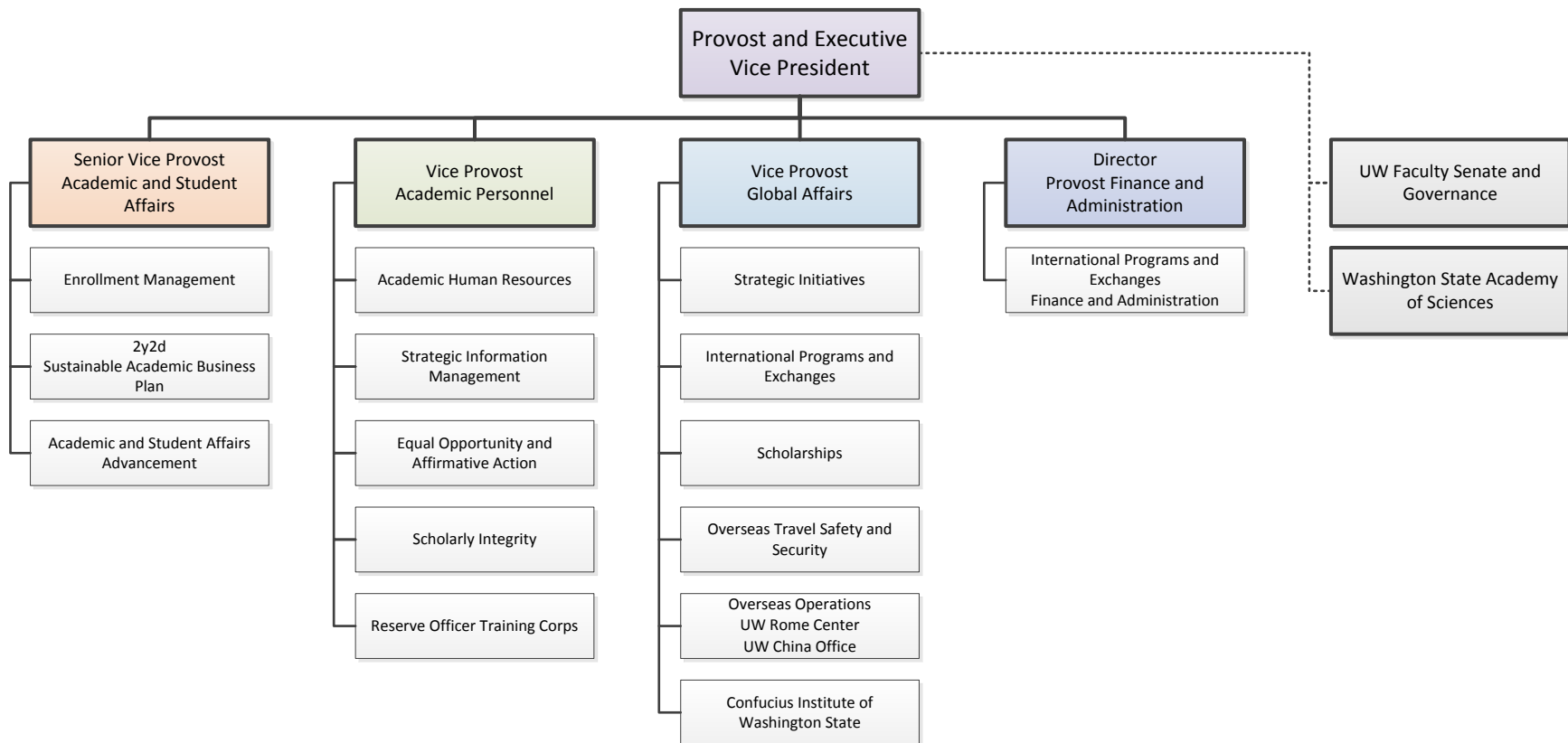


Administrative Unit Name: Office of the Provost

- 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 Provost works closely with the deans/chancellors of schools, colleges and campuses, and the vice provosts/vice presidents to achieve the mission of the university which is to excel in teaching, research and service.

Members of the Provost's Office Core continue to support that mission by providing central coordination and communicating the University's vision and strategic goals with our campuses, stakeholders, regulatory agencies and the public. Our office promotes and facilitates a collaborative and cooperative environment in which we work across units and disciplines to achieve the highest level of excellence. In addition to the established portfolios of the Provost's Office Core members, they routinely assume additional responsibility and projects to advance the strategic initiatives of the University, and usually without new funds to support the business infrastructure.

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).
-

The functional health of the Provost's Office is directly correlated to the work and support that the office provides to promote collaborative initiatives that are carried out by our faculty and staff. The Provost, her core vice provosts and staff are committed to the mission and goals of the UW. The Provost's Office is most effective when it can advance the efforts of academic and administrative units through thoughtful planning and investing the necessary and appropriate resources to UW's highest priorities.

In terms of financial health, the Provost's Office Core has 2 FTEs dedicated to the Provost and her activities; and the Provost's Finance & Administrative team, comprised of 3 FTEs, that supports the Provost's and vice provosts' strategic resource management, finance, business administration, human resources, compliance, risk mitigation, and units' operations. Most, if not all, normal operations expenses are covered with temporary carryover funds.

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>.
-

The Provost's Office Core will have to use its temporary carryover funds to meet permanent compensation increases obligations, which will reduce available funds dedicated toward necessary operations costs related to Provost's activities and management of the office. The ability to cover permanent commitments will be for 2 years at best. If no new permanent funds are available, it would require a self-assessed permanent budget cut in order to preserve critical staffing positions and continued operations. This will be a set-back since permanent position funding for the 1.5 FTEs for the Provost's F&A team was only recently approved in FY15. These positions support every business and operational aspects of the Provost and three vice provost units.

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.

The Provost's Office Core is not requesting new permanent and/or temporary 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: Provost's Office Core			
<p>The Provost’s Unit is comprised of the following offices: Office of the Provost (Core), Faculty Senate and Governance, Office of Academic and Student Affairs (ASA), Office of Academic Personnel (AP), Office of Global Affairs (OGA), and Washington State Academy of Sciences. Please note that this response covers the Office of the Provost (Core). ASA, AP and OGA will each submit separate FY2016 budget responses. The Provost works closely with the deans/chancellors of schools, colleges and campuses, and the vice provosts/vice presidents to achieve the mission of the university which is to excel in teaching, research and service.</p> <p>Members of the Provost’s Office Core support that mission by providing the central coordination and communication of the University’s vision and strategic goals with our campuses, stakeholders, regulatory agencies and the public. Our office provides and facilitates a collaborative and cooperative environment in which we work across units and disciplines to achieve the highest level of excellence. In addition to the established portfolios of the Provost’s Office Core members, they routinely assume additional responsibility and work as necessary to advance the strategic initiatives of the University.</p>			
Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	3.00	\$ 766,246	\$ 80,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 10,000
Total	3.00	\$ 766,246	\$ 90,000

BT = Budget Type

Name of area: Provost's Finance and Administration

The Provost's F&A Team is a Shared Business Service unit which has been in place since 2009. The shared resource model has produced beneficial outcomes such as increased oversight and coordination of services, which has served to mitigate compliance risks in all areas of finance, personnel and operations. Over the past 2-3 years, with administrative reorganization changes, F&A service needs in the areas of human resources, funds management, operations and compliance have greatly increased. The core F&A team is comprised of 3 FTEs that support the Provost, Academic & Student Affairs, Academic Personnel, Global Affairs, Faculty Senate, and WSAS; and 2 FTEs are dedicated to international programs and exchanges activities.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	3.00	\$ 361,381	
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	3.000	\$ 361,381	\$ -

BT = Budget Type

Name of area: Faculty Senate and Governance

The Faculty Senate is the legislative arm of the faculty. It consists of 122 elected senators and is guided by the chair of the Faculty Senate and the Senate Executive Committee (SEC). The Senate Committee on Planning and Budgeting (SCPB) consults with the SEC and the Faculty Senate on matters of policy pertaining to long-range planning, preparation of budgets, and distribution of funds and the faculty legislative representative (FLR) represents the faculty in all matters of legislation in the state affecting the university. The secretary of the faculty oversees the Faculty Code, supports university faculty councils, and manages the Office of Faculty Senate and Governance. University faculty councils serve as deliberative and advisory bodies for all matters of university policy, and are primary forums for faculty and administrative interaction in determining that policy.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	3.75	\$ 383,787	\$ 15,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	3.75	\$ 383,787	\$ 15,000

BT = Budget Type

Name of area: Washington State Academy of Sciences

The Washington State Academy of Sciences provides expert scientific and engineering analysis to inform public policy-making, and works to increase the role and visibility of science in the State of Washington.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)			\$ 74,260
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	0.00	\$ -	\$ 74,260

BT = Budget Type

Administrative Unit Carryover Usage Plan SUMMARY

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

Administrative Unit Name: **Provost's Office Core**
Estimate of Carryover Balance at "Close" of FY14: **1,536,408**

Usage Category	Amount	%
Unit's Reserve	220,000	14.32%
Central Commitments	582,357	37.90%
Permanent Costs & Other Projects	734,051	47.78%
Total	1,536,408	100.00%