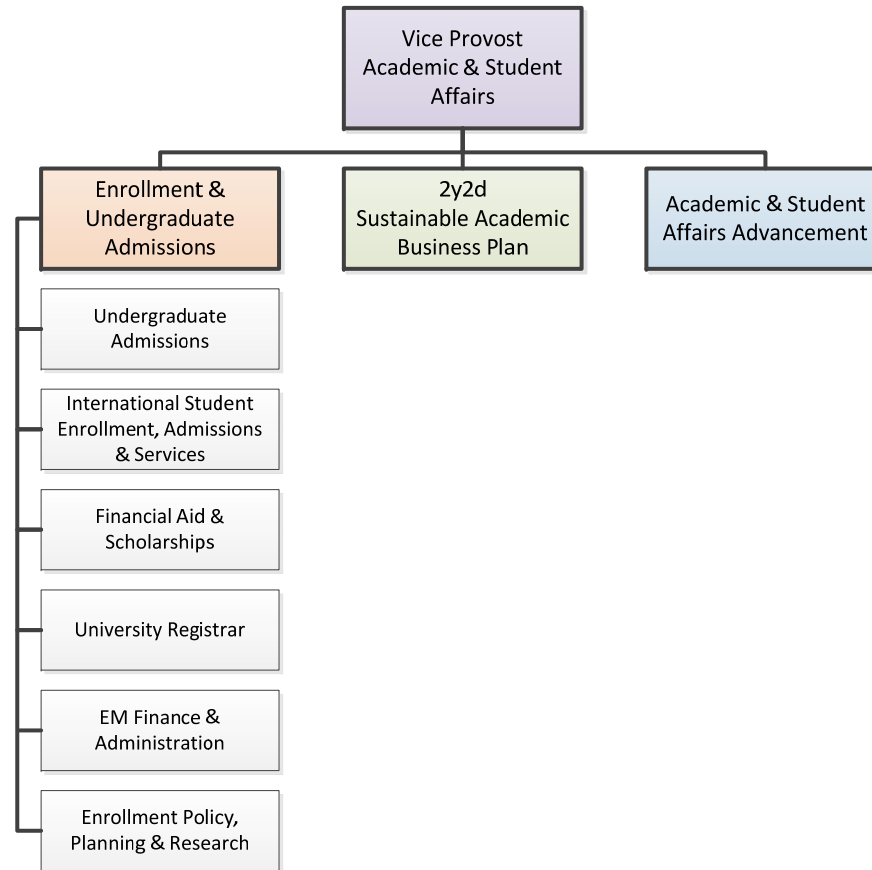


1Administrative Unit Name: Academic and Student Affairs

- One goal of the budget development process for administrative units this year is to provide greater understanding of the connection between resource use and the primary, or core function by each part of the administrative structure. To begin, please paste a copy of your organization chart here. Please provide a chart that reflects the diversity of the organization and will serve as a sensible platform to complete the next question.

Because administrative units have a month and a half to complete this work, unit leadership should use their discretion in providing a level of detail that prompts a rich conversation, but is not overly burdensome.



2. In order to provide a snapshot of current activities, the distribution of resources across various functions and how much these activities contribute to the University's mission, please provide information about the functional areas, or departments, of your organization.

At a level of granularity that reflects your organization's chart or if no chart exists, the functional areas of your organization, **please provide the following information for each functional area via the "FY15 Expenditures Worksheet" tab of the "Worksheets and Reference Materials – Administrative" Excel workbook**, available here: https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets_and_Reference_Materials_Administrative.xlsx.

- a) A description *not to exceed 200 words* of how each functional area contributes to the University's research, service and teaching missions and what risks the University would face if this work were no longer funded¹; and,
 - b) Planned expenditures, by functional area, showing how your unit intends to spend *permanent ABB funds*, as well as (if applicable to your unit) funds derived from self-sustaining efforts, grants and contracts, and philanthropy, and other funds during FY15.
-

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 FY15, etc.

Please see the example "Admin Template - Planning & Budgeting Draft" posted at the FY16 Budget Development web page: <http://opb.washington.edu/content/fy16-budget-development>.

¹ Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development> for more information about the University's Sustainable Academic Business Plan goals and top institutional risks.

3. In less than 200 words, please describe how you envision adapting your unit and its organization to meet changing institutional needs in the coming fiscal year. Please integrate self-sustaining, grant & contract, and philanthropic sources of funding (if applicable to your unit) and describe how these sources are marshalled to subsidize your activities.
-

Academic and Student Affairs provides leadership and collaboration in several important areas,

1. UW student experience (“Husky Experience”), working both with central student units (e.g., OMAD, UAA, Student Life, Graduate School and Enrollment Management) and schools and colleges to enhance the educational experience of UW students, and to create a strong Advancement strategy for the next capital campaign.
2. Provost’s initiative on teaching and learning (e.g., Provost’s Reports; outreach to Waseda, Asian universities; 2y2d teaching and learning group, etc.)
3. Assessment, Accreditation and state-university relations (e.g., NWCCU, Council of Presidents, WSAC).
4. Provost support and representation (e.g. coordination of Regents’ Academic and Student Affairs Committee, membership on university committees – -- IT Strategy Advisory Board, etc.)
5. Enrollment Management (Admissions, Financial Aid, International Student Services, etc.).

Our chief strategy is to widen our work and quicken the pace, as we have a sense of urgency in our work. We began this approach in summer/autumn 2014 with the creation of a series of campus-wide task forces focusing on the student experience and teaching and learning (careers, student recognition, international student orientations, learning spaces, internships, assessment, etc.). We plan to continue and expand this model of work, with the Provost’s office serving as a catalytic agent.

4. In one paragraph or less, please assess the functional and financial health of your unit since FY09 (e.g. deficits, workforce capacity, declining grants or gifts).
-

Academic and Student Affairs was formally established in August 2012 and with a modest budget ASA is able to carry out the core work and activities as listed above. ASA’s momentum and accomplishments are the results of bringing together colleagues from across campus to collaborate with us on ASA/Provost’s initiatives. Recognizing and leveraging our colleagues’ expertise and knowledge is the key to ASA’s success. Without their time and skills, ASA’s modest budget would not be able to recruit for this depth of expertise.

5. In the event that neither state funds nor additional Provost Reinvestment is available for compensation increases, how might your unit cover salary increases for positions budgeted in GOF and DOF budgets? Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development>.
-

If Provost Reinvestment funds are not available for compensation increases, ASA and its units will need to assess our current structure and re-organize in order to sustain our most critical student services, programs and ASA initiatives.

6. This summer, the UW has been the sole subject of a state-required audit of net operating fee (tuition) and local fund accounts. This audit has revealed 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 are piloting a new administrative carryover policy for the FY16 budget process, though we will employ draft carryover data in executing this pilot.

In completing this work, please do the following, using the **“Carryover Worksheet – Detail” tab of the “Worksheets and Reference Materials – Administrative” Excel workbook**, which is provided at the following web page:

https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets_and_Reference_Materials_Administrative.xlsx.

1. **Units may reserve up to 10 percent of their permanent ABB base (GOF and DOF ONLY).** Units may hold up to 10 percent of their permanent base as an emergency reserve. This reserve will be calculated annually and derived from the previous June/July’s ABB base budget information to units. These figures are provided on the last two tabs of the **“Worksheets and Reference Materials – Administrative” Excel workbook**.
 2. **Set-aside “central” commitments from the reserve.** For this purpose, central commitments are defined as those allocated or approved by President, Provost, and/or OPB on behalf of the Provost which have not been fully expended. A list of these commitments is available from OPB in the event your unit should need assistance. The list would come from OPB’s commitments database. If additional commitments are not reflected in OPB’s database please send the information to Amy Floit in OPB.
 3. **Explain any remaining temporary carryover balance by providing a list of intended use(s)/purpose(s) (i.e. a spending plan).** These would be differentiated according to intended use along the following lines:
 - a. Permanent expenditures funded with temporary funds;
 - b. Possible multi-year commitments; and,
 - c. Immediate, current year use.
-

7. Though we believe that few, if any, state funds will be available and that any new Provost Funds may be dispatched for mitigating cuts or providing salary increases, please indicate what **Provost Reinvestment Funds are being requested**. Requests for funds should be identified by a unique title, accompanied by the amount requested, the year funding is requested, whether the request is for permanent or temporary funds, the number of years funding is needed in the case of a temporary request and a brief description, not to exceed 500 words. **Successful requests will make meaningful contributions to institutional strategic plans, drive student support and student service missions, and correlate directly to the long-term financial health of the University or its efforts to mitigate institutional risk.** ²

Importantly, requests for new funding will be considered alongside carryover spending plans. Administrative units with growing temporary fund balances will be asked to explain why new funding is needed to support mission-critical program enhancements.

<u>Title</u>	<u>Funding</u>	<u>FY</u>	<u>P/T</u>	<u>Years Needed (If Temp)</u>	<u>DOF Requested (Y/N)</u>
1. ASA/Project Manager	\$115,000	FY16	P		N

ASA’s success has been and continues to be supported by collaborating with our campus-wide colleagues, but the sustainability of ASA/Provost’s initiatives is best achieved if they are consistently managed and coordinated by assigned ASA staff. The request for an ASA Project Manager position will allow ASA to continue its ability to develop, implement and sustain current and new projects that enhance services and programs that benefit all students who study here.

2. EM/Program Ops Specialist	92,000	FY16	P		N
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Enrollment Management’s plan to consolidate budget and administrative functions in a Shared Business Service model is to increase consistency and coordination of best business practices and services, which serves to mitigate compliance risks in all areas of finance, personnel and operations. The Program Ops Specialist will allow EM to increase its capacity to support the restructuring of the EM unit and the corresponding business needs.

3. EM/Application, Misc. Fees	TBD	FY16	P		N
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4. EM/EAC Council Consultant	100,000	FY16	T	2	Y
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The external consultant services will work with the Enrollment Advisory Council (EAC) to provide strategic data, analysis, and modeling in relative to assessing the University’s enrollment strategies; financial aid packaging policies and processes; UW’s holistic review and admissions policies and other enrollment related matters.

² Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development> for more information about the University’s Sustainable Academic Business Plan goals and top institutional risks.

5. EM/EDMS-Financial Aid 220,000 FY16 T 2 N

Our offices are required to collect and review large volumes of documentation from applicants and enrolled students. By implementing a document management and workflow system to help manage our financial aid operations, we will not only gain efficient process flow (e.g., from saving storage space, eliminating paper management, and reducing document review time, etc.), but also will increase our service to students by diverting labor and positions now associated with managing paper records and paper-driven processes to more vital, student-focused work.

If the UWIT Strategic Investment Board approves this EDMS-Financial Aid project, EM would like to seek temporary funds to support this project. The first-year funding will allow EM to immediately address a high priority business need while we complete our strategic planning which includes a complete assessment of our technology and information systems structure and staffing. EM will use the funds to hire EDMS project manager and business analyst while UWIT will be able to dedicate part-time effort of a business analyst and a systems engineer. The second-year funding will be dependent on substantial progress of the EDMS project and completion of EM's assessment of its technology and information systems structure and staffing, part of EM's overall strategic plan.

6. ASA/Tech Applications 35,000 FY16 T 1 N

A critical component of our Teaching and Learning Initiative is to use modern modes of communication to distribute and inform students and faculty of available resources that support them in a meaningful and timely manner. The funds will be used to develop and disseminate information using technology applications (e.g. Provost's reports, videos, mobile teaching/learning apps).

*Should your unit wish to resubmit for consideration a proposal from FY15 budget development process **that did not receive funding**, please contact Sarah Hall (sahall@uw.edu) or Becka Johnson Poppe (jbecka@uw.edu) in OPB.*

FY15 Administrative Expenditures by Functional Area

At a level of granularity that reflects your organization’s chart or, if no chart exists, the functional areas of your organization, please provide the following information for each functional area using the template(s) below:

- a) A description not to exceed 200 words of how each functional area contributes to the University’s research, service and teaching missions and what risks the University would face if this work were no longer funded[1].
- b) Planned expenditures, by functional area, of how your unit intends to spend permanent ABB funds, as well as (if applicable to your unit) funds derived from self-sustaining efforts, grants and contracts, and philanthropy, and other funds during FY15.

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 FY15, etc. Please see the example “Admin Template - Planning & Budgeting Draft,” which is provided at:

<http://opb.washington.edu/content/fy16-budget-development>

[1] Please refer to the webpage above for more information about the Sustainable Academic Business Plan goals and top institutional risks

Name of area: Sr. Vice Provost, Office of Academic and Student Affairs			
Academic and Student Affairs provides leadership and collaboration in several important areas:			
1. <u>UW student experience</u> (“Husky Experience”), working both with central student units (e.g., OMAD, UAA, Student Life, Graduate School and Enrollment Management) and schools and colleges to enhance the educational experience of UW students, and to create a strong Advancement strategy for the next capital campaign.			
2. <u>Provost’s initiative on teaching and learning</u> (e.g., Provost’s Reports; outreach to Waseda, Asian universities; 2y2d teaching and learning group, etc.)			
3. <u>Assessment, Accreditation</u> and state-university relations (e.g., NWCCU, Council of Presidents, WSAC).			
4. <u>Provost support</u> and representation (e.g. coordination of Regents’ Academic and Student Affairs Committee, membership on university committees – IT Strategy Advisory Board, etc.)			
5. <u>Enrollment Management</u> (Admissions, Financial Aid, International Student Services, etc.).			
If this work were no longer funded through ASA, some of the work would have to be assumed by others (e.g., Accreditation, Enrollment Management, state-university relations, etc.). These are mandatory activities. If other work were no longer funded (#s 1, 2 and 4 above), the UW would lose momentum just as significant progress is occurring, impacting students, undermining UW-wide coordination, and creating challenges for the capital campaign.			
Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	5.00	\$ 768,937	\$ 35,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 2,500
Total	5.00	\$ 768,937	\$ 37,500

BT = Budget Type

Name of area: Admissions Office

The Office of Admissions recruits, admits, and enrolls undergraduate classes that are central to the academic, cultural, and fiscal vitality of the University. By maintaining or growing classes each year with respect to academic profiles, diversity of talents and perspectives, the Office of Admissions contributes to the mission of the University by:

- improving its ability to attract high-achieving students and contribute toward the retention of top faculty;
- enhancing its research and service mission;
- boosting its ability to secure better bond ratings; and,
- heightening its ability to raise more money from donors.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	43.50	\$ 3,050,372	\$ 544,224
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	43.50	\$ 3,050,372	\$ 544,224

BT = Budget Type

Name of area: International Student Services

International students at the UW represent over 100 countries and contribute to the University's academic and research objectives as well as enhance the rich diversity and character of the UW community. International Student Services provides federally required immigration advising and reporting on over 6,600 undergraduate, graduate, and professional F-1 and J-1 visa holders enrolled at the UW. The ISS is responsible for ensuring the University and our students are compliant with all federal rules and regulations. ISS advisors are required to report information through the Student Exchange and Visitor Information System (SEVIS) to Department of Homeland Security. These reporting requirements include verifying quarterly enrollment of each international student, submitting address and major changes or updates, and authorizing employment or practical training benefits. The ISS staff also advises currently enrolled international students and consults UW departments on the benefits and restrictions of F-1 and J-1 visas through presentations, appointments, online chats, and meetings with academic advisors and faculty. Without ISS and the ISS advisors, the UW would no longer be compliant with federal regulations and would not be authorized to enroll or admit international students requiring F-1 or J-1 visas to any of our undergraduate or graduate academic programs.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	7.40	\$ 445,299	\$ 143,675
Self-Sustaining Funds (BT 10, 11)	1.10	\$ 58,621	
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	8.50	\$ 503,920	\$ 143,675

BT = Budget Type

Name of area: Financial Aid Office & Veteran's Center

The Office of Student Financial Aid (OSFA) and Veterans Center promotes participation in higher education and fosters a diverse student body by providing and managing over \$600 million in financial aid resources that allow students the access and opportunity to thrive academically and fully experience the University of Washington. Our staff are empowered to respond to students in the moment, listen to their unique situation, translate what issues may impact their ability to succeed, offer advice on how to navigate the UW system and offer alternative options for resolving their financial concerns. Student finances are an intensely personal issue—our staff must exhibit compassion and sensitivity to those who need our help. Our office is responsible for compliance with the federal, state and institutional regulations and policies that govern these programs—for all three of our campuses at the undergraduate, graduate and professional student levels. With such a large, complex financial aid program, the potential liability and risk associated with managing these programs is high. Without the services of OSFA, approximately 32,000 students would be impacted with the reduction or loss of financial aid programs to help them succeed at the UW.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	23.20	\$ 2,068,829	\$ 41,198
Self-Sustaining Funds (BT 10, 11)*	4.30	\$ 330,752	
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	27.50	\$ 2,399,581	\$ 41,198

BT = Budget Type

* 3 Positions PCE and 1.3 Position Student Parent Child Resource Center

Name of area: Registrar Office

The Registrar's Office supports all levels of students, and the faculty, staff, and alumni of the University of Washington. The office manages and provides critical support in areas including: registration, graduation, course and classroom scheduling, Residency classification, Degree Audit, curriculum, curricular records, general catalog, FERPA training, returning student application review, and providing degrees and certificates. The Registrar is the data custodian for student records, maintains and provides access to the historical and ongoing academic records of the University, monitors and enforce procedures and policies as they pertain to the academic record of all students, past and current, consulted with and conducts academic policy analysis, provides student data-related reports to academic programs, Deans, Student Life, University Relations, and other upper-administration offices, as well as responds to ad-hoc requests for student data. Registrar staff provide critical support for UWIT (for example: MyPlan, KUALI, Curriculum Management), and Faculty Governance Committees. Our office provides the administrative backbone of services that enable and record the academic activities of the University. A decrease in support for the Registrar's Office would severely impact the academic efforts of the University.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	32.86	\$ 2,162,868	\$ 131,089
Self-Sustaining Funds (BT 10, 11)*	2.94	\$ 256,438	\$ 10,354
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	35.80	\$ 2,419,306	\$ 141,443

BT = Budget Type

* 2 Positions with PCE, 1 Position @ 50% Athletics, UWT 22%, UWB 22%

Name of area: Enrollment Management Administration

Enrollment Management administration manages, supports, and helps integrate the areas of Admissions, International Student Services, Financial Aid, Veteran's Center, and Registrar through:

- *strategic and organizational integration of resources, functions, and personnel within Enrollment Management*
- *strategic enrollment planning and policy development*
- *providing leadership, communication, and expertise to advance institutional objectives and business plan*
- *providing and promoting data-informed decision making*
- *providing integrated business, finance, and operations services*

The administration not only focuses its efforts on strategic enrollment goals and outcomes, but also the day-to-day operations for the division, finding means to increase the efficient use of fiscal and human resources.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	6.50	\$ 798,554	\$ 438,512
Self-Sustaining Funds (BT 10, 11)	0.50	\$ 38,318	
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 10,000
Total	7.00	\$ 836,872	\$ 448,512

BT = Budget Type

Administrative Unit Carryover Usage Plan SUMMARY

This table will self-populate via the "Carryover Worksheet - Detail" tab

Administrative Unit Name: Academic & Student Affairs
Estimate of Carryover Balance at "Close" of FY14: 535,250

Usage Category	Amount	%
Unit's Reserve	0	0.00%
Central Commitments	0	0.00%
Permanent Costs & Other Projects	535,250	100.00%
Total	535,250	100.00%