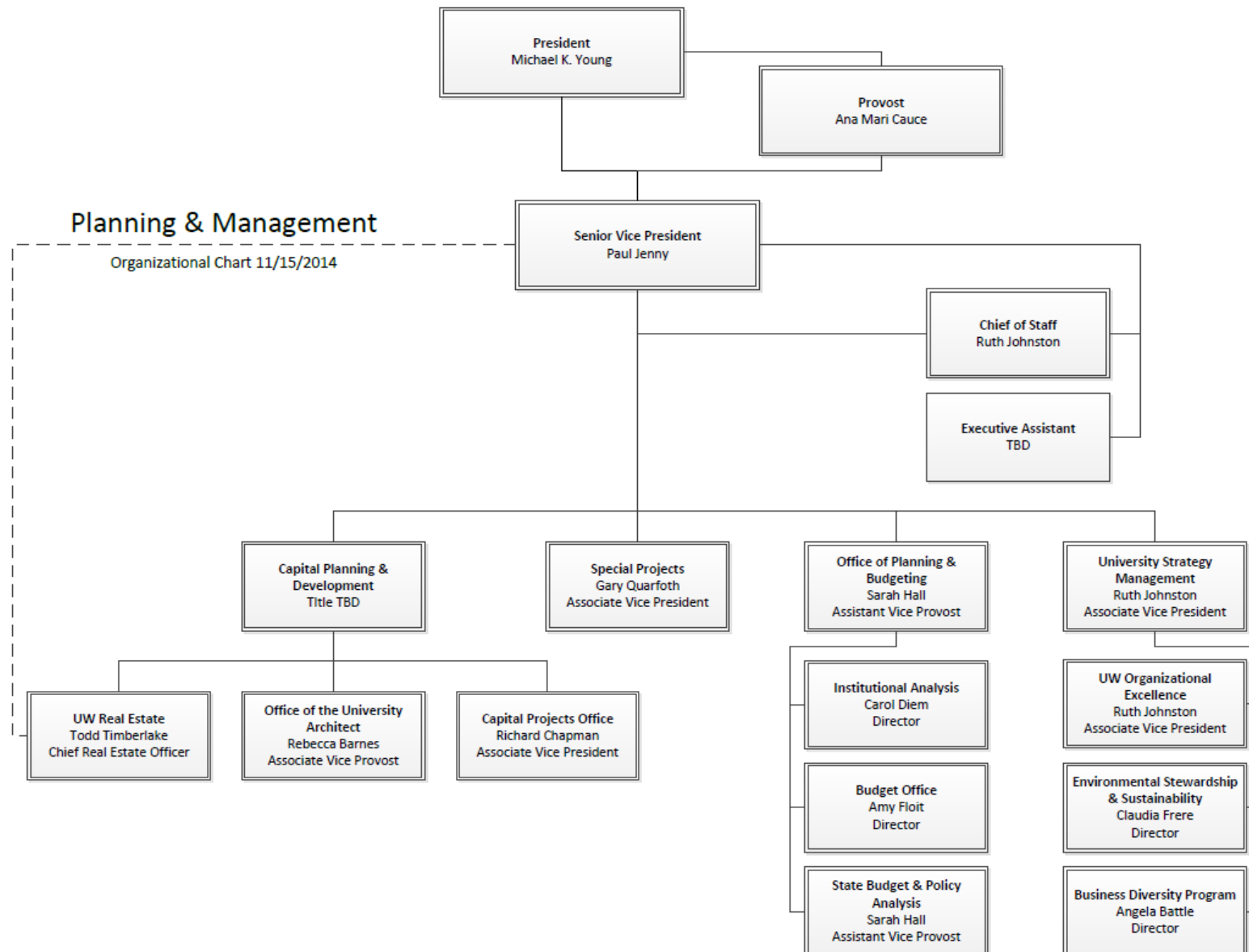
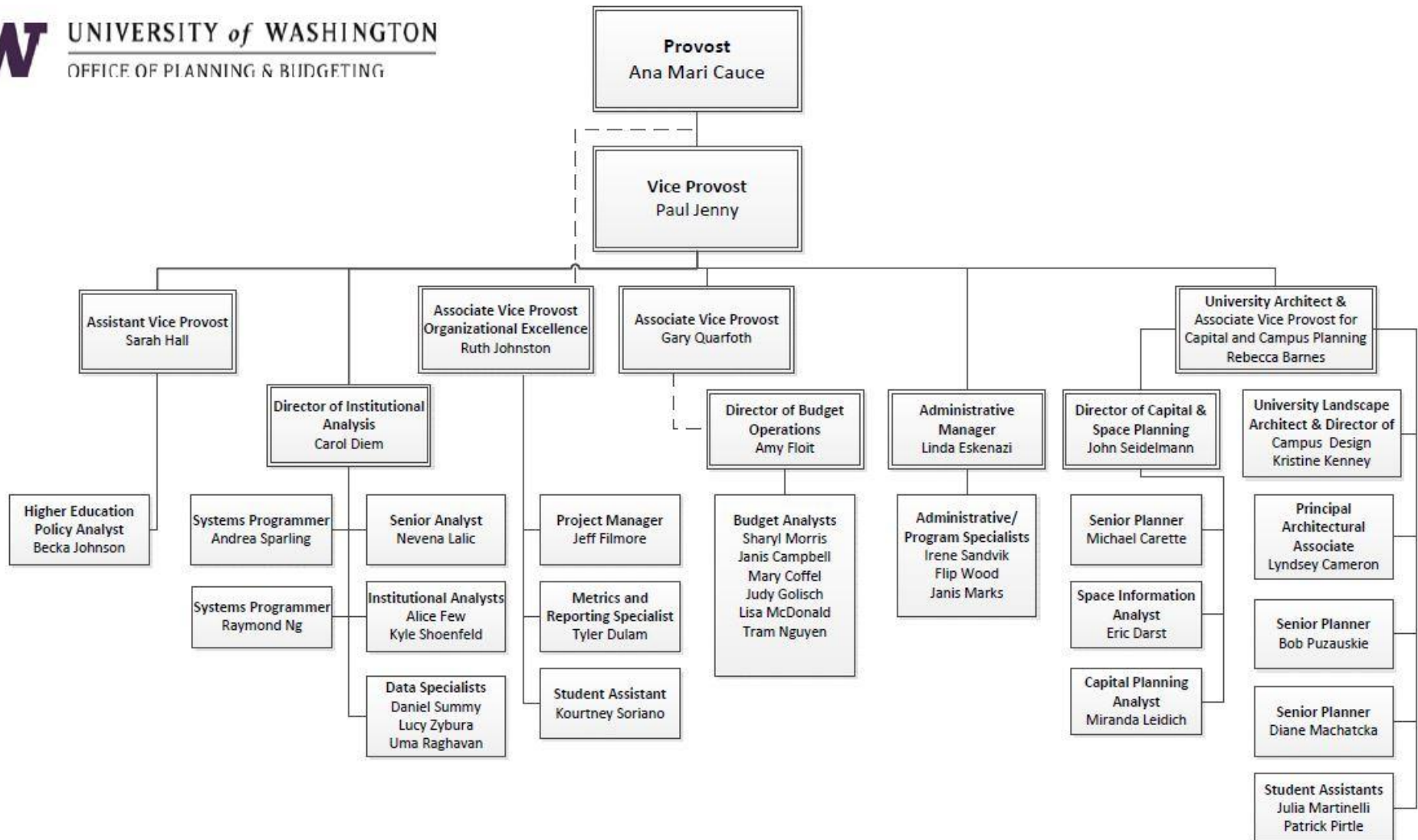


Administrative Unit Name: Planning & Management's Draft Organization Chart

1. The current, draft Planning & Management organization chart is as follows:



Administrative Unit Name: Former Office of Planning & Budgeting Org Chart



1. 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.

Planning & Management (P&M) was created mid-year in FY15. OPB had already begun pulling these materials together, so P&M has made the following assumptions in complying with the intent of this prompt:

1. P&M will not be moving budget numbers, creating new departments or moving budget authority from the current outlay of departments and orgs until biennium close. As such, Real Estate Office and Capital Projects Office are presented separately in these materials assuming current funding and expenditure plans continue through the end of FY15.
2. Each of the functional areas within the prior structure of the former, larger OPB are presented discretely for this submission as they were configured prior to the creation of P&M. This presentation is aligned with the goals to present a current FY expenditure plan by area.
3. The Vice Provost's office, Office of the University Architect, Institutional Analysis, and the Budget Office each assumed one month of permanent expenditures would be predictive of the entire fiscal year. Because permanent, budgeted positions in the former "OPB" will not be moving to a new org in FY15, we believe this assumption is fair for now.
4. Environmental Sustainability & Stewardship is funded partially out of permanent GOF (Provost Reinvestment Fund recipient in FY15) and partially out of temporary funds in F2. Because this exercise requires that we confine our expenditure data to permanent funds, only half of the estimated FY15 funding needed for the office is displayed. Business Diversity Program is also funded out of temporary F2 funds in FY15 (though this may change during the course of this FY); as such, BDP is not included in this summary. Both areas are included in P&M requests for Provost Reinvestment Funds.

See excel attachment "FY_2016Planning&Management_Excel."

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.

2. 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.
-

As a new organization, P&M will be focused on integrating the activities of capital planning and design, project review, project management and project completion. For the first time, project planning, budgeting and design will be coordinated with real estate acquisitions and project management/execution. We believe that many efficiencies and improvements in the capital area will be realized. P&M also added two existing UW wide strategic initiatives, Environmental Stewardship & Sustainability and the Business Diversity Program. Both areas support the UW broadly to achieve UW goals in sustainability and diversity.

P&M will also be dedicated to reviewing administrative services broadly, leading the movement to curtail duplication of processes and products to streamline administrative functions. We will start with reviewing our new, larger organization and seek to consolidate and improve coordination and delivery of processes where we can. As we conduct the administrative review process, P&M will be dedicated to providing coordinated, seamless and navigable services for colleges, schools and executive and academic leadership.

Currently, each component part of this fledgling organization is funded in different ways. CPO is primarily funded through project fees; REO through self-sustaining revenue from rentals; and, OPB through its core GOF/DOF subsidy from the Provost. As noted above, ESS and BDP currently receive temporary funding, though ESS has \$300,000 in permanent ABB funds from the Provost. As we merge, we anticipate using these resources in coordinated fashion and minimizing duplication where we can.

3. 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).
-

N/A

4. 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>.
-

In the event Provost Funds are not available for compensation increases, P&M would utilize permanent funds from unfilled, vacant positions and likely make a number of reductions in permanent budgeted positions to provide minimum merit increases to staff in compliance with direction from the Provost.

5. 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.
-

6. 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.

Example:

1. Title	Funding	FY	P/T	Years Needed (If Temp)	DOF Requested (Y/N)
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1. Planning & Management Support	\$200,000		P		
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This request will provide needed administrative support to the Planning & Management executive team. Funding will provide support for a new fiscal analyst, needed to assist with contract management, budget planning, pro-card reconciliation, etc. as well as operations expenses for the new office and support for .5 FTE webmaster.

2. Permanent Funds for Environmental Sustainability and Stewardship (ESS)	\$300,000		P		
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In FY15, Provost Cauce provided \$300,000 of permanent funds for ESS, which was its first infusion of permanent funds for an award-winning program. ESS seeks additional permanent funds for several reasons. First, ESS is moving to P&M along with Asst. Vice President Johnston and no longer has the temporary funds from F2 to support its operations. Second, the ESS program has been operating on temporary funds since its inception in 2008, though the Provost recently provided permanent ABB funds for this work.

ESS is responsible for supporting the University's Climate Action Plan (CAP) goals reported to the American College & University Presidents Climate Commitment (signed by President Emmert in 2007 and reasserted by President Young when he arrived). ESS coordinates CAP project implementations such as Sustainability in the Curriculum, policy development, paper reduction, Green Office Certifications, metrics and institutional reporting (e.g., Princeton, Sierra, STARS, and international ratings). ESS supports the Environmental Stewardship Committee (ESC) composed of senior leadership reporting to the President, Provost and Senior Vice President. ESS coordinates two sustainability funds, providing direct oversight of the student-led Campus Sustainability Fund and facilitation of the application and approval process for the Green Seed Fund. ESS provides extensive

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.

communications support including award submissions (e.g., ISCN, Seattle Business Magazine), committee and leadership sustainability publications and digital and social media outreach. The office plans two signature events per year (Sustainability Summit and Earth Day).

Not funding ESS would eliminate consolidated reporting on sustainable practices for UW. It would impact student services that provide oversight of the Campus Sustainability Fund, funding for student internship projects and administrative sponsorship for environmental internships that students can take for academic credit. Removing ESS would presumably diminish the University's visibility for sustainability activities and impede reaching our CAP goals and lower our sustainability ranking.

3. Permanent Funds for Business Diversity Program \$200,000 P

BDP has been funded on temporary funds from F2 since its inception in 2008 and has also benefitted from a permanent pool of funds held by F2 for student internships. Current FY15 expenses for BDP amount to \$183,000 without the student internship component. After adding operations expenses, the total amount requested for this work is approximately \$200,000.

The Business Diversity Program proactively engages and supports a full range of business enterprises, including small, minority, and women-owned businesses to ensure inclusion and provide the maximum practicable opportunity to participate in competition for any and all procurement and contracting by the University. The need for the BDP grew from concerns voiced by the minority business community who felt that UW was not doing enough in this area. The BDP was created after a consultant provided a report to the Vice President for Minority Affairs, Vice Provost for Diversity and President of the UW suggesting that a dedicated group of employees be convened to monitor work in these areas. BDP works closely with the Capital Projects Office, Procurement and the Foster School of Business.

Eliminating this program would cause discord with the diverse business community and other state, county, and city agencies.

4. Permanent Funds for Student Internships across P&M \$150,000 P

In moving new areas to P&M, the permanent source of funding for student internships will be lost because it resides within F2's organization. Unless part of the funding for this program moves from F2 to P&M, we will need new funds to continue these internships. ESS, BDP, CPO and REO have utilized this fund to provide work experiences to undergraduate and graduate students. This program is viewed as a UW model of how to support the co-curricular development of students and using the campus as a learning lab. We will consider this request to be moot if permanent funds for it move from F2 to P&M.

P&M Administrative Review: Activities and Expenditures

Planning & Management (P&M) was created in October of FY15, approximately halfway through the fiscal year. OPB had already begun pulling Provost budget materials together, so P&M has made the following assumptions in complying with the intent of this prompt:

1. P&M will not be moving budget numbers, creating new departments or moving budget authority from the current outlay of departments and orgs until biennium close. As such, Real Estate Office and Capital Projects Office are presented separately in these materials assuming current funding and expenditure plans continue through the end of FY15.
2. Each of the functional areas within the prior structure of the former, larger OPB are presented discretely for this submission as they were configured prior to the creation of P&M. This presentation is aligned with the goals to present a current FY expenditure plan by area.
3. The Vice Provost's office, Office of the University Architect, Institutional Analysis and the Budget Office each assumed that one month of permanent expenditures would be predictive of the entire fiscal year. Because permanent, budgeted positions in the former "OPB" will not be moving to a new org during the course of FY15, we believe this assumption is fair for now.
4. Environmental Sustainability & Stewardship is funded partially out of permanent GOF (Provost Reinvestment Fund recipient in FY15) and partially out of temporary funds from F2. Because this exercise requires that we confine our expenditure data to permanent funds, only half of the estimated FY15 funding needed for the office is displayed. The Business Diversity Program is also funded out of temporary F2 funds in FY15 (though this may change during the course of this FY); as such, BDP is not included in this summary. Both areas are included in P&M requests for Provost Reinvestment Funds.

<i>OPB's Vice Provost's Office</i>			
The VP's office is responsible for maintaining and managing the Provost's budget process. In addition, this office provides the Provost, President and other University decision-makers with budget and policy research needed to inform policy choices. This office manages the UW's internal and state budget cycles; produces ad-hoc and periodic policy research; tracks and evaluates bills for both state and federal legislative processes; and maintains OPB's website, blog and communication strategy. This office also conducts the administrative activities and services for OPB, including: scheduling, contract management, leave and payroll, travel approval, event planning, etc.			
Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)*	8.00	\$ 1,700,000	\$ 517,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 375,000
Total	8.00	\$ 1,700,000	\$ 892,000

*Note that supplies, training, technology perm expenses for all of OPB are represented in the VP's area

Insitutional Analysis (OPB)

Institutional analysis is responsible for providing quantitative analyses and predictive models that support the planning activities of University administration. The office responds to a wide variety of internal and external requests for information about students, faculty and staff, and other key areas of the University. In addition, IA is responsible for submitting data to the state's longitudinal student data system and to IPEDS, and for responding to many other national surveys (including those used for college rankings). Within the office, IA produces the projections of operating and building fee revenue, financial aid need calculations, and aid allocations that are used in the Regents' budget and ultimately determine unit-level allocations. IA is responsible for management and documentation of the Activity Based Budgeting unit-level tuition allocation model. Currently, IA serves a critical role as the subject matter expert for significant areas of institutional data, working with UW-IT and others to transition the University's various data stores to an integrated, well-defined Enterprise Data Warehouse. Recently, IA has been central to the development of UW Profiles and more specifically, Public Profiles, the UW's first open institutional data dashboard.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	8.00	\$ 925,000	
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	8.00	\$ 925,000	\$ -

Organizational Excellence (OPB)

Organizational Excellence (OE) was established in 2013 under the 2y2d Initiative and the Sustainable Academic Business Plan (sponsored by the Provost and the President). OE helps UW schools, colleges, academic-support, and administrative units improve their organizational effectiveness by providing organizational development expertise, building skills and capacity within and across units, and sharing ideas and best practices with the UW community. Since the launch of the program, OE has worked on 47 projects with 9 schools and colleges, 4 academic-support units, and 4 admin areas. Types of engagements include providing leadership development and coaching, organizational assessments, strategic planning, process improvement, and project management.

Without the Organizational Excellence Program, deans, faculty leadership, senior administrators, and staff would not have access to the specific skill set required to improve work in their units. The third-party, external perspective that OE provides is essential to help units evolve and adapt their operations to meet new demands and requirements.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	2.75	\$ 450,000	
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	2.75	\$ 450,000	\$ -

Operating Budget Office (OPB)

The Budget Office assists the Provost by monitoring and maintaining the University's operating budget and by managing allocations for all GOF/DOF revenue. The office provides budget-related reports to the administration and Regents, and responds to ad-hoc requests for budget and/or expenditure data. It analyzes units' requests for revisions to their budgets and makes recommendations to the Vice Provost regarding approval. The Office also conducts policy analysis and review and is often consulted as an expert in the financial and budget areas. Most recently, an analysis of the institutional overhead was completed and staff were an integral part of responding to the 2014 state audit of fund balances. The office manages and provides critical support to colleges, schools, and administrative organizations in the following content areas: salary merit process, administrative and institutional overhead, fee policy, state budget development, state allotment process, budget to actual spending analyses, indirect cost recovery projections, ABB budgeting, student fee committee work, unit deficit policy management and plan development, Regents' budget planning and production, unit allocations, district energy analysis, etc. Staff have provided critical support for the current HR/Payroll replacement project and will do so for the Finance replacement project as well.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	7.00	\$ 820,000	
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	7.00	\$ 820,000	\$ -

Office of the University Architect (OPB)

The Office of the University Architect is the University's physical and capital planning office. It establishes an integrated vision of the physical campus landscape and facilities and articulates the associated capital plan and budget. Its staff of planners, designers, and policy analysts provide leadership, counsel and oversight regarding campus planning, landscape and architectural design, strategic sustainability and energy planning, and space and capital resource planning for the University of Washington's three campuses and associated properties. Oversight and integration of these various disciplines is managed by OUA staff who sit and advise on many campus committees including the University of Washington Architectural Commission (UWAC), the University Landscape Advisory Committee (ULAC) and the University of Washington Public Arts Commission (UWPAC).

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	9.80	\$ 1,230,000	\$ 110,000
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	9.80	\$ 1,230,000	\$ 110,000

Assumptions: In order to project a full year of salaries and benefits for current OPB staff, we took one month of data from EDW report, "Transaction Summary by OrgCode" and projected annual expense. We calibrated this projection against our permanent GOF and DOF annual budgets for salaries and benefits. We applied the remaining amount perm budget amount for GOF and DOF to the "other" category in the VP's area. In addition, we allocated permanent budget authority to the various departments in OPB where we could. We did not include temporary budget authority in this exercise.

Real Estate Office

UW Real Estate (UWRE) provides strategic asset management and comprehensive real estate services that align with the University's institutional goals. This includes property transactions, asset management, property management, project management, tenant services, gifts, property rights management, finance and accounting, lease administration, rent collection/payment, reporting and information management.

Real estate services are provided for all three UW campuses, medical centers, research field stations, biological preserves, off-campus and various international locations. The managed portfolio is approximately 6 million square feet, including 1.7 million square feet leased for University departments and medical centers; 1 million square feet of owner occupied space; and 3.2 million square feet of income producing properties, including the Metropolitan Tract.

GOF/DOF funds are used for centrally funded property rentals at non-campus locations. Included in the GOF/DOF funds are \$3.5 million for real estate acquisitions. The self-sustaining expenditures are UWRE department expenses and operating expenses for properties managed by UWRE, including \$20.5 million for debt service. Funds for debt service payments are made with revenue generated from tenant rents. The self-sustaining budgets include reserves for major property repairs and improvements, such as roof replacement. The total reserves managed by UWRE are estimated at \$8.7 million in FY 15.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)			\$ 14,364,000
Self-Sustaining Funds (BT 10, 11)	20.00	\$ 2,847,000	\$ 31,866,000
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 500
Total	20.00	\$ 2,847,000	\$ 46,230,500

Capital Projects Office

The Major Project Group is responsible for the successful and timely completion of all projects having total costs of \$10 million or greater, as well as selectively assigned smaller projects. The focus of this team includes all three UW campuses, Harborview and major projects at other locations. Also involved in the major projects is the Strategic Programs Group which has taken the lead in working with Sound Transit.

The SPG is made up of Project and Construction Managers responsible for the successful and timely completion of all projects with a total cost of less than \$10 million. Within SPG is the Small Projects Delivery Team which is a program focused on smaller projects that are accomplished in the most efficient and economic methods, while meeting the standards of the University and ensuring satisfactory results for our clients.

CPO's Safety Office is responsible for the facilitation of safe work environments and programs for University staff, students, faculty and visitors at CPO managed construction locations. This office collaborates and interfaces with CPO contractors and subcontractors to support those firms as they manage their safe worksites.

CPO's in-house design group operating on a fee-for-service basis. This multi-disciplinary group of architects, engineers, designers and managers provides a full range of design services to all University departments and campuses.

The Business Services Group is responsible for services to CPO projects including Architect/Engineer Partnership and Diversity Programs, Accounting, Contracting, Estimating Environmental Planning, Information Management, Program Enhancement, Project Control and Sustainability. This team provides financial information to the University's Office of Planning and Budgeting and F2 Finance and Facilities, providing legislative fiscal notes as requested, business services coordination with other State agencies who are "owners" of capital projects, providing capital project information to UW External Affairs and internal control within CPO.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	4.46	\$ 883,140	\$ 28,729
Self-Sustaining Funds (BT 10, 11)	112**	\$ 10,299,864	\$ 2,129,550
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	116.46	\$ 11,183,004	\$ 2,158,279

**This a combination payroll and contract employees

Environmental Stewardship & Sustainability

ESS is responsible for supporting the University's Climate Action Plan (CAP) goals reported to the American College & University Presidents Climate Commitment (signed by President Emmert in 2007 and reasserted by President Young when he arrived). ESS coordinates CAP project implementations such as Sustainability in the Curriculum, policy development, paper reduction, Green Office Certifications, metrics and institutional reporting (e.g., Princeton, Sierra, STARS, and international ratings). ESS supports the Environmental Stewardship Committee (ESC) composed of senior leadership reporting to the President, Provost and Senior Vice President.

ESS coordinates two sustainability funds, providing direct oversight of the student-led Campus Sustainability Fund and facilitation of the application and approval process for the Green Seed Fund. ESS provides extensive communications support including award submissions (e.g., ISCN, Seattle Business Magazine), committee and leadership sustainability publications and digital and social media outreach. The office plans two signature events per year (Sustainability Summit and Earth Day).

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)*	3.08	\$ 300,000	
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)			
Philanthropy, or Gifts & Discretionary (BT 06)			
Total	3.08	\$ 300,000	\$ -

*Only permanent planned expenses are shown

Administrative Unit Carryover Usage Plan SUMMARY

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

Administrative Unit Name: Planning & Budgeting
Estimate of Carryover Balance at "Close" of FY14: 2,828,000

Usage Category	Amount	%
Unit's Reserve	471,789	16.36%
Central Commitments	0	0.00%
Permanent Costs & Other Projects	2,412,423	83.64%
Total	2,884,212	100.00%