

Administrative Unit Name: Attorney General's Office

Please complete this Word document and the accompanying [Excel workbook](#), and submit them to the Office of Planning & Budgeting on or before **Friday, November 20**. Please email your materials to [Becka Johnson Poppe](#).

1. In spring 2015, Provost Baldasty initiated the Transforming Administration Program (TAP), which encompasses all central administrative units and focuses on fulfilling the need for greater collaboration, clear priorities, increased accountabilities, and elimination of unnecessary bureaucracy and redundancies.

Within a **500 word bulleted list**, please answer both of the following questions:

- List 3-5 things your unit is doing to align with the [TAP principles for central administrative units](#) and to create and enhance a culture of service. Please be specific.
 - In what ways (if any) could your unit leverage activities of other central administrative units to increase efficiency within your unit and/or to streamline activities across the UW? Are there areas of overlap between your unit and another that prompt closer collaboration?
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The Attorney General's Office is aligning with the TAP principles for central administrative units in the following ways:

1. **Realize Efficiency and Effectiveness.** *The AGO's 2015 Retreat was led by Ruth Johnston and focused on Strategic Planning. The entire Division participated in the day-long event and one follow-up meeting, where four top focus topics were identified:*
 - a. *Improving Coordination of Internal/External Resources;*
 - b. *Ensure employees have the skills, tools, knowledge to be successful;*
 - c. *Create Strategies for recruitment and retention of high quality personnel; and*
 - d. *Invest in Technology to improve and assess efficiency.*
2. **Engaging people by recognizing and celebrating success.** *The UW is a lead partner in the creation of Global Innovation Exchange (GIX). GIX is a new education program involving the schools of Engineering and Information and collaborations with Tsinghua University and Microsoft. There will be numerous agreements with Microsoft and Tsinghua University and potentially other partners. Several Assistant Attorney Generals worked collaboratively with other University units to draft the initial agreement recently executed by President Cauce during her trip to China.*
3. **Delivering Value: Building trust across the University through action and results.** *We have demonstrated collaboration with multiple UW departments on significant contractual arrangements that required careful negotiation, such as:*
 - a. *The updated management agreement between UWM and King County regarding Harborview;*
 - b. *The purchase of KPLU by KUOW; and*
 - c. *The most recent issuance of revenue bonds.*

4. **Realize Efficiency and Effectiveness: Create a culture that looks to find solutions, constructively confronts issues and makes and follows decisions.** In FY 2015, we conducted (with the assistance of internal audit) an audit of a budget wherein over \$200,000 in outside legal fees had not been recharged to the departments which used the outside firms. At the conclusion of the audit it was not possible to retrace all payments that were not recharged. We do not think that having a manual system for tracking invoices for approximately 138 contracts is in the best interest of the University. We hope to procure and implement an e-billing system, explained further in the next section. Multiple units use outside legal counsel and may benefit from an e-billing system: the Real Estate Office, CoMotion, Human Resources, I-Tech, Risk Management and Capital Projects.

2. In 200 words or fewer, please **identify plans to adapt functions and services to support changing institutional needs in FY17.**

In today's increasingly complex business and regulatory environment, it is important to monitor the UW's legal budget and potential legal exposure. The Office of the President, Regents, Attorney General's Executive Office, and OFM rely on our Division for that information. This information must be current, complete, and provided in whatever format and with whatever analyses is needed. For instance, the Regents might enquire about the overall legal costs of the University's intellectual property program (IP). What portion of the IP legal budget is being spent on litigation, trademark work, patents, and related governmental filings? How much was spent on IP in the most current month and what's budgeted for next month? Which outside firms and lawyers are our largest IP legal vendors and how much has each been paid?

E-billing will enable us to accept, process, review, approve, and update our invoices in a timely, complete, and thorough manner. Armed with a complete, automated, and electronic process, we can respond to requests for reports in a timely, thorough manner. Surveys of law departments that are currently using e-billing systems also report a 5- to 15-percent savings in overall legal costs—due to better audit and analysis procedures and related improvements.

E-billing will create efficiency in communication and reporting as we manage the costs of using outside counsel. This more efficient management of legal services will free up lawyer time to do more legal work.

3. **Please identify any significant obstacle(s) or challenge(s)** that your unit faces other than resource constraints. **Please plan to discuss these with the Provost.** If applicable, please summarize any operational risks that, from your perspective, the UW must work to mitigate over time.

There are two significant challenges. The first is recruitment and retention of both attorneys and staff. The second is moving forward with better technology that will provide project management, document management, and e-billing services. These systems are essential if we want to maintain the level of service and increase that level of service to our University clients.

4. Though the Provost will soon be laying out requirements for FY17 merit increases, administrative units should begin to plan for a merit allocation equivalent to 90-95 percent of GOF/DOF merit pool. In other words, units should plan to receive less funding than may be necessary for a full merit increase, on average, for all GOF- and DOF-funded positions. **Please tell us how your unit plans to deploy funds for merit increases in FY17.**

The Attorney General’s Office will rely on funding from the UW for any merit increases in FY17.

5. As you may recall, in the summer of 2014, the UW was the sole subject of a state-required audit of net operating fee (tuition) and local fund accounts. The audit reinforced 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 ask that you update the carryover usage plan you submitted as part of last year’s budget development process.** To do so, please **fill out the “Carryover Worksheet - Detail” tab** of the “FY17 Administrative Budget Worksheets & References” [Excel workbook](#) using:

- **The carryover plan you submitted last year, as a starting point, modified as needed.** If you need a copy of the plan you submitted last year, please email [Amy Floit](#) or [Becka Johnson Poppe](#).
- **New reserve figures**, as provided in the “Reserve Figures” tab of the aforementioned spreadsheet.
- **New carryover totals**, as provided in the “Carryover into FY16” tab of the aforementioned spreadsheet.

In the space below, please describe and explain any major change(s) to your carryover usage plan.

The Attorney General’s Office has no carryover balances.

6. The Provost will be making the decision to deploy *permanent* Provost Reinvestment Funds **primarily, if not exclusively, to cover for compensation increases. The only possible exceptions for permanent funds will be for critical compliance issues.** However, requests for temporary funds will only be entertained in areas of high institutional priority and in consultation with faculty, staff and students.

If you have a Provost Reinvestment Fund request that fits within these strict parameters, please describe it using the framework below.

Title	Funding	FY	P/T	Years Needed (If Temp)
<i>Executive Assistant</i>	\$99,238	FY17	P	
<i>Paralegal 2 Positions</i>	\$26,000	FY17	P	
<i>E-billing software</i>	\$36,180 - \$64,164	FY17	P	
<i>E-billing software implementation</i>	\$6,030 - \$10,694	FY17	T	

Executive Assistant. Last year we requested funding for an Executive Assistant to support the Division Chief. We were provided with temporary funds in the amount of \$99,238 (which covers both salary and benefits) and are now asking for permanent funding in the same amount. This important administrative role is instrumental in providing confidential and crucial support, along with record-keeping and case tracking functions. Reporting and coordination with client departments such as Risk Management have been enhanced by adding this position. This executive support position has facilitated the Division Chief's assessment and advice on critical legal risks facing the University.

Paralegal 2 Specification. We are requesting funding to address a critical compliance issue. UW currently has only one classification for paralegals, "Paralegal 1." The state paralegal class series includes Paralegal 1, Paralegal 2 and Paralegal 3. In other AGO Divisions, the Paralegal 1 position is an entry level position; AGO paralegals are typically promoted to Paralegal 2 after two years at most. Here at the UW, our paralegals have 10, 6, and 4 years of experience, respectively. At the Seattle-based Divisions of the Attorney General's Office, there are 44 Paralegals. Five are Paralegal 1, while 34 are Paralegal 2 and five are Paralegal 3 (with training and/or supervisory responsibilities). When examining actual job duties of our three paralegals, we found differences between the work they are doing and their classifications. These are distinguished, as the state specification says, in that they involve "more complex duties and responsibilities, which are performed with greater independence." We request funds to reclassify all three paralegal positions here at the UW.

E-billing. We are requesting funds for an E-billing system. The funding request above is based on estimates from Keith Schultz, a Sales Consultant with Serengeti Law, a Thomson Reuters company, one possible vendor for E-billing software. If authorized, we would conduct a competitive procurement which could potentially reduce the cost. The annual Software-As-Service fee and one-time implementation fee are based on annual outside Special Assistant Attorney General (SAAG) costs of between \$3 million and \$10 million (\$36,180 and \$6,030 is for \$3 million; \$64,164 and \$10,694 is for \$10 million).

We request the initial funding of \$36,180 plus the \$6,030 so that the SAAG billing for SAAG contracts not monitored by other departments can be done as a pilot project to gauge whether the E-billing system should be used by all users of SAAG services.