

Administrative Unit Name: Academic Personnel (Provost Unit)

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 primary mission of Academic Personnel is to support the appointment and retention of the best faculty, librarians, and academic staff for a global university. In 2014, AP began work on an updated strategic plan that would address current and future business and service needs. AP completed its strategic plan in spring 2015 and the result reflects AP's continued commitment to uphold its mission. Our vision is to be recognized and respected as a provider of superior services and an expert institutional resource in support of a high quality work and learning environment. Therefore, AP's goals and projects, as noted below, align with many of the TAP principles.

Workday Implementation: AP is collaborating in and involved at every level of the Workday/HR Payroll Modernization Program.

- *Workday Readiness and Business Planning: Working with an outside consultant, AP is developing a readiness and support roadmap for the rollout of Workday. This includes, but not limited to, reviewing and re-designing AP business flows and service functions; identifying written policies, websites, forms and other documentation that will need to be changed or developed; and designing training in collaboration with ICM. Throughout this process, AP will work to identify opportunities to standardize processes and procedures.*
- *Academic Personnel Data Migration: After June 16, 2016, appointment information will be captured in Workday, but historical appointment information will not be uploaded into Workday. AP will make "static" historical appointment data available to academic units for their use in tracking and managing academic appointments. In addition, AP will build a portal for access to the tenure/promotion "clock" of assistant professors.*

Leveraging Technology to Support Business Operations: Assessing technology tools to improve services and work flows.

- *Promotion Process: Collaborating with the School of Medicine in 2014-15, AP piloted "Interfolio" which is an electronic application that manages and tracks the faculty promotion process. With gained knowledge from the pilot program, AP will continue to assess and analyze the feasibility of a university-wide promotion work flow and document management system.*
 - *Re-design of AHR website: resources will continue to be put toward building a dynamic and user-friendly website. Our goal is to enhance the user-end experience and manage web content that is useful, informative and consistent.*
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All the work mentioned above will require AP and its offices to work closely and in collaboration with academic and administrative units. Whether it is assessing the feasibility of new a data/work flow system, designing standardized forms, developing training or implementing a new policy, AP welcomes and needs units' feedback in order for AP to develop and improve its services.

2. In 200 words or fewer, please **identify plans to adapt functions and services to support changing institutional needs in FY17.**
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As mentioned in question 1, AP is working with an outside consultant to assess, review and re-design business work flows that align with Workday, improve services and ensure compliance. Additionally, AP continues to assess available technology to improve service delivery by identifying systems that could enhance work flows, document management and tracking and result in reducing the amount of paper-based processes.

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.
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AP is currently involved at every level in preparing to implement Workday by June 2016, however, there are wide-ranging proposed university-wide initiatives and policies that affect employment and academic appointments and require the attention and resources of the Office of Academic Personnel. These proposed initiatives and policies require timely and careful review, analysis and data support that allow for thoughtful decision making. If adopted, these initiatives and policies will necessitate the re-allocation of AP team members and resources for successful implementation.

Furthermore, the University is responsible for implementing any new state and/or federal regulations that impact academic appointments or other regulated areas within the scope of responsibility of AP (e.g. Affirmative Action). Maintaining compliance with regulations supports the integrity of the University but also our eligibility to receive state and federal funding for academic and research programs.

In summary, a confluence of current university-wide initiatives along with ongoing and constantly changing regulatory requirements could make it particularly challenging for AP over the next 2-3 years.

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.**
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As demonstrated in our September 1, 2015 salary adjustments, using merit recommendation guidelines developed by the Provost's Office, AP utilized its central merit allocation to appropriately recognize employees based on their performance and accomplishments. AP will continue that methodology and utilize allocated resources to implement merit increases for 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.

There are no major changes to the Academic Personnel Carryover Spending Plan. Our focus remains on supporting a successful implementation of the HR/Payroll Modernization Project; assessing and leveraging new technology to enhance academic personnel systems and services; enhancing training, communication and information for current and new academic personnel services; and dedicating resources to our team members in their professional and career development to increase their knowledge base and expertise.

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.

Academic Personnel is not requesting Provost Reinvestment Funds for FY17.

Administrative Unit Carryover Usage Plan DETAIL

Please use this template to update the carryover usage plan you submitted last year. If you need a copy of your plan from last year, please email Amy Floit (afloit@uw.edu) or Becka Johnson Poppe (jbecka@uw.edu). New reserve figures are provided in the "Reserve Figures" tab; new carryover totals are provided in the "Carryover into FY16" tab.

Administrative Unit Name:	Academic Personnel (Provost Unit)
Carryover Balance going into FY16:	\$ 1,753,830

Usage Categories and Descriptions	Committed Year(s)	# of Years	Annual \$ Amount	Totals
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Unit's Reserve (10%)				
	FY17	1	\$ 224,830	\$ 224,830
Total Unit's Reserve:				\$ 224,830

Central Commitments	e.g. FY17, FY18	e.g. 2		
1. (description)			\$ -	\$ -
2. (description)			\$ -	\$ -
3. (description)			\$ -	\$ -
4. (description)			\$ -	\$ -
5. (description)			\$ -	\$ -
<i>Add more lines as needed</i>			\$ -	\$ -
Total Central Commitments:				\$ -

"Spending Plan" Permanent Costs & Other Projects	e.g. FY17, FY18	e.g. 2		
A. Permanent expenditures funded with temporary funds				
1. Promotion and Tenure systems: includes IT infrastructure, servers, hardware, software, consultant(s), staff position(s), systems training, systems assessment and improvements	FY17, FY18, FY19, FY20	4	\$ 200,000	\$ 800,000
2. HR/Payroll Implementation; AP business services restructure; AP Professional Training and Development; recruitment/retention	FY17, FY18, FY19, FY20	4	\$ 75,000	\$ 300,000
3. HR/Payroll System payment	FY17, FY18, FY19, FY20	4	\$ 8,500	\$ 34,000
B. Possible multi-year commitments				
1. HR/Payroll Org Change Mgmt consulting	FY16, FY17	2	\$ 50,000	\$ 100,000
			\$ -	\$ -
C. Immediate, current year use				
1. AP Professional Training & Development	FY16	1	\$ 25,000	\$ 25,000
2. UW Training and Outreach Efforts	FY16	1	\$ 10,000	\$ 10,000
3. AP Office Space Utilization	FY16	1	\$ 75,000	\$ 75,000
4. SIM (IT) Developer-Operations	FY16	1	\$ 100,000	\$ 100,000
5. Web Developer/Redesign	FY16	1	\$ 85,000	\$ 85,000
			\$ -	\$ -
Total Permanent Costs & Other Projects:				\$ 1,529,000

TOTAL CARRYOVER USAGE PLAN	\$ 1,753,830
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