

**Administrative Unit Name:** Academic Personnel

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 **Thursday, February 1, 2018**.

Please email your materials to [Jason Campbell](#).

Please note that the responses you provide in this Word document **will** be posted to the OPB website.

**1. What is the programmatic vitality of your unit?**

Please provide both quantitative and qualitative information, leveraging published materials and [previous submissions](#) where possible. In your response to this question, you may wish to include responses to some or all of the following prompts. Please note that these are suggestions, not requirements.

- What are the top 3-5 strategic goals of your unit? Could any of these goals increase expenditures or decrease revenue for other units?
- What is your unit doing to effectively use resources in a way that benefits your unit and/or other units outside of our own?
- 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 500 words or fewer and please use bullets, rather than dense prose.

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**Programmatic Vitality**

Academic Personnel (AP) provides a variety of resources and services, which are fundamental to the lifecycle of faculty, librarians, and other academic staff at a world class public research university, related to recruitment, appointment, retention, promotion and career transition, and career advancement. We strive to support our academic partners and ensure that these fundamental processes are performed with the highest standards of ethics, integrity and compliance with institutional policy and regulatory obligations.

AP is committed to aligning its strategy map with the survey results from the TAP initiative. We are using this opportunity to improve our understanding of customer needs and requirements, resolve problems effectively, and make changes in a direction that better meets customer needs. Action plans and goals have been established in each of our strategic priorities. These efforts are being pursued concurrent with ongoing day-to-day business priorities and regulatory obligations including an OFCCP audit, increased regulatory complexities of immigration, and labor relations initiatives.

AP is proactively engaged in strategic planning and critical thinking about emerging priorities and issues facing the institution and higher education.

### Top 3-5 strategic goals

AP's top four strategic priorities are 1) leverage technology; 2) expand academic partner training; 3) enhance communication; and 4) improve organizational effectiveness. Sixteen action items with well-defined deliverables are already in place for 2017-18 with significant progress made toward fulfillment.

#### 1. Leverage Technology

- Selection and implementation of a cloud-based applicant tracking system to streamline process and service. A contract with Interfolio has been signed with Go-Live scheduled for July 1, 2018.
- Stabilize and leverage Workday to streamline business processes and support decision-making
- Significant efforts have gone into data clean-up, configuration adjustments, and communication/training updates associated with conversion to Workday
- Business process improvements will be ongoing but to-date have included issues such as off-quarter hiatus, reporting, and compensation
- Other initiatives are on the action plan for initial exploration and requirements gathering, such as:
  - implementation of UW's document management system
  - options for web-based training
  - implementation of cloud-based/digital solutions for the promotion/tenure process
  - automation/digitalization for visa requests and case tracking
  - enhancement of the hiring plan tool

#### 2. Expand Academic Partner Training

- Provide relevant and timely training
- Implemented a chair's leadership training series in 2017-18 – future offerings will be coordinated with academic and business partners
- Survey/assessment of training needs

#### 3. Enhance Communication

- Academic Personnel Website: improve its clarity, scope and validate content

#### 4. Organizational Effectiveness

- Workday implementation has provided a timely opportunity to comprehensively assess AP's emerging and changing service priorities and personnel needs.
- Consultants have been engaged to gather data and provide recommendations for the scope and structure of Academic Personnel

### Impact of goals on expenditures or revenue for other units

Anticipated adoption of enterprise-wide solutions (leveraging technology) to support major academic personnel business processes will likely result in increased expenditures due to product/vendor, project management, and recurring administrative costs. These increased costs will lead to distributed efficiencies and effectiveness across the institution.

**Effective use of resources that benefit Academic Personnel and/or other units**

Using temporary carryover fund balances, Academic Personnel has engaged two key consultants to continue extensive stabilization efforts related to Workday and to facilitate our organizational assessment efforts. This work has led to enhanced relationships with ISC, UWHR, and UWIT and will result in institution-wide benefits.

Efforts to leverage technology will result in streamlined workflow processes, improved efficiency, expanded training opportunities, and enhanced compliance.

**Academic Personnel's emerging or changing personnel needs – prompted by changes that either your unit or the institution is facing – and plan to meet these needs without creating new FTE positions (e.g. redeploying FTE among other functional areas).**

With the implementation of Workday and the results of the TAP survey, it was an appropriate time to initiate an organizational assessment that may yield recommendations to redefine, redistribute, or reorganize the personnel structure of Academic Personnel. This effort was undertaken with the expectation that Academic Personnel would strive to function within its existing resources.

## 2. What is the fiscal vitality of your unit?

To answer this question, please complete the following tabs in the Annual Review Excel workbook:

- On the **purple tabs, i.e. the “Fiscal Reports,”** please:<sup>1</sup>
  - Review the prepopulated FY16 and FY17 fields on each fund source tab. The “Fiscal Vitality References and Tools” workbook (described below) provides information to help with this review.
  - Provide full revenue and expenditure plans for FY18, FY19, FY20, and FY21.
  - If there is an area of your unit that you wish to isolate in more detail (i.e. significant departmental self-sustaining, clinical, etc.), feel free to submit an additional fiscal (i.e. dark purple) tab.
  - Enter totals from each of the tabs into the Summary tab.
- On the **“Alternative Assumptions”** tab, please clearly identify and briefly explain any assumptions used in your calculations that are *different* from the [Central Budget Assumptions](#) on OPB’s [FY19 Annual Review Materials webpage](#). You are encouraged to refine and adjust the central assumptions, which are (in many cases) general and imperfect.
- On the **“Fiscal Vitality Qualitative Assessment”** tab of the Fiscal Vitality Report Excel workbook, please describe your unit’s overall financial health. If your unit’s fiscal data shows any negative (i.e. financially unhealthy) trends, please propose actions that your unit will take to improve its financial position.

The following resources are available to help you complete this work:

- **“Fiscal Vitality References & Tools” Workbook** (available on the [FY19 Annual Review Materials webpage](#)):
  - FVRowByRowDefinitions Tab: row-by-row general and unit specific parameters used to compile data in the Fiscal Vitality Reports Summary and Fund Source tabs.
  - BgtTypeClassInfo Tab: list of budget types, classes, super classes, family, and community that are referenced in the FVRowByRowDefinitions tab.
  - FVExpendituresPivot and FVBudgetRevenue&CarryoverPivot Tabs: budget number detail supporting the Summary and Fund Source data in the purple tabs of the Annual Review Excel workbook.
- **FY18 GOF/DOF Budget Base:** By November 22, OPB will provide FY18 permanent and temporary budgeted values, as of October 2017 fiscal month end. You can build off these for your FY18 plan, but you will need to adjust for any budget revisions that have occurred (or will occur) since October 2017 fiscal month end.
- **[BI Portal Reports](#)** (click on the B.I.Portal link under “Products”): Each report has Overview, Technical Information, and Interpretation tabs that describe the report, what is included in the data, the data sources, and how to use the report. Note, data may differ between reports, but they can still be used as resources.
  - Biennium To Date Budget Balances
  - Remaining Balance by OrgCode and Category
  - Forecasting Template by Fiscal Year and OrgCode (please note, this tool will imperfectly forecast expenditures if units employ fund shifts or cost transfers)
- **[Central Budget Assumptions](#)** (mentioned above), which includes additional resources and guidelines.
- **Q&A Sessions on November 28 and 30.** See the [FY19 Annual Review Materials webpage](#) for details.

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<sup>1</sup> Please note that grants, contracts, and gifts are included in the report to provide the Provost with a more holistic view of a unit’s financial activities. The amounts can be reconciled to FAS for biennium 2015-17. However, the grants & contracts amounts will differ from the Annual Report, prepared by the Office of Research. Also, grants, contracts and gifts amounts might differ from the BI Portal “Remaining Balance by OrgCode and Category Report.” In both cases, and possibly with other BI Portal reports, this is due to differences in data elements, context, and reporting period parameters. While the information is not perfect, it is included to facilitate discussions about the unit’s overall financial health.

3. 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.<sup>2</sup>
- Please provide updated numbers in the "Updated Plan" column.
- If you have new line items, please add rows, as needed.
- For any major updates, please provide a brief description in the "Explanation of Changes/Updates" column.

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 [FY19 Annual Review Materials webpage](#).

Please note:

- 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 contact [Lisa McDonald](#).
- If you believe the carryover for your unit is negative due to timing and if you anticipate a positive balance soon, please discuss this below and feel free to provide an updated carryover spending plan.
- Since the Office of the President and the Attorney General's Office do not retain carryover funds, as a matter of University policy, those two offices are not expected to complete this question.

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A critical AP service unit is our International Scholars Operations (ISO) that supports the visa sponsorship process for the entire University. The visa process service has a cost-center recharge component and the last fee increase was implemented in FY14. ISO cost center has been operating within collected revenue and was able to build a modest surplus between FY14 and FY16.

However, in the past 2 years, immigration laws have become more complex and requirements for maintaining compliance with USCIS regulations have increased. The need to manage and handle difficult visa cases as well as normal operations resulted in a need to increase staffing with the required subject matter expertise. Therefore, AP will be submitting a request to the Provost to increase ISO administrative fee, effective FY19, in order to continue critical visa services.

AP is proposing a fee increase of 10% beginning FY19 and for the next two fiscal years (FY20 and FY21). However, with current personnel and operating costs, we are projecting a deficit ending balance for FY18, as well as for FY19, FY20 and FY21. AP plans to reverse the deficit trend by FY22 through maintaining and/or reallocating expenses along with an appropriate annual fee increase to cover direct costs, if approved.

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<sup>2</sup> As a reminder, carryover balances are calculated at the end of each biennium and unit balances are accurate as of month 25.