

**Administrative Unit Name:** Planning & Budgeting

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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1. OPB articulated three primary goals for FY18: build our new team; improve resource planning and forecasting; and, expand analytical leadership capacity and output. Each of these goals was established through a number of conversations with stakeholders in other student- and faculty-facing administrative units, as well as schools and colleges. Importantly, each of these goals is grounded by a series of additional actions and processes, all of which are identified in attachment 1, "OPB\_FY18\_For\_Web."
  2. OPB recently concluded a re-organization of its staff; in doing so, it eliminated several positions and hired new personnel who are better equipped to serve our institution as it prepares for a transformation of its finance and business operations and systems. OPB is smaller in terms of staff than it has been in decades, but it has more capacity to do the work unit administrators desire of us. OPB meets monthly with academic administrators to determine our short- and long-term projects and the scope of our major projects. The Associate Vice Provost meets weekly with faculty leadership and regularly with students and deans, supporting the Provost's role as chief academic and budget officer.
  3. OPB's re-organization was in response to two primary imperatives: execute work with fewer resources and respond to the needs of campus in agile ways, with an eye to future analytical goals. Our unit leverages the technical and analytical skills from different individuals across its departments in agile ways, obviating the need for multiple and potentially duplicative staff. In weekly staff meetings, OPB leadership define pressing needs and share resources to swiftly meet demands. Its units are roughly defined as follows, but a great deal of collaboration ensures that our departmental borders remain porous in order to get word done well and quickly.

Financial Analysis & Budget Strategy		State Budget Planning & Analysis	Institutional Data & Analysis
<p>Budget Operations:</p> <ul style="list-style-type: none"> <li>Budget transactions</li> <li>Budget revisions request (BRR's) &amp; commitments (CT's)</li> <li>Building budget reports from UW systems</li> <li>Overhead (OH) policy, data, fiscal</li> <li>Deficit policy and tracking</li> <li>Building UW Budget System (BGT) and salary module</li> <li>Annual allocation of fiscal year funds</li> </ul>	<p>Financial Analysis &amp; Strategy</p> <ul style="list-style-type: none"> <li>Financial and budget modeling</li> <li>Integration of Activity Based Budgeting (ABB) modeling</li> <li>Resource planning</li> <li>Unit consulting</li> <li>Policy research and development</li> <li>Revenue and expense projection</li> <li>Develop finance &amp; budget data models and tools for standard use by campus units</li> </ul>	<ul style="list-style-type: none"> <li>Policy research and development</li> <li>State budget submission and analysis</li> <li>State Legislative bills tracking</li> <li>Fiscal notes</li> <li>Manage and handle state government inquiries and requests for information</li> <li>Manage submission of budgets to the Board of Regents</li> <li>State Reporting</li> <li>Course fee oversight</li> <li>Fee-based program and policy oversight</li> <li>Tuition policy formation and oversight</li> <li>Higher education policy briefs</li> <li>State and federal higher education advocacy and process</li> <li>Student Technology Fee participation, fee revenue projections, approvals and Board of Regents coordination</li> <li>Services and Activities Fee participation, fee revenue projections, approvals and Board of Regents coordination</li> </ul>	<ul style="list-style-type: none"> <li>Predictive analyses</li> <li>Enrollment management liaison</li> <li>Policy research and development</li> <li>Data management</li> <li>Data architecture with manager, data architecture and computing</li> <li>Federal and state reporting</li> <li>External survey reporting</li> <li>Manage ad hoc data report requests from internal/external constituents</li> <li>Data resources for visuals</li> <li>Data publication</li> <li>OPB internal data systems and technology</li> </ul>

## 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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<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.