UNIVERSITY *of* WASHINGTON

Administrative Unit Name: *Academic and Student Affairs (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?**

Academic and Student Affairs was formally established in August 2012 and has oversight of the University Sustainable Academic Business Plan, Provost's Initiative on Teaching and Learning, Assessment and Accreditation, and the Office of Enrollment Management (Admissions, Financial Aid, Registrar's). Below are just some of ASA's activities that align with the TAP principles.
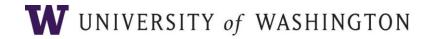
- ASA operates collaboratively on everything we do, partnering broadly and serving as both catalyst and conveners to bring colleagues together from different units. Over 25 partners helped develop this year's priorities. We launch, shape and oversee initiatives but partners do much of the work.

- All ASA projects align to the UW strategic framework, are outcomes-driven and work to improve service to relevant groups within the UW community.

- ASA projects are staffed by the office of the provost with modest funding sometimes provided to launch projects. Partners match funding either with funding of their own or through staff time and effort.

Enrollment Management's strategic priorities and activities completely align with the goals of TAP. Our units have been focused on transforming our services to create a culture of service to students and other units on campus.

- The Admissions and Financial Aid Modernization projects are designed to eliminate and greatly reduce the paper and manual system updates in the admissions application and financial aid processes. We will reduce administrative burden and bureaucracy for our students by providing a streamlined approach to the review of their applications, the number of times we need to manually adjust their records, and respond to changes in their eligibility. These new business processes will reduce the service delivery turnaround time during peak processing cycles and re-envision the student experience to a contemporary, first class service.

- The Office of the Registrar (OUR) implemented the delivery of the official electronic transcript service. This enhanced business process has cut response time to students, faster and secure transmission/receipt of transcript(s), and improved efficiencies in technology, hence, reducing paper transcripts mailed to student. OUR has collaborated with OPB, Tacoma and Bothell campuses to provide additional report writing services to academic and administrative units in an effort to assist in data-based decisions. Closer collaboration with OPB will yield greater data transparency for campus in developing PROFILES with supplementary enrollment data.

- Enrollment Management is using the principles of TAP in our Strategic Planning business process. We are in the development and collaboration stage of implementing Shared Business Services. Business Services will encompass all human resources, payroll, fiscal operations, and budget activities in one central office for all four units. Enrollment Management will expand shared services in other areas, as well, in an effort to increase efficiency and streamline activities in FY17.

2. In 200 words or fewer, please **identify plans to adapt functions and services to support changing institutional needs in FY17.** (100 words)

- ASA plans to merge functions, originally assigned to two positions, into one position that will better serve the communication needs of the Office of the Provost and ASA, including support for both traditional and social media.

- EM modernization projects are necessary to mitigate the reputational and compliance risks of operating an antiquated computer system. Document imaging and work flow systems will intersect with movement to the Coalition application and changes to the federal delivery process, resulting in a substantial change to our business model. We are eager to enter the challenge of modernizing as we will greatly improve the student experience. With increased applications each year, the new process will allow our staff to focus more on direct, timely service to students and less on hunting for documents and the inefficient review of applications.

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. (200 words)

- A potential challenge to proposed projects that support student success is the lack of capacity in UW-IT to address technical solutions in the near-term. Strategic planning activities with our partners showed a clear need for technology to increase and track student engagement and to match students with mentoring, internship and scholarship opportunities. We are pursuing intermediate solutions that should ultimately align with eventual updates to student information systems, but with HR/P and Financial systems taking priority, the challenge remains.

- Our new Registrar will be hired in the next few months with technology expectations for an institution of our size. We will need to assess and prioritize student system needs to mitigate risks for OUR student systems.

- Financial Aid struggles to serve all three campuses and 55% of the entire student population, with limited resources and workforce turnover in key positions. FAMS will require several phases to contain compliance risks and financial liability.

- Admissions Modernization has successfully launched the freshmen application process for FY16. There is a critical necessity for on-going support to upgrade system changes and continue integration of the on-line transfer and international applications processes.

- The federal government will implement Prior-Prior Year (PPY) for FAFSA data. Families will apply earlier, moving the financial aid process up from January of the current year to the October of the preceding year. We will also

see challenges as we move to the new Coalition application process and increasing levels of applications. Pressures will be on our system to respond more quickly to students in the admissions and financial processes. There are compliance risks as well as risks of the system not being ready for the admissions and financial aid delivery cycles, starting with the need to provide freshmen awards close after admissions offers.

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.**

Overall, ASA, especially Enrollment Management does not have sufficient permanent and/or temporary funds to provide salary increases unmet by the merit allocation. Also, specifically for EM, we do not have the ability to raise fees without a negative impact on students. ASA will opt to do one or more of the following:

- Offer lower than average percent of increase
- Layoff
- Address highest retention issues and employee performance

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 carryover usage plan. The foci remain on delivering results from our 2y2d projects and modernizing our Admissions and Financial Aid systems and services.

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.

Title	Funding	FY	P/T	Years Needed (If Temp)
Financial Aid Modernization Project				
	$1,217,000	*FY17*	*Temp*	*(2 years)*

FAMS Project 1 is the first phase in the modernization of the financial aid system. This project will design and implement an electronic document management and work flow system for the Office of Student Financial Aid. It will enable effective processing of documents to get the right aid to the right students. This system will achieve more responsive and transparent service for students and families. It will enable efficient handling of documents and changes, proactive communication to students and free up time for one on one counseling—a greatly improved student experience. FAMS is designed to modernize the financial aid system to prevent any system failure or significant compliance risks for a $600 million aid program. The outcomes of the first project will be a transition toward paperless processing, a decrease in the time it takes to verify eligibility and get a final aid award to students, and increased security and risk management for highly sensitive data. Project 1 is the first effort to address these risks while we await a new student system. Additional phases will be identified and support is needed for several years. On-going production support will also be needed by UW-IT and OSFA to system maintenance.

Please note that the funding, if approved, <u>will be allocated accordingly between EM and UWIT</u> to support current and new positions, IT systems and operations.

Admissions Modernization Project

UW-IT Component	*$365,500*	*FY17*	*Temp*	*(2 years)*

Admissions has completed the first phase of their modernization project and now has digitized applications and records for freshmen applicants and has adopted a platform that is preparing to transition to the Coalition application. The FY17 phase will move transfer, international and post-baccalaureate students to the same digital process, completing the effort to change all applicants from paper to a digitized process. It will also address the critical gaps in how selection is done to bring improved automation to the process and address needs that arise with increased direct admissions. This project is now ready for the next phase of on-going production support. The Ellucian Recruiter is the operational backbone for recruitment and admissions processes. This work has resulted in a mission critical product that all three campuses rely on. UW-IT has not received any permanent funding to support the day-to-day maintenance required to keep Recruiter operational. Costs include partial allocations to support updates to customizations, testing, installation and configuration of upgraded versions, updates to integrations with CollegeNet and SDB, and tri-campus coordination for major efforts. Note these funds are needed to support the product currently in use; as well as, UW-IT is unable to support another phase of UAM work without the continued temporary funding of positions.

Please note that <u>this request is concurrent with UWIT request for $240,000 permanent funding</u> to provide ongoing support of product(s) currently in use by the three campuses.

Centralized Scholarship Program

Program Operations Analyst	*$95,000*	*FY17*	*Temp*	*(2 years)*

A Scholarship Program Operations Analyst would determine fund availability and trends for endowed and current use accounts, track multiple year awards, develop and provide reports on scholarship usage for each account and other reporting needs. The analyst would re-envision the current OSFA scholarship process—from application to stewardship. The position would ultimately design the process and determine system needs to move from a decentralized approach to a centralized scholarship program (based on scoping study results).

OSFA's current central scholarship operation relies on two staff members to manage a growing array of scholarship programs (over 230 active scholarship accounts). There is no automated scholarship system, but instead Financial Aid operates with a shadow Access database to manage the application process, to select recipients and track communications to them. We have no automated system to manage the funds, project earnings and fund availability, or track multiple year, renewable awards. We expect the scholarship area increasing dramatically in the coming years with the demands of a major campaign and the potential move towards a more centralized scholarship program at the UW. The implementation of a centralized system would benefit OSFA, UW academic departments' campus wide, Advancement's efforts and our students.

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 and Student Affairs (Provost Unit)
Carryover Balance going into FY16:	$ 1,289,083

Usage Categories and Descriptions	Committed Year(s)	# of Years	Annual $ Amount	Totals
Unit's Reserve (10%)				
EM Reserve	FY17	1	$ 802,553	$ 802,553
			Total Unit's Reserve:	$ 802,553

Central Commitments	*e.g. FY17, FY18*	*e.g. 2*		
1. Admissions Modernization	FY16	1	$ 145,000	$ 145,000
2. Financial Aid Kuali Funding (Web Developer)	FY16	1	$ 138,326	$ 138,326
3. Consultant for Enrollment Advisory Committee	FY16	1	$ 100,000	$ 100,000
4. (description)			$ -	$ -
5. (description)			$ -	$ -
Add more lines as needed			$ -	$ -
			Total Central Commitments:	$ 383,326

"Spending Plan" Permanent Costs & Other Projects	*e.g. FY17, FY18*	*e.g. 2*		
A. Permanent expenditures funded with temporary funds				
1. (description)			$ -	$ -
2. (description)			$ -	$ -
B. Possible multi-year commitments				
1. (description)			$ -	$ -
2. (description)			$ -	$ -
C. Immediate, current year use				
1. ASA/2y2d Projects and General Operations	FY16	1	$ 103,204	$ 103,204
2. (description)			$ -	$ -
Add more lines as needed				
			Total Permanent Costs & Other Projects:	$ 103,204

	TOTAL CARRYOVER USAGE PLAN	$ 1,289,083