Administrative Unit Name: **Office of Public Records**

*Please complete this Word document and the accompanying Excel workbook (both of which were provided to your unit via email), and submit them to the Office of Planning & Budgeting (OPB) on or before **Friday, November 18**. Please email your materials to [Becka Johnson Poppe](.)*
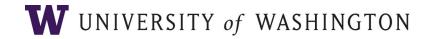
1. In the **"Planned Expenditures" tab of the Excel workbook,** please provide the following information for each functional area of your unit: [1]

    a) A description of how the functional area **contributes to the University's missions** (research, service and teaching) and the risks the University would face if this work were no longer funded;[2] and

    b) Provide information regarding your unit's **projected FTEs and planned expenditures for FY17 and FY18**:

        i) Expenditure estimates should be broken down by:
           • *Fund type*: permanent ABB funds (i.e. GOF and DOF, excluding carryover) and, if applicable, funds derived from self-sustaining efforts, grants and contracts, philanthropy, and other sources.
           • *Expenditure type*: salaries and benefits, goods and services, contractual services, travel, and other.

        ii) 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 FY17, etc. Also, please explain the "other" category, if you put expenses into that column.

    For guidance, please see the example posted at the [FY18 Budget Development webpage](.).

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[1] "Functional area" is most easily described as a level of granularity that reflects your unit's org chart and is reconcilable to your unit's organization code structure. However, if this results in an unwieldy number of "functional areas" for your unit (i.e. more than 7 or 8), please note this in your materials and provide a more manageable level of granularity. As a general guideline, we anticipate 3-7 functional areas per unit.

[2] Please refer the following document for more information about the [University's Sustainable Academic Business Plan (SABP) goals and top institutional risks](.).

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2. A number of variables (e.g. the outcome of the 2017 legislative session) will heavily influence the availability of funds for FY18 merit increases. Despite these unknowns, planning for compensation increases has no doubt begun already. Units should plan to receive less funding than may be necessary to implement the full average merit increases for GOF- and DOF-funded positions. **Please tell us how your unit plans to deploy existing resources, establish new revenue streams (if applicable), and/or pursue additional efficiencies to support merit increases in FY18.** *Please respond in 300 words or fewer.*

The Office of Public Records is a GOF and DOF funded unit under Advancement. Available funding for merit increases is managed at the department level. Please see the Advancement budget narrative for a response to this question.

3. 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, clearer priorities, increased accountability, and elimination of unnecessary bureaucracy and redundancies.

   Please answer the following questions:

   - What are 3-5 new things that your unit is doing this fiscal year to align with the TAP principles for central administrative units and to create and enhance a culture of service? *Please respond within a 300-word bulleted list and please be specific.*

   - How can your unit collaborate with other units (academic and administrative units outside of your own) to be more effective and reduce costs? *Please respond in 200 words or fewer.*

   Provost Baldasty organized an Improvement Team for the Office of Public Records in April of 2016. The team is comprised of several sponsors, a lead, a dozen members and staffed by Organizational Excellence. The team is scheduled to finish deliberations in December, 2016 and thereafter will release their findings and recommendations. At this writing, that information is not available.

4. Please describe **your unit's emerging or changing personnel needs**—prompted by changes that either your unit or the institution is facing—**and what your unit will do to meet these needs <u>without</u> creating new FTE positions** (e.g. redeploying FTE among other functional areas). *Please respond in 300 words or fewer.*
   At your unit's meeting with the Provost, **please be prepared to discuss your unit's succession planning activities**.

   The Office of Public Records added 4 fixed duration positions at the beginning of FY 16 as part of the solution to eliminating what was then a million backlogged pages of records. The Office also contracted with an outside firm to handle certain of the backlogged records. Just over $1.3 million in temporary funding was allocated for this effort. As a result, that particular backlog has been resolved; however, the volume of incoming records requests continues to increase at an exponential rate. The University has no control over the number of requests made, their scope, or their complexity, and under current state law has no recourse but to respond to requests and provide the records.

Using remaining temporary funding in the amount of about $125,000 matched by another allocation of temporary funding, the office is continuing the fixed duration appointments through FY 17 because they are needed. This budget request seeks funding to make those positions permanent as the workload indicates that this level of staffing, at the very least, is necessary to continue to process the growing volume of requests for records.

Without these positions, the risk facing the institution for noncompliance with statutory requirements related to public records requests increases, and the potential penalties for noncompliance could be very high. In an attempt to keep within legally required turnaround times, the only options are to take less time and care in the analysis and redaction process, which would carry a significant increased risk of releasing protected information. The underlying assumption, at this point in time, is that any forthcoming policy aimed at addressing the volume of records on hand deemed respondent or potentially respondent will not be in place for some time to come.

5. **Please identify any significant obstacles or challenges** 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. *Please respond in 300 words or fewer.*

Public records is a growth industry and numerous parties have used the public records act to gain access to the many multiple types of records the University maintains as part of its regular business operations. These parties include employees, former employees, patients, students, attorneys, journalists and ordinary citizens. There is no limit to what records or what volume of records may be requested. Each year, the volume and complexity of requests increases, and the University's obligation under the law is to respond to the requests and provide records that are responsive and public. The University has been fortunate thus far in that it has largely avoided expensive litigation. It did lose one case with a very high price tag in penalties that was overturned at the appellate level. But the potential for litigation is real, and without adequate staffing in the office of public records to do the work, the potential increases. We have looked at efficiencies and been through lean analyses to streamline the work of the office and increase productivity. This will only affect the workflow on the margins. Fundamentally, the University has millions of records the public may request, and the process of identifying, collecting, reviewing and making them available is arduous and time-consuming. The Internet has played a very large role in this, and the more information and records accumulate, the greater number of requests will be forthcoming. It is a growth industry.

6. Please **update the carryover usage plan you submitted as part of last year's budget development process**. To do so, please complete the **"Updated Carryover Usage Plan" tab** of the Excel workbook. Please note:

- Your worksheet is pre-populated with the carryover usage plan you submitted last year, new estimated carryover totals, and new reserve figures.[3]
- Please provide updated numbers under "Updated Plan" (Columns H-K).
- If you have new line items, please add rows, as needed.
- For any major updates, please provide a brief description of the change (Column L).

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[3] As a reminder, carryover balances are calculated at the end of each biennium and can only be *estimated* mid-biennium.

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Please note, although cost allocations for the HR/Payroll Modernization Program won't be available until the new system goes live, units are encouraged to incorporate the original allocations (from the HR/Payroll Cost Allocation plan) into their carryover spending plans. For units that made prepayments, all funds have been held in reserve, and will be applied to your future cost allocations.

If you would like to describe any items from the worksheet in greater detail, please use the space below. **For additional guidance**, please see the example posted at the FY18 Budget Development webpage.

If your unit has a **deficit** instead of a carryover, please confirm that you have an updated deficit mitigation plan in place with OPB. If you do not, please explain why.

N/A

7. For FY18, the Provost will be deploying *permanent* Provost Reinvestment Funds (PRF) primarily, if not exclusively, to cover compensation increases. Thus, **units are asked to limit PRF requests to temporary funding needed to address critical compliance and/or high institutional priority needs**.[4]

If your unit has a PRF request that fits within these strict parameters, please describe it in the "**PRF Request" tab** of the Excel workbook. Please also indicate what you are willing to commit as a match for PRF support.

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[4] Please refer to the University's Sustainable Academic Business Plan for more information about top institutional goals.

Provost Reinvestment Fund Request(s)

Please limit Provost Reinvestment Fund (PRF) requests to <u>temporary</u> support for issues of critical compliance and high institutional priority (such as enhancements to the faculty or student experience) and in consultation with faculty, staff and students. Please also indicate what you are willing to commit as a match for PRF support. Repeat the following fields as needed.

One Sentence Explanation:	*Public Records Technology Upgrade and Contract Services Continuity*	
Requested PRF (per year):	$ 1,250,000	
Number of years needed:	*2 years*	*(e.g. 2 years)*
Starting In:	*FY 18*	*(e.g. FY18)*
Unit Match/Contribution:	*The Office of Public Records has no available matching funds due to it's ongoing growing workload and general lack of resources.*	
Full Explanation of Request:	*The Office of Public Records added 4 fixed duration positions at the beginning of FY 16 as part of the solution to eliminating what was then a million backlogged pages of records. The Office also contracted with an outside firm to handle certain of the backlogged records. Just over $1.3 million in temporary funding was allocated for this effort. As a result, that particular backlog has been resolved; however, the volume of incoming records requests continues to increase at an exponential rate. The University has no control over the number of requests made, their scope, or their complexity, and under current state law has no recourse but to respond to requests and provide the records. This funding request has two parts, a temporary and permanent component. This narrative describes the temporary request.* *$1,000,000 of this funding will allow less complex records requests to be outsourced to a firm similar to the one we used to eliminate the 1m page backlog that was on hand at the end of 2015 calendar year. The adding of the additional staff in conjunction with contracting a portion of the workload to outside firm has reduced the growth in the number of requests on hand well below what we were anticipating before this investment began. While the cost of using an outside firm is about the same as hard costs for salaries, benefits and general operations per staff member would be, the UW is able to avoid the cost of adding bricks and mortar space for additional staff members as well as the cost of overseeing a larger staff. In this way, outsourcing will continue to be a critical solution to the way the UW can manage responding to records request for the foreseeable future.* *The office has discussed the technology situation at length with Advancement's IT. The platform on which Public Records operates is burning and will not be supported by the vendor within the next 12 months. It is essential that it be replaced. Currently we have two possible replacement options. Advancement IT believes it will be several months before we have clear information on all the costs associated with software purchase, installation, customization training and hosting. A ball park figure for purchase, installation, customization and training costs is estimated to be between $250,000 and $350,000. These are broad estimates and final costs could be higher or lower, and may require supplemental funding. The requests includes placeholder funding at $250,000 for this effort.*	
Connection To Other Units:		
FTES and Expenditures	*In the table below, please outline what the TOTAL funds (requested PRF + unit match) would buy. Please add lines as needed.*	

Job Title	FTE	Total Yearly Cost	Amt covered by unit	Amt covered by PRF	
Other Expenditures		**Total Yearly Cost**	**Amt covered by unit**	**Amt covered by PRF**	
(e.g. goods & services)	*n/a*	$ 1,250,000.00			$1,000,000 to continue outsourcing rec ords requests
					$250,000 for one time technology upgrade

One Sentence Explanation:	Permanent Funding for retention of 4 staff members and support and technology upgrade in the Office of Public Records				
Requested PRF (per year):	$ 742,532				
Number of years needed:	Ongoing				
Starting In:	FY 18				
Unit Match/Contribution:					
Full Explanation of Request:	Please see the above narrative. This is part 2 of the funding request, and it is for permanent funds. Using remaining temporary funding in the amount of about $125,000 matched by another allocation of temporary funding, the office is continuing the fixed duration appointments through FY 17 because they are needed. This budget request seeks funding to make those positions permanent as the workload indicates that this level of staffing, at the very least, is necessary to continue to process the growing volume of requests for records. Without these positions, the risk facing the institution for noncompliance with statutory requirements related to public records requests increases, and the potential penalties for noncompliance could be very high. In an attempt to keep within legally required turnaround times, the only options are to take less time and care in the analysis and redaction process, which would carry a significant increased risk of releasing protected information. The underlying assumption, at this point in time, is that any forthcoming policy aimed at addressing the volume of records on hand deemed respondent or potentially respondent will not be in place for some time to come. In addition to salary and benefits, we are requesting funds to enhance training and permanentize funding for our per seat licensing costs. Barbara Benson, Director of Records Management Services estimates that 80% of records retained by faculty and staff are redundant, obsolete or transitory (ROT). ROT means that many more records are responsive to public records requests than necessary. The Archives and Records Managers Association, International (ARMA) estimates that the number of electronic records created rises 30% annually. This office will be required by statute to analyze, review and retain an increasing number of records. Hosting (storage) costs will accelerate. Current estimated annual hosting costs are $300,000.				
Connection To Other Units:	See above				
FTES and Expenditures	In the table below, please outline what the TOTAL funds (requested PRF + unit match) would buy. Please add lines as needed.				

Job Title	FTE	Total Yearly Cost	Amt covered by unit	Amt covered by PRF	
Compliance Analysts	4	$ 344,240.00			Four positions plus 32.4% benefit rate

Other Expenditures		Total Yearly Cost	Amt covered by unit	Amt covered by PRF	
(e.g. goods & services)	n/a	$ 98,292.00			Annual license fees, training, daily operations
(e.g. goods & services)		$ 300,000.00			Cloud Storage costs est. at $215/GB/yr