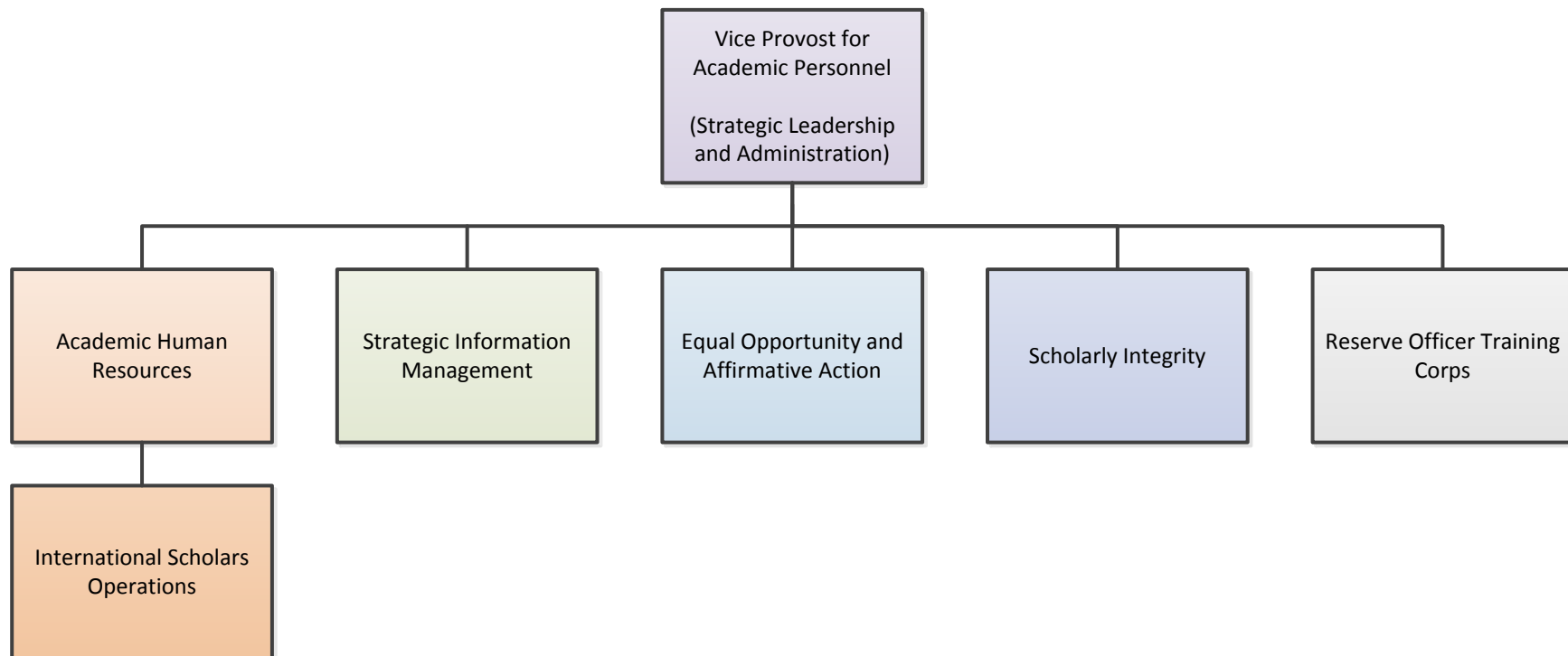


Administrative Unit Name: Office of Academic Personnel

1. 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](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.
-

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. Our focus on career advancement, compliance, and risk mitigation help to ensure the success, reputation, and competitiveness of the UW. Our continued commitment to uphold our mission is demonstrated by the following projects and initiatives.

Technology and Systems Modernization

In addition to being a primary partner in the UW HR/Payroll Modernization Project, AP will leverage technology to achieve our goal of reducing the amount of paper and manual processes required for the management of academic personnel actions. AP will collaborate on a pilot online system (Interfolio) to process mandatory and non-mandatory promotions. Partnering with School of Medicine, as part of the pilot, AP will accept mandatory promotions by December 2015.

UW Training and Outreach

AP will assess, develop and improve training provided to academic units to increase their success in managing and implementing best practices and processes pertaining to compliance, recruitment, retention, promotion, scholarly integrity, performance management and career enhancement.

Communication and Information

AP will review and develop effective platforms of communication to ensure that clear, concise information is shared and that it will be easily accessible. This includes, but is not limited to, AP websites and interactions with all members of the AP team.

Professional Training and Recognition

Our team members are AP's greatest assets and our objective is to build a community that supports professional success and a balanced work/life. Our goal is to provide individuals with professional development resources, tools and opportunities that will enable AP to attract and retain the best workforce in an extremely competitive environment. Additionally, AP will develop a recognition program that celebrates staff's contributions and achievements.

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).
-

Although AP's financial health may be considered fair right at this moment, with the planned HR/Payroll system implementation and other systems modernization efforts, there will be new and different needs for academic personnel resources and services. AP is proactive in the process of reviewing and restructuring our unit to meet those new needs as well as developing a succession plan. We recognize that successful delivery of AP services is contingent on highly skilled professionals. This is critical since all of our service areas are heavily governed by federal, state and institutional regulations and policies that frequently change and are increasingly monitored by regulatory agencies. Also, AP is a key partner with UW Labor Relations as the UW addresses collective bargaining issues related to academic personnel. Of particular note, AP continues to face recruitment and retention challenges. As the job market continues to recover and grow, it becomes more difficult to attract and retain highly qualified professionals in a competitive market. This challenge is compounded by the fact that AP has to compete internally with other UW units who are recruiting professionals with similar skills and experience.

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 AP is required to cover compensation increases between 2-4%, it will be unsustainable beyond three years. As detailed in question 4, recruiting and retention of skilled professionals in the field of a specialized area such as academic personnel is a continuing challenge. AP is common only to institutions of higher education and AP invests a great deal of resources to develop professionals with the customary HR education and experience to specialize in academic personnel. Without Provost Reinvestment funds, we will have to utilize both permanent and temporary carryover funds to provide permanent increases to incumbents, which will leave us with limited resources to remain competitive with market rates. Furthermore, the compensation increases would include the corresponding benefits costs and that would further strain our resources that we could dedicate toward new enterprise systems and services that support the academic mission.

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.

AP is not requesting new temporary and/or permanent funds for FY16.

*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.*

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.

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: Academic Personnel Vice Provost Office - Strategic Leadership and Administration			
<p>The Office of the Vice Provost for Academic Personnel (AP) serves as the institutional portal for academic personnel administration. In partnership with schools, colleges, and campuses, AP works to fulfill the University’s mission, vision, and values by supporting the:</p> <ul style="list-style-type: none"> • Recruitment, appointment, on-boarding and reporting of the best, most diverse and innovative academic personnel from around the world; • Retention, advancement, and career transitions of the University’s world class academic personnel; and • University’s efforts to hold ourselves to the highest standards of ethics, integrity and compliance with institutional policy and regulatory obligations. 			
Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	3.85	\$ 743,736	\$ 50,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	3.85	\$ 743,736	\$ 50,000

BT = Budget Type

Name of area: Academic Human Resources (AHR)

Academic Human Resources (AHR) is dedicated to providing superior services and high level resources regarding academic personnel practices and institutional policies for faculty, librarians and academic staff. By building collaborative relationships with local appointing units, AHR facilitates the recruitment, appointment, promotion, retention and compensation of academic personnel consistent with institutional policy and regulatory obligations. And through the delivery of individual service to our faculty, librarians, and academic staff, AHR provides information on institutional policy and procedures; promotes a family friendly, safe, and supportive workplace; and facilitates problem solving and effective resource utilization.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	9.200	\$ 733,544	\$ 75,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	9.200	\$ 733,544	\$ 75,000

BT = Budget Type

Name of area: International Scholars Operations (ISO)

International Scholars Operations (ISO) within AHR supports academic units in bringing the world to our campus. ISO facilitates and monitors immigration compliance within a complex, ever-changing regulatory environment. By providing timely and accurate guidance, ISO enables the University to recruit and retain international scholars in support of the institution's teaching and research mission.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	0.70	\$ 67,122	\$ -
Self-Sustaining Funds (BT 10, 11)	4.40	\$ 340,777	\$ 50,000
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	5.10	\$ 407,899	\$ 50,000

BT = Budget Type

Name of area: Strategic Information Management (SIM)

Strategic Information Management (SIM) provides decision support for Academic Personnel and institutional partners. AP's goal over the next five years is to reduce the amount of paper and manual processes required for the management of academic personnel recruitments, appointments, and promotions by taking advantage of centralized data and processes that were not possible before an integrated human resources and payroll systems. SIM's strategic, tactical and operational responsibilities include:

- Management of the strategic roadmap and project portfolio
- Business analysis and process improvement recommendations
- Data analysis and reporting
- Stewardship of Academic Personnel data in administrative systems
 - * Data access and security management
 - * Data quality and metadata management
- Web application development, deployment and support
- Database administration
- Software and product analysis
 - * Guidance for software purchases
 - * Licensing and installation

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	4.00	\$ 438,235	\$ 25,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	4.00	\$ 438,235	\$ 25,000

BT = Budget Type

Name of area: Equal Opportunity and Affirmative Action (EOAA)

The Office of Equal Opportunity and Affirmative Action (EOAA) supports the University's compliance with the law and spirit of equal opportunity and affirmative action as it relates to race, color, creed, religion, national origin, sex, sexual orientation, age, marital status, disability, or status as a disabled veteran or Vietnam-era veteran, or other protected veterans. EOAA oversees and manages the University's affirmative action program; including the annual preparation of the federal affirmative action plan. EOAA is one of the institutional points of contact for federal and state agencies for equal opportunity and affirmative action compliance inquiries and compliance confirmation.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	1.00	\$ 90,000	\$ 25,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	1.00	\$ 90,000	\$ 25,000

BT = Budget Type

Administrative Unit Carryover Usage Plan SUMMARY

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

Administrative Unit Name: Office of Academic Personnel
Estimate of Carryover Balance at "Close" of FY14: 2,002,000

Usage Category	Amount	%
Unit's Reserve	214,000	11.94%
Central Commitments	0	0.00%
Permanent Costs & Other Projects	1,578,000	88.06%
Total	1,792,000	100.00%