

**Administrative Unit Name: University Advancement**

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.**

*The UW's integrated Advancement model embodies the TAP principles. It is in our DNA to have a shared vision, to realize efficiencies, and to engage collaboratively.*

1. *UMAC is the sponsor of the first TAP project to streamline internal communications by evaluating opportunities to better coordinate and leverage communication efforts and resources across UW Central Administrative units*
  2. *Advancement functions are centralized as a service to Academic units, reducing redundancies and allowing units to focus on their strategic priorities, including gift processing, Annual Giving, Student Calling, University-wide Marketing, Alumni Relations and HR/recruiting.*
  3. *Jan 2015 unit integration into UW Advancement*
    - *News and Info*
    - *Media Relations*
    - *Public Records*
  4. *Jan 2014 unit integration into UW Advancement*
    - *UW Marketing*
    - *Trademarks & Licensing*
    - *Sponsorship*
- **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?**
    - *Washington state laws requiring transparency in government activities continue to put enormous pressure on the Office of Public Records and the University as a whole. This is a government-mandated function and a growing backlog has resulted in legal and financial risk to the UW. We support TAP project 1.7. of increasing the effectiveness of compliance related efforts across campus through coordinated committee oversight, prioritization of compliance risk mitigation and responses, and improved communication with Regents and campus leadership. We believe the **public records backlog must be addressed at both ends: at the end-user level with enhanced technology and more automation, as well as at the point of the creation of a public record: to this end, we support expansion of the scope of this TAP project to include a campus-wide email retention policy.***

- *An RFP for bulk outbound email software has been issued to replace Convio. Convio is currently used by HR, OFB, Housing & Food Services, and UW IT. We hope the new software will successfully serve units throughout the University. We are working jointly with UW IT wherein Advancement will purchase the software, and UW IT will develop training and support processes to campus users, and will ensure that campus users will have product support.*

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

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*The most important contribution that Advancement can make to the UW is to continue the permanent enhancement of the institution's capacity to raise private support. Since 2010, Advancement has been carefully planning the University's next campaign, including the public launch in fall 2016. The success of the Campaign is depended on the continued involvement of and commitment by this institution's leaders and most passionate supporters. To reach the University's aspirations for a \$4B campaign, the UW must continue to invest in University Advancement as well as in the University's marketing and communications efforts. The UW has endorsed overall goals to continue to advance an annual integrated plan. These goals are:*

- **Attract and Develop Students:** *We must continue to make significant strides in elevating the UW's reputation with prospective students and their families, particularly through the development of the Husky Experience initiative.*
- **Increase Public and Private Support:** *Preparations for the launch of the UW's third comprehensive fundraising campaign are in full swing. The comprehensive campaign provides the best opportunity to significantly grow private support and investment in the UW.*
- **Be a Faculty and Staff destination:** *To continue to achieve and realize the greatest impact and potential as a leading global University, the UW must continue to attract and retain the best faculty and staff.*
- **Grow Internal Passion:** *To increase our internal communications (see TAP project referenced earlier).*

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.
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**CAMPAIGN:** To successfully complete the University's \$4B campaign goal, additional investments to University Advancement will be needed, including its marketing and branding efforts.

**Operational risks for the public launch of UW's comprehensive fundraising campaign in fall 2016:**

- **Retention:** On average, it takes four years to build relationships with donors; turnover in fundraising staff is detrimental to relationships and fundraising strategies
- **Hiring new staff:** It will be critical to make contact and establish relationships with the over 10,000 entities identified for cultivation and solicitation during the next comprehensive campaign. Simply put, more boots on the ground will be necessary to reach our campaign goal to sustain a five-year average of over \$400M.
- **Campaign Launch activities:** It will be critical to excite and motivate stakeholders with a meaningful, captivating campaign launch, and to ultimately inspire greater philanthropic support of the UW. We are holding costs steady to reflect a pragmatic and strategic deployment of these resources.

**UNIVERSITY MARKETING AND COMMUNICATIONS (UM&C):** In 2014-2015, the UW reorganized the office of Marketing and Communications into University Advancement to optimize efforts.

**Operational risks to successfully drive a comprehensive marketing effort in fall 2016:**

- **Foundational funding:** UM&C must be provided with the operational funding needed to accomplish the goals of the University of Washington
- **Funding for UW goals:** UM&C must be provided with the operational funding needed to accomplish presidential initiatives, as well as the UW's four goals of attracting and developing Washington's and the world's most promising students; growing public and private support for the UW's shared vision; being a destination for world-class faculty and staff and growing internal passion for what the UW stands for.

**OFFICE OF PUBLIC RECORDS:** Washington state laws requiring transparency in government activities continue to put enormous pressure on this office and the University as a whole. Because this is a government-mandated function, a growing backlog has resulted in legal and financial risk to the UW.

**Operational risks for effectively managing capacity and efficiency of day-to-day operations:**

- **Determining an adequate baseline for meeting the University's public records mandate** that is part of a comprehensive and long-term strategy for the function and operations of the Office of Public Records.
  - **Responding to the steep growth in records requests, coupled with their increasing complexity.**
  - **Increase in digital tools in day-to-day operations throughout UW, and the significant number of electronic records that University staff, faculty, keep, which must be reviewed for records requests.**
  - **Continually changing technology needs, such cloud-based server storage to achieve HIPPA/FERPA compliance and to allow flexibility to expand storage by the terabyte as needed.**
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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.**

*After 2009, we have intentionally and deliberately rebuilt our fund balance to address any future short-term funding gaps. (Our Reserve Policy is 5% of our projected expenses which is \$2.6M for FY15-16).*

*61% of our current salary base is self-funded; we estimate the portion that would be funded centrally to be 39% which we are prepared to fund by utilizing our fund balance. We believe in the Advancement funding model and have confidence that the growth in the CEF will continue to support any short-term funding gaps such as the 90-95% funded GOF/DOF merit pool.*

4. 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 update 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.

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*University Advancement does not have carryover funds. We are allocated \$15.8M in state funds for salaries & benefits; budgeted salaries and benefits are \$41.1M for FY16.*

*Public Records did have \$25K in carryover funds for FY16 which has been spent on computer equipment and software.*

5. 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.

Title	Funding	FY	P/T	Years Needed (If Temp)
<i>Comprehensive Campaign</i>	<u>3,500,000</u>	<u>17</u>	<u>P</u>	
<i>Total Advancement Request</i>	3,500,000			
<i>Presidential Initiatives</i>	381,000	17	T	
<i>Strategic Plan Support *</i>	1,025,000	17	P	
<i>Internal Communications S&amp;B</i>	560,292	17	P	
<i>Internal Communications Operating</i>	<u>150,000</u>	<u>17</u>	<u>T</u>	3 years
<i>Total UM&amp;C Request</i>	2,116,292			
<b>TOTAL REQUEST</b>	<b>5,616,292</b>			

*\* Potential Self-Sustaining Funding Sources for UM&C Strategic Plan Support (in FY15 dollars):*

<i>T&amp;L Distribution to Central</i>	(300,000)	P
<i>Sponsorship Distribution to Central</i>	<u>(725,000)</u>	<u>P</u>
<b>Total Offset</b>	<b>(1,025,000)</b>	

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

1) *Provide operational funding to accomplish the institutional priorities of the University of Washington as represented in the Integrated Marketing & Communications Strategic Plan.*

- **Presidential Initiatives:** includes Veterans’ Day, Innovation Imperative, National Public and Media Relations
- **Goal 1: Attract and develop Washington’s and the world’s most promising students:** includes Husky Experience, Admissions Outreach, Visitor Experience
- **Goal 2: Grow public and private support for the UW’s shared vision:** Comprehensive Campaign
- **Goal 3: Be a destination for world-class faculty and staff:** includes Faculty Onboarding
- **Goal 4: Grow internal passion for what the UW stands for:** includes Campus Signage, Internal Communications (see TAP Project: Streamline Internal Communications)

2) *Fund **Public Records** sufficiently to comply with requests (please find request under separate cover)*

Notes:

- 1) *The goals listed above and their supporting activities are described in greater detail in the UW’s Integrated Marketing & Communications Strategic Plan.*
- 2) *Detailed Marketing & Communications budget available upon request.*

## Administrative Unit Carryover Usage Plan DETAIL

Please use this template to update 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](mailto:afloit@uw.edu)) or Becka Johnson Poppe ([jbecka@uw.edu](mailto:jbecka@uw.edu)). New reserve figures are provided in the "Reserve Figures" tab; new carryover totals are provided in the "Carryover into FY16" tab.

<b>Administrative Unit Name:</b>	<b>University Advancement - Public Records</b>
<b>Carryover Balance going into FY16:</b>	<b>\$ 25,263</b>

Usage Categories and Descriptions	Committed Year(s)	# of Years	Annual \$ Amount	Totals
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<b>Unit's Reserve (10%)</b>				
	FY17	1	\$ -	\$ -
<b>Total Unit's Reserve:</b>			<b>\$ -</b>	<b>-</b>

<b>Central Commitments</b>	<i>e.g. FY17, FY18</i>	<i>e.g. 2</i>		
1. (description)			\$ -	\$ -
2. (description)			\$ -	\$ -
3. (description)			\$ -	\$ -
4. (description)			\$ -	\$ -
5. (description)			\$ -	\$ -
<i>Add more lines as needed</i>			\$ -	\$ -
<b>Total Central Commitments:</b>			<b>\$ -</b>	<b>-</b>

<b>"Spending Plan" Permanent Costs &amp; Other Projects</b>	<i>e.g. FY17, FY18</i>	<i>e.g. 2</i>		
<b>A. Permanent expenditures funded with temporary funds</b>				
1. (description)			\$ -	\$ -
2. (description)			\$ -	\$ -
<b>B. Possible multi-year commitments</b>				
1. (description)			\$ -	\$ -
2. (description)			\$ -	\$ -
<b>C. Immediate, current year use</b>				
1. Computer equipment and software		1	\$ 25,263	\$ 25,263
2. (description)			\$ -	\$ -
<i>Add more lines as needed</i>				
<b>Total Permanent Costs &amp; Other Projects:</b>			<b>\$ 25,263</b>	<b>25,263</b>

<b>TOTAL CARRYOVER USAGE PLAN</b>	<b>\$ 25,263</b>
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