W UNIVERSITY *of* WASHINGTON

Administrative Unit Name: *Office of the Provost (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?**

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 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. Activities that exemplify TAP principles are described below.

- *Currently, the Provost Organization Unit is comprised of 7 distinct sub-units, but finance, administration, human resources, and business operations are supported by a finance and administration (F&A) shared business service team. The Provost F&A team was established in 2007 to consolidate services such as human resources, payroll, purchasing, travel, equipment, and other business operations functions. This eliminated the need for each sub-unit to hire additional staff to manage its own F&A functions and needs. The shared service structure allows for consistency of business policy, procedures and processes. Furthermore, the model allowed us to identify resource capacity and to respond accordingly as more sub-units have been added to the Provost's Unit over the past 3-4 years.*

- *Study Abroad Spending Plan Tool (web application): Starting in late summer 2015, working with UW Creative Communications, the F&A team designed an online spending plan tool that would improve the budgeting process used by program directors who lead study abroad programs. The spending tool application will replace a very cumbersome and complicated excel budget worksheet and eliminate the need for program directors to have excel application skills. Additionally, the spending plan serves as a data base for historical spending plans and program activity information, and reports can be generated from the application to inform future program planning. In November 2015, the F&A team facilitated two beta testing sessions with program directors, academic administrators and internal staff; collected users' feedback; and met with our developer to make further enhancement to improve user-end experience. A second set of testing sessions are being scheduled for February 2016; program directors leading Fall 2016 and Winter 2017 programs are being asked to serve as pilot groups; and the goal is to roll out the final version of the spending plan tool for full use by program directors leading programs in Spring 2017.*

- *Provost's Commitments Database: In late winter quarter 2015, the Provost's F&A team worked with UW Creative Communications to develop a commitments database to track funding allocations approved by the sub-unit leadership. Before the database, commitments were tracked by using a combination of excel spreadsheets, written correspondence and email. The ability to pull commitment status reports has greatly improved and allows for timely decision making by sub-units.*

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

The operational functions of the Office of the Provost require members of the team to stay informed and knowledgeable of new initiatives, systems implementation, policy changes and emerging needs. Doing so will allow us to plan and be prepared to manage change, develop or revise policies and procedures, and reallocate people and resources to facilitate successful implementation.

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.

Currently, the primary operational risk for the Provost's Office Core is sustaining a high level of service which we strive to deliver on a consistent basis in light of numerous institutional initiatives. The operational risk is further compounded by internal staff transitions, institutional systems changes, compliance demands, and increased activities generated by the Office of the Provost and its sub-units.

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.**

We will use merit recommendation guidelines developed by the Provost's Office to appropriately recognize employees based on their performance and accomplishments. The Provost's Office 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 <u>update</u> 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 significant changes to the Provost's carryover spending plan from the previous fiscal year.

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.

Brief description, not to exceed 200 words, highlighting the alignment of the request to critical compliance issues or institutional priorities.

   The Office of the Provost is not requesting for Provost Reinvestment Funds in FY17.

Administrative Unit Carryover Usage Plan DETAIL

Please use this template to <u>update</u> 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:	Office of the Provost (Provost Unit)			
Carryover Balance going into FY16:	**$**			**870,113**

Usage Categories and Descriptions	Committed Year(s)	# of Years	Annual $ Amount	Totals
Unit's Reserve (10%)				
Provost's Office	FY17	1	$ 185,850	$ **185,850**
			Total Unit's Reserve:	$ **185,850**

Central Commitments	e.g. FY17, FY18	e.g. 2		
1. WSAS carryover	FY16	1	$ 5,566	$ **5,566**
2. (description)			$ -	$ -
3. (description)			$ -	$ -
4. (description)			$ -	$ -
5. (description)			$ -	$ -
Add more lines as needed			$ -	$ -
			Total Central Commitments:	$ **5,566**

"Spending Plan" Permanent Costs & Other Projects	e.g. FY17, FY18	e.g. 2		
A. Permanent expenditures funded with temporary funds				
1. Nebula, UWIT tech fee, HR/Payroll, Provost's Activities, computing equipment	FY17, FY18, FY19	3	$ 80,000	$ **240,000**
2. Student Employee(s)	FY17, FY18, FY19	3	$ 25,000	$ **75,000**
B. Possible multi-year commitments				
1. Provost's F&A position (tentative)	FY17, FY18	2	$ 80,000	$ **160,000**
2. (description)			$ -	$ -
C. Immediate, current year use				
1. Research Support (B. Balik)	FY16	1	$ 5,000	$ **5,000**
2. APRU Conference	FY16	1	$ 50,000	$ **50,000**
3. Nebula, UWIT tech fee, HR/Payroll, Provost's Activities, computing equipment	FY16	1	$ 80,000	$ **80,000**
4. Student Employee(s)	FY16	1	$ 25,000	$ **25,000**
5. Uncommitted	FY16	1	$ 43,697	$ **43,697**
Add more lines as needed				
			Total Permanent Costs & Other Projects:	$ **678,697**

			TOTAL CARRYOVER USAGE PLAN	$ **870,113**