Administrative Unit Name: Public Records

*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.

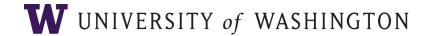   Within a **500 word bulleted list**, please answer both of the following questions**:**

    *   **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?**
        *   *Realize Efficiency and Effectiveness*

            Support and manage change; question the status quo – *The Office of Public Records ended 2014 with nearly 1 million pages of records backlogged. For the first time it sought and received $1.3 million in additional funding to address the backlog in a new way – a hybrid of outsourcing to a private vendor (which had never been considered before) and adding additional temporary staffing. This new approach is currently in its fifth month and progressing on track toward eliminating the 2015 backlog by the end of FY 2016. Unfortunately a new backlog of 2 million pages will replace it at the end of 2015, and the per page cost of outsourcing is presently about twice the original estimate.*

            Proactively share and adapt both internal and external best practices - The Office of Public Records has utilized the lean process to help it streamline its work flow, the next step in efficiency and effectiveness would be to launch a campus wide initiative (perhaps through TAP) to eliminate redundant, obsolete, and transitory (ROT) records. That is the only way to stem the tide in the volume of records - the main driver of the backlog.

        *   *Deliver Value*

            Align and prioritize programs and services with UW Strategy and TAP Standards – The UW should examine its compliance, risk management, and record keeping functions and determine how best to organize them.

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

The Office of Public records performs a function that is statutorily required, and its primary focus is to comply with state laws and regulations. The State of Washington has at the very least some of the most transparent public records laws in the nation, if not the world. The proliferation of available records deemed potentially responsive to any given records request continues its rapid growth primarily due to abundant use of e mail and the lack of an enforced policy around records retention. The UW should have a wide acknowledgment of this fact. Rather than only trying to adapt to it or support it by diverting more and more resources toward examining the glut of records, we should instead make a priority of reducing our ROT (redundant, obsolete, transitory) records, through a campus wide initiative, with support at the highest levels of the institution.
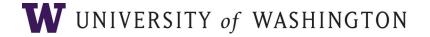
3. **Please identify any significant obstacle(s) or challenge(s)** that your unit faces other than resource constraints. **Please plan to discuss these with the Provost.** If applicable, please summarize any operational risks that, from your perspective, the UW must work to mitigate over time.

The Office of Public Records is constrained under the enormous volume and continued rapid growth of the records it is required to review. Resource constraints are both financial and physical – the office simply is out of room to grow, additional physical space would be required in addition to funding.

At present the new records backlog anticipated at the end of 2015 will be approximately 2 million pages. By the end of 2016, using the current growth escalator, we are anticipating 2.6 million pages with 3.5 million pages anticipated by the subsequent year. There are things that could be done on either end of the spectrum (and in between) to change the level of scrutiny currently applied to records. If our only goal was to speed up response time, one extreme would be to simply release everything that is deemed potentially responsive. The current approach is far more labor intensive, depending on the complexity and nature of the request and its area of focus. Depending on the approach taken, there is risk that something would be released that should not have been, or something would be withheld that should not have been. That risk exists now, but could fluctuate with any policy change to the way the work is currently being done and there could be a resultant rise in legal actions with related damages or penalties.

Similarly, with a growing backlog of records to review, there currently is a growing risk that UW will be found to be untimely or unresponsive to requests, and there could be lawsuits with resultant damages. This risk rises with the volume of the backlog.

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.**

Please see the response to this question submitted by UW Advancement.

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.

Please see the response to this question submitted by UW Advancement.

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.

Critical Compliance Issue: Based on data available on 11/25/15, we anticipate a backlog of about 2 million records, the current per page cost to outsource is $2/page. Consequently, we estimate this backlog will cost about $4,000,000 to resolve. Until we have more complete information regarding the cost of outsourcing a portion of the backlog, and for the time being pending a more holistic approach to records retention enforcement, we are continuing our previous request for funding plus some new funding related to our critical need for a storage solution (due to the volume of records) and the ongoing need for additional operational costs related to software. **We will continue to provide updated information regarding the volume and cost of the backlog as new information becomes available.**

Title	Funding	FY	P/T	Years Needed (If Temp)
1. Records Backlog Outsource	1,317,360	17	T	2
2. Cloud Storage & Software	40,000	17	P	
3. Software & Operations	100,000	17	P	
Total:	**1,457,360**			