanent Costs & Other Projects	0	n/a
<b>Total</b>	<b>0</b>	<b>n/a</b>