

Administrative Unit Name: Office of Planning & Budgeting, Executive 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](#).

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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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OPB is a small unit, composed of less than 20 FTE. Nevertheless, we are committed to ensuring that the resources deployed for our operations are wisely and conscientiously utilized in support of the University's mission. We plan to use a planned retirement and an upcoming reorganization of our unit to make available permanent funds for merit increases and to align our activities in service of a changing suite of needs from schools and colleges.

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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The **Repository for Adhoc Data and Annual Reports (RADAR)** project supports our goal of moving from reactive to proactive in our response OPB's institutional analysis team improve communication with campus partners; document methods and definitions used for increased consistency in reporting; and add operational efficiency to the reporting process. As a result, we anticipate a more streamlined process for gathering, querying, and updating regular and ad hoc reports; saving both time and resources.

PNBDB Migration Phase II for Finance focuses on process and technical improvements that promote efficiencies and enhanced management reporting. We are continuing to collaborate with UW IT to streamline and automate high value reporting processes and develop integrated data structures that effectively support existing and unmet management reporting and analysis needs. This collaboration will help reduce costs by decreasing the time and effort to produce existing reports and intends to support future reporting, analyses and visualization requests. On an on-going basis, it will also improve productivity and service to campus partners by providing management information in a timelier manner.

OPB is working through a **reorganization effort** to make progress towards three goals: first, consider the evolving service levels needed to sustain and improve the financial health of the University's academic and administrative units; second, wherever possible, provide technical solutions and approachable data to accommodate more self-service; and finally, enhance agility of our own staff through cross-training and a focus on deeper subject expertise, rather than broad and shallow subject expertise.

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.**

Our unit faces a number of emerging and changing personnel needs. Importantly, we constantly look to improve our technological capacity as new tools are developed and information is available to a broader audience. We want to spend less time producing ad hoc reports and more time producing analytical resources with readily available data. Moving our homegrown database and much of our core data to the EDW eventually is required. In doing so, OPB staff must enhance analytical skills and increasingly look to specialize in subject matter domains (e.g. fee policy, unit financial assistance, ABB assistance, etc.).

Honing our analytical power in strategic domains will allow us to be more agile as major IT infrastructure changes obviate the need for much of the transactional work we do.

Planning & Budgeting is working with central Human Resources to establish a succession plan for our unit.

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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OPB faces a similar operational question as many administrative units; that is, how to maintain a suite of services that many units expect of us while moving towards modernizing our work to accomplish increased efficiencies and discontinue work that can be accomplished through technological, or other means.

During FY16, OPB moved closer to providing all Activity Based Budget (ABB) data in an online platform and as a result, we were able to eliminate one fulltime position. However, OPB remains committed to serving schools, colleges and campuses as technology proficiencies in those units vary.

As a result, we cannot reduce or eliminate so many positions as to jeopardize our ability to support units' administrators, deans/chancellors, and vice presidents/vice provosts. In order to ensure that OPB remains a lean and efficient, yet service-oriented unit, we are going to rely upon an assumption that those to whom we provide service become more technologically savvy and are able to make good use of tools provided.

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).

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

- 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.

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.

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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

OPB's Institutional Analysis (IA)

IA is responsible for providing quantitative analyses and predictive models that support UW decisions and planning. IA produces the projections of operating and building fee revenue, financial aid need calculations, and aid allocations that are used in the Regents' budget and ultimately determine unit-level allocations. IA is also responsible for managing and documenting the ABB unit-level tuition allocation model. In addition, IA responds to a wide variety of internal and external requests for information, including national surveys (such as those used for college rankings). Importantly, IA is responsible for submitting required data to state and federal data systems. IA serves a critical role as the subject matter expert for significant areas of institutional data, working with UW-IT and others to transition the UW's various data stores to an integrated, well-defined data warehouse. IA has also been central to the development of UW Profiles and Public Profiles, the UW's first open institutional data dashboard. If funding for IA were reduced, the UW would risk being out of compliance with state and federal laws and reporting requirements. In addition, the robustness and timeliness of analyses and reports for UW leaders and the UW community would be compromised, as would efforts to increase innovation and improve service. That said, IA will be identifying opportunities to reduce salary and benefits expenditures in a strategic manner that is responsive to Provost and campus needs. The salary and benefit expenditures in the table below are based on the assumptions noted beneath the table and should be viewed as a ceiling.

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)	8.00	\$ 974,901	\$ 49,348	\$ -	\$ 8,421	\$ -
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)						
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 500			
Total	8.00	\$ 974,901	\$ 49,848	\$ -		\$ -

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)	8.00	\$ 1,019,633	\$ 49,348	\$ -	\$ 8,421	\$ -
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)						
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 500			
Total	8.00	\$ 1,019,633	\$ 49,848	\$ -		\$ -

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 in FY18, our FY18 calculations includes a 4% merit increase over the FY17 base. FY17 benefit load rates were used for FY17 and FY18 calculations.

OPB's Budget Office

The Budget Office assists the Provost by monitoring and maintaining the University's operating budget and by managing allocations for all GOF/DOF revenue. The office provides budget-related reports to the administration and Regents, and responds to ad-hoc requests for budget and/or expenditure data. It analyzes units' requests for revisions to their budgets and makes recommendations to the Associate Vice Provost regarding approval. The Office also conducts policy analysis and review, and is often consulted as an expert in the financial and budget areas. The office manages and provides critical support to colleges, schools, and administrative organizations in the following content areas: salary merit process, administrative and institutional overhead, fee policy, state budget development, state allotment process, budget to actual spending analyses, indirect cost recovery projections, ABB budgeting, student fee committee work, unit deficit policy management and plan development, Regents' budget planning and production, unit allocations, district energy analysis, and more. Staff have provided critical support for the current HR/Payroll replacement project and will do so for the Finance replacement project as well. If funding for the Budget Office were reduced, it would impact the Office's ability to comply with laws regarding the timely and appropriate drawdown of certain funds. In addition, given the Office's work on deficit-related issues, the in-house database conversion, and HR/P and Finance projects, a reduction in funding could impact compliance with University and state budget policies. At the most basic level, the Budget Office's ability to provide timely reports and analysis to UW leaders, and to take on new critical projects, would be compromised. That said, the Budget Office will be identifying opportunities to reduce salary and benefits expenditures in a strategic manner that is responsive to Provost and campus needs. The salary and benefit expenditures in the table below are based on the assumptions noted beneath the table and should be viewed as a ceiling.

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)	7.00	\$ 916,359	\$ 48,706		\$ 7,368	
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)						
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 500			
Total	7.00	\$ 916,359	\$ 49,206	\$ -		\$ -

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)	7.00	\$ 957,935	\$ 48,706		\$ 7,368	
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)						
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 500			
Total	7.00	\$ 957,935	\$ 49,206	\$ -		\$ -

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 in FY18, our FY18 calculations includes a 4% merit increase over the FY17 base. FY17 benefit load rates were used for FY17 and FY18 calculations.

OPB's Associate Vice Provost Office (AVP) and State Operations

The AVP and State Operations group is responsible for maintaining and managing the Provost's budget process. In addition, this office provides the Provost, President and other University decision-makers with budget and policy research needed to inform policy decisions. This office manages the UW's internal and state budget cycles; produces ad-hoc and periodic policy research; tracks and evaluates bills for both state and federal legislative processes; and maintains OPB's website, blog and communication strategy. The AVP's office also conducts the administrative activities and services for OPB, including: scheduling, leave and payroll, travel approval, event planning, etc. The AVP and State Operations group serves a critical role in tracking state budget decisions and ensuring the state considers university needs during the budget decision process. The risk of reducing funding for this office is that the needs of the university would not be well represented to the state legislature and funding from the state could be impacted. More specifically, risks would involve not complying with legal requirements for fiscal notes, state budget requests, and other legislative mandates. There would also be a strained ability to respond to the needs of the Provost, the campus and outside constituents with less robust analyses. That said, this group will be identifying opportunities to reduce salary and benefits expenditures in a strategic manner that is responsive to Provost and campus needs. The salary and benefit expenditures in the table below are based on the assumptions noted beneath the table and should be viewed as a ceiling.

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)	4.00	\$ 561,519	\$ 27,832		\$ 4,211	
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)						
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 2,000			
Total	4.00	\$ 561,519	\$ 29,832	\$ -		\$ -

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)	4.00	\$ 586,816	\$ 27,832		\$ 4,211	
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)						
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 2,000			
Total	4.00	\$ 586,816	\$ 29,832	\$ -		\$ -

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 in FY18, our FY18 calculations includes a 4% merit increase over the FY17 base. FY17 benefit load rates were used for FY17 and FY18 calculations.

Updated Carryover Usage Plan - Administrative Units

Please use this template to provide an update on the carryover usage plan you submitted last year.

INSTRUCTIONS: Please do not change the numbers under "Previous Plan" (Columns C-F). Instead, please provide updated numbers under "Updated Plan" (Columns H-K). If you have new line items, please add rows, as needed. For any updates, please provide a brief description of the change (Column L). See the Word template for notes regarding HR/Payroll cost allocations. For additional guidance, please see the example posted at the FY18 Budget Development webpage: <http://opb.washington.edu/fy18-unit-budget-development>

PLEASE NOTE: The Office of Planning & Budgeting used to be part of Planning & Management. The "Previous Plan" shown here was provided by Planning & Management for the FY17 budget process.

	PREVIOUS PLAN (Do Not Update)				Carryover into FY16: \$ 1,350,239	UPDATED PLAN (Please Complete)			Est. Carryover into FY17: \$ 98,612 *	
Unit: Office of Planning & Budgeting	Committed Year(s)	# of Years	Annual \$ Amount	Totals	Committed Year(s)	# of Years	Annual \$ Amount	Totals	Explanation of Changes/Updates	
Usage Categories and Descriptions										
Unit's Reserve (10% of permanent ABB budget)										
	FY17	1	\$ 537,650	\$ 537,650	FY18	1	\$ 98,612	\$ 98,612	Start of reserve buildup to \$261K	
	Total Unit's Reserve:			\$ 537,650	Total Unit's Reserve:			\$ 98,612		
Central Commitments										
1. South Campus Study (carryover from FY15)	FY16	1	\$ 200,000	\$ 200,000	<i>e.g. FY17- FY19</i>	<i>e.g. 3</i>		\$ -		
2. Campus Master Plan (carryover from FY15)	FY16	1	\$ 324,402	\$ 324,402				\$ -		
3. Business Diversity Program bridge funding	FY16, FY17	2	\$ 13,000	\$ 26,000				\$ -		
<i>Add more lines as needed</i>				\$ -				\$ -		
	Total Central Commitments:			\$ 550,402	Total Central Commitments:			\$ -		
"Spending Plan" Permanent Costs & Other Projects										
A. Perm expenditures funded with temp funds										
				\$ -	<i>e.g. FY17- FY19</i>	<i>e.g. 3</i>		\$ -		
				\$ -				\$ -		
				\$ -				\$ -		
B. Possible multi-year commitments										
				\$ -				\$ -		
				\$ -				\$ -		
				\$ -				\$ -		
C. Immediate, current year use										
1. Fund developers to work on with IT's EDW	FY16	1	\$ 150,000	\$ 150,000				\$ -		
2. Institutional overhead calculation methodology review	FY16	1	\$ 46,000	\$ 46,000				\$ -		
3. Climate change action plan	FY16	1	\$ 35,000	\$ 35,000				\$ -		
4. Space update for OE/TAP work	FY16	1	\$ 20,000	\$ 20,000				\$ -		
5. Responsible Party training tool development	FY16	1	\$ 3,500	\$ 3,500				\$ -		
6. Public art conservation	FY16	1	\$ 39,530	\$ 39,530				\$ -		
<i>Add more lines as needed</i>				\$ -				\$ -		
	Total Permanent Costs & Other Projects:			\$ 294,030	Total Permanent Costs & Other Projects:			\$ -		
	PRIOR PLAN TOTAL: \$ 1,382,082				UPDATED PLAN TOTAL: \$ 98,612 **					

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

** Because carryover balances are estimated, and many of these priorities transcend multiple years, we do not expect this total to exactly match your unit's carryover total.