

Administrative Unit Name: Attorney General's Office

Please complete this Word document and the accompanying Excel workbook (both of which were provided to your unit via email), and submit them to the Office of Planning & Budgeting (OPB) on or before **Friday, November 18**. Please email your materials to [Becka Johnson Poppe](#).

1. In the **“Planned Expenditures”** tab of the Excel workbook, please provide the following information for each functional area of your unit:¹
 - a) A description of how the functional area **contributes to the University’s missions** (research, service and teaching) and the risks the University would face if this work were no longer funded;² and
 - b) Provide information regarding your unit’s **projected FTEs and planned expenditures for FY17 and FY18**:
 - i) Expenditure estimates should be broken down by:
 - *Fund type*: permanent ABB funds (i.e. GOF and DOF, excluding carryover) and, if applicable, funds derived from self-sustaining efforts, grants and contracts, philanthropy, and other sources.
 - *Expenditure type*: salaries and benefits, goods and services, contractual services, travel, and other.
 - ii) 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 FY17, etc. Also, please explain the “other” category, if you put expenses into that column.

For guidance, please see the example posted at the [FY18 Budget Development webpage](#).

By statute the Office of the Attorney General must provide legal advice and representation to the University. The UW AGO Division is the designated provider of such advice and representation. The Division’s work can be divided into three groups. Counseling (advising clients on specific matters); preventative law (collaborating with Risk Services and internal audit to help prevent legal problems before they arise); and formal dispute resolution (claims, lawsuits, administrative proceedings). Most lawsuits are handled by Special Assistant Attorneys General (SAAGs) primarily managed by Risk Services and such costs are not within our budget. It bears mentioning, however, that AAGs do help Risk Services employees on some matters relating to oversight of SAAGs assigned to cases. Also, there are other SAAG costs incurred by other departments around campus. Those SAAG costs are not included in this overview. Most of the Division’s work is focused on counseling and preventative law. Our legal services help ensure that contracts, agreements, policies and similar documents, needed to conduct research, educate students, comply with applicable law. If the Division is not fully funded risks would include: higher likelihood of lawsuits arising from documents that do not meet legal standards, investigations and complaints from regulatory agencies and an increased use of more expensive SAAGs.

¹ “Functional area” is most easily described as a level of granularity that reflects your unit’s org chart and is reconcilable to your unit’s organization code structure. However, if this results in an unwieldy number of “functional areas” for your unit (i.e. more than 7 or 8), please note this in your materials and provide a more manageable level of granularity. As a general guideline, we anticipate 3-7 functional areas per unit.

² Please refer the following document for more information about the [University’s Sustainable Academic Business Plan \(SABP\) goals and top institutional risks](#).

2. A number of variables (e.g. the outcome of the 2017 legislative session) will heavily influence the availability of funds for FY18 merit increases. Despite these unknowns, planning for compensation increases has no doubt begun already. Units should plan to receive less funding than may be necessary to implement the full average merit increases for GOF- and DOF-funded positions. **Please tell us how your unit plans to deploy existing resources, establish new revenue streams (if applicable), and/or pursue additional efficiencies to support merit increases in FY18.** *Please respond in 300 words or fewer.*
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We are not in a position to generate revenue. We have asked the legislature for additional funds to cover the addition of an attorney to advise UW Bothell. Currently that position is being funded by UW Bothell via an IAA. In an effort to remain lean we have not sought to hire additional support staff despite the increase in attorneys. We are also making an effort to optimize the use of AAGs by prioritizing work based on risk. In addition we have been able to reach out to other AGO divisions for assistance. We hope to implement an e-billing system which will allow the Fiscal Specialist to cover additional administrative tasks. We are also evaluating the level of knowledge needed for jobs within the division and where possible will hire less expensive support, but if more experienced or knowledgeable staff will be more efficient we will assess that as well.

3. 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, clearer priorities, increased accountability, and elimination of unnecessary bureaucracy and redundancies. Please answer the following questions:
- What are 3-5 new things that your unit is doing this fiscal year to align with the [TAP principles for central administrative units](#) and to create and enhance a culture of service? *Please respond within a 300-word bulleted list and please be specific.*
 - How can your unit collaborate with other units (academic and administrative units outside of your own) to be more effective and reduce costs? *Please respond in 200 words or fewer.*
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TAP Principles

1. The entire office has been asked to be responsive by responding to emails or calls within one day. This does not mean calling and answering "yes". It means communicating with clients to make sure when a response is anticipated. We have emphasized the need to keep the clients informed of the progress of our work.
2. While it has taken longer than expected to do an RFP for E-billing, responses are due in November and we hope to find a solution that will create efficiencies and provide additional metrics for assessing SAAG work.
3. We worked with AGO Information Services Division (ISD) & UW IT to implement a Virtual Private Network (VPN) that allows our division to access document management software used by other AGO divisions. We regularly collaborate with other offices. We have worked with HR to cover Unfair Labor Practice complaints rather than use SAAGs. We collaborate with risk services to assess appropriate representation in early claims and lawsuits involving supporting organizations. In an effort to save SAAG costs the office has handled several mediations that would have otherwise required an SAAG. We have worked with risk management and internal audit to move the compliance services projects forward. Regarding Title IX we have worked with faculty and staff to develop policies helpful to the University.

4. Please describe **your unit's emerging or changing personnel needs**—prompted by changes that either your unit or the institution is facing—**and what your unit will do to meet these needs without creating new FTE positions** (e.g. redeploying FTE among other functional areas). *Please respond in 300 words or fewer.*
- At your unit's meeting with the Provost **please be prepared to discuss your unit's succession planning activities.**
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I am interested in making some limited changes to the staff structure (not attorneys). We currently have an administrator who supervises 10 other staff. I would like to consider making smaller groups by promoting a legal assistant 2 to a legal assistant 4 and have that person supervise the other 2 legal assistants and office assistant. Similarly I would like a paralegal supervisor who can be responsible for coordinating the work of three paralegals. With more focused coordination I think the staff will be more efficient. It also addresses succession planning by giving people future opportunities as others retire.

5. **Please identify any significant obstacles or challenges** 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. *Please respond in 300 words or fewer.*
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In the course of seeking input from clients on the performance of division attorneys the recurring comments pertained to the appearance that the attorneys have too much work and that can at times cause a delay in advice. This is not a new concern and it is probably the most frequent comment received over the last 10 years. While we have added attorneys recently it continues to appear there is more work than the attorneys can cover. If we assume that adding more staff is not an option, there needs to be a better system for prioritizing work. This could include a limit on who can seek advice from division attorneys. It might be helpful to have schools, colleges and departments identify who can go to the division for advice. A decision also needs to be made regarding public records litigation which is absorbing an inordinate amount of AAG time at the moment. Public records processing is a significant UW risk and having a system for advising on (which the UW division currently does and can continue to do) and litigating (which should be a SAAG or will require another AAG be hired) is very important. I also anticipate an increase in legal support for the University's decisions regarding Title IX compliance. At least for the next year to a year and a half there is likely to be increased focus and legal issues raised as the University transitions to a new process.

6. Please **update the carryover usage plan you submitted as part of last year’s budget development process**. To do so, please complete the **“Updated Carryover Usage Plan” tab** of the Excel workbook. Please note:
- Your worksheet is pre-populated with the carryover usage plan you submitted last year, new estimated carryover totals, and new reserve figures.³
 - Please provide updated numbers under "Updated Plan" (Columns H-K).
 - If you have new line items, please add rows, as needed.
 - For any major updates, please provide a brief description of the change (Column L).

Please note, although cost allocations for the HR/Payroll Modernization Program won’t be available until the new system goes live, units are encouraged to incorporate the original allocations (from the HR/Payroll Cost Allocation plan) into their carryover spending plans. For units that made prepayments, all funds have been held in reserve, and will be applied to your future cost allocations.

If you would like to describe any items from the worksheet in greater detail, please use the space below. **For additional guidance**, please see the example posted at the [FY18 Budget Development webpage](#).

If your unit has a **deficit** instead of a carryover, please confirm that you have an updated deficit mitigation plan in place with OPB. If you do not, please explain why.

PLEASE NOTE: As the Attorney General’s Office does not receive a carryover, this question does not need to be answered. The “Updated Carryover Usage Plan” tab has been removed from this unit’s Excel workbook.

7. For FY18, the Provost will be deploying *permanent* Provost Reinvestment Funds (PRF) primarily, if not exclusively, to cover compensation increases. Thus, **units are asked to limit PRF requests to temporary funding needed to address critical compliance and/or high institutional priority needs.**⁴

If your unit has a PRF request that fits within these strict parameters, please describe it in the **“PRF Request” tab** of the Excel workbook. Please also indicate what you are willing to commit as a match for PRF support.

The University should consider temporary funding for legal work related to Title IX and public records compliance.

No formal PRF requests.

³ As a reminder, carryover balances are calculated at the end of each biennium and can only be *estimated* mid-biennium.

⁴ Please refer to the University’s [Sustainable Academic Business Plan](#) for more information about top institutional goals.

FY17 & FY18 Planned Expenditures - Administrative Units

Please use the fields below to provide information for **each functional area** of your unit. "Functional area" is most easily described as a level of granularity that reflects your unit's org chart and is reconcilable to your unit's organization code structure. However, if this results in an unwieldy number of "functional areas" for your unit (i.e. more than 7 or 8), please provide a more manageable level of granularity. As a general guideline, we anticipate 3-7 functional areas per unit.

For guidance, please see the example posted at the FY18 Budget Development webpage: <http://opb.washington.edu/fy18-unit-budget-development>

BT = Budget Type OC = Object Code

NAME OF AREA: 01-4212 (GOF) & 74-4212 (DOF) - Attorney General's Division support for staff and operations.						
<i>This is where the our staff positions and operations are funded.</i>						
FISCAL YEAR 2017						
Fund Source	FTE	Projected Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)	12.00	\$898,728.00	\$ 158,355	\$ 220	\$ 5,068	
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)						
Philanthropy, or Gifts & Discretionary (BT 06)						
Total	12.00	\$ 898,728	\$ 158,355	\$ 220	\$ 5,068	-
FISCAL YEAR 2018						
Fund Source	FTE	Planned Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)	12.00	\$ 914,990	\$ 158,355	\$ 220	\$ 5,068	
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)						
Philanthropy, or Gifts & Discretionary (BT 06)						
Total	12.00	\$ 914,990	\$ 158,355	\$ 220	\$ 5,068	-
<i>Assumptions: FTE levels are maintained at the FY17 level, and FY17 permanent funding is continued into FY18. Since the UW's state budget submission requested funding for a 4% compensation increase for professional staff in FY18, our FY18 calculations include salary increases over the FY17 base for our 2 professional staff FTEs. We also included a 2% increase for non-professional staff per the SEIU 925-UW 2017-2019 Agreement. FY17 benefit load rates were used for FY17 and FY18 calculations.</i>						

NAME OF AREA: 01-4220 Attorney General Litigation (GOF)

GOF support for costs directly attributable to litigation such as OPMA litigation, outside counsel, court reports, filing fees, copies, etc.

FISCAL YEAR 2017

Fund Source	FTE	Projected Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)			\$160,000			
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)						
Philanthropy, or Gifts & Discretionary (BT 06)						
Total	0.00	\$ -	\$ 160,000	\$ -	\$ -	\$ -

FISCAL YEAR 2018

Fund Source	FTE	Planned Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)			\$ 160,000			
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)						
Philanthropy, or Gifts & Discretionary (BT 06)						
Total	0.00	\$ -	\$ 160,000	\$ -	\$ -	\$ -

The amounts listed under Goods & Services for both FY17 and FY 18 are based on FY17 budgeted amounts rather than FY17 actual expenditures.

NAME OF AREA: 64-1432 AG Support Fund

Discretionary budget; this is where we charge food. This is also where \$651K was placed to pay for faculty labor work.

FISCAL YEAR 2017

Fund Source	FTE	Projected Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 38)
GOF/DOF, excluding carryover (BT 01)						\$ 129,905
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)						
Philanthropy, or Gifts & Discretionary (BT 06)						
Total	0.00	\$ -	\$ -	\$ -	\$ -	\$ 129,905

FISCAL YEAR 2018

Fund Source	FTE	Planned Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)						\$ 7,000
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)						
Philanthropy, or Gifts & Discretionary (BT 06)						
Total	0.00	\$ -	\$ -	\$ -	\$ -	\$ 7,000

Other (Description) : Unallocated Expenditure Budget

Please copy and paste more templates below if needed