

## Colleges and Entities Reporting to the SVPAA Budget Instructions for Fiscal Year 2019-2020

### 1. Process Overview

- The annual budget process and meeting with the Senior Vice President of Academic Affairs (SVPAA) provides the opportunity to discuss both annual and long term strategic planning and area goals, as well as their connection to institutional goals. The primary objective of the budget process is to discuss and approve funds supporting each organization's specific operational and strategic outcomes. In general, the budget process will be similar to previous years, though it must include responses to the specific issues outlined in Parts D and L of the budget narrative.
- Annual budget submissions and subsequent approvals should allocate financial resources in support of area and institutional priorities for the following fiscal year. Please keep in mind that university policy 5-401 (<https://regulations.utah.edu/human-resources/5-401.php>) mandates that annual pay increases be approved as part of the annual budget approval process. Off-cycle pay increases should be infrequent and will require the approval of the cognizant Vice President.
- Budget data must be entered into the Enterprise Performance Management (EPM) system (<https://www.obia.utah.edu/data/budget-planning-data/epm>) prior to your budget meeting. Electronic or PDF copies of all required reports and other supporting documentation submitted or emailed to Sandy Hughes (SANDY.HUGHES@UTAH.EDU) **one week prior to the budget meeting**. Senior administration and budget office staff will review budget submissions at this time and may ask for clarification or additional documentation prior to your budget meeting.
- The SVPAA budget meeting schedule will be posted to the EPM website (<http://www.obia.utah.edu/epm>). We will communicate any changes to the posted schedule in advance to allow appropriate schedule changes if needed.
- Each entity will present its budget to the Campus Budget Advisory Committee (CBAC) (<https://www.obia.utah.edu/wp-content/uploads/2019/01/CBAC-Charge-Letter.pdf>). This committee will review the annual reports from each college and major unit and attend the budget meetings. The CBAC will participate in the process of assessing the impact of budget allocations and advising the SVPAA on strategic and critical investments. Please come prepared to discuss any significant requests, variances and use of current resources throughout the current fiscal year, in addition to anticipated use of funds for the coming fiscal year.
- Each entity should use a standardized PowerPoint template for presentation (<https://www.obia.utah.edu/fy-19-20-budget-presentation-template/>). This template focuses the discussion on relevant finance and planning topics. Please send the completed PowerPoint presentation to Sandy Hughes at least one week prior to your presentation to the CBAC. **Please plan to use no more than 15 minutes of your scheduled time for your unit's budget presentation**, allowing the remaining time for questions and discussion.
- After all entity budgets have been reviewed, we will notify you in writing when your budget and salary increases have been approved.

## 2. Budget Preparation

### A. Personnel Expenses

Final salary guidelines will not be available until after the legislative session ends. However, for planning purposes you should target an overall increase of 2%, plus any net new positions (or other new personnel) expense in FY 19-20. **Until the budget process is complete and the salaries have been finalized and approved, you should not communicate any expectation about salary increases to individuals.**

Remember that July 1<sup>st</sup> is the time for performance-based salary increases; off-cycle increases should be rare. Depending on the situation, you may need to implement documented larger increases for equity and additional responsibilities over multiple years. As you consider appropriate salary increases within your entity, please use the following guidelines:

- College/entities will be required to provide a justification for all individual increases above the maximum specified by the President.
- For equity requests, departments should provide comparable information for others in the department/division that hold the same job title as well as any relevant market data.
- For performance-based requests, departments should describe what factors were used to determine the proposed salary increase (e.g., additional duties or merit).
- Financial Business Services (FBS) provides useful tools to help estimate personnel costs. Departments and Colleges can use HRIL or FIL reports found on CIS or D-Jobs to initially download personnel data, calculate or estimate next year personnel costs, and insert those costs into EPM as a lump sum. There is a help document on the EPM website that can assist you in finding the HRIL or FIL personnel reports and how to use them.

### B. All Funds

Please budget all operating funds for your entity. This may include funds 1001, 2xxx, 49xx, 6xxx, 7xxx. If you have any questions, please contact the budget office.

### C. One Time Expenses

Entities can budget significant one-time transactions in detail in the EPM system. Entities should budget significant one-time expenses and/or revenue in detail in the EPM system. Amounts designated as one-time for either revenues or expenses will be shown separately from the operation section of the required Fund Summary. This designation in the EPM system allows the CBAC members to identify out of the ordinary budgeted items.

## 3. Budget Submission

The budget narrative for each college or entity must be submitted as described below.

***Budget Reports: Please only print and include the Parent Level reports in your submission. Do not include reports for individual departments or organizations within your College/School/Entity***

- Fund Summary – Parent Level (College/School/Entity)
- 5-Year Comparison – Parent Level (College/School/Entity)
- Fund Summary – Department/Program within a college/school/entity
- SVPAA Commitments (if applicable, EPM required report)
- SVPAA New Funding Requests (if applicable – Located on EPM website)

- 5-Year Budget Summary and Assumptions or Multi-Year Budget Report and Assumptions
- Department Dashboards – Please include Departmental Dashboards (if appropriate to your written responses)
- Salary Justification Report – Use the Excel template as found on the budget website (<http://www.obia.utah.edu/epm>)
- Reallocations or Discontinuations to Support Strategic Entity or Institutional Priorities

**Budget Narrative:**

Following the reports noted above, please divide the budget narrative into the following sections and include information at the highest level of the organization. **Be clear and brief, following the recommended page limits for each section.** Narratives for departments are not required, though there is an optional section to highlight any significant issues pertaining to departments.

Additional information that you believe is important to understand your unit should be included in an appendix. **The entire budget package, including narrative and all reports, must be submitted electronically in PDF format to the budget office one week prior to your budget presentation.** Due to time and resource limits, budget submissions that exceed recommended length may not get a full review and consideration. It is important to synthesize and prioritize your budget requests within the recommended length to allow full consideration of your submission

*Part A: Summary of Strategic Plan (2 pages)*

This section should include a high-level summary of the entity’s strategic plans and goals over the next 3-5 years. This should include a description of the financial impact on the budget and how the plans and budgets are mutually supporting.

Please include metrics that are relevant to your unit and that reflect your goals and progress toward those goals. For metrics and relevant data, please refer and use the various resources found on the OBIA website.

Please include a discussion on your efforts to align with major University goals and specifically highlight your efforts to increase diversity in faculty, students, and staff.

Strategic Campus Priorities:

- Promote student success to transform lives (<https://www.obia.utah.edu/data/university-strategy-student-success>)
- Develop and transfer new knowledge (<https://www.obia.utah.edu/data/university-strategy-transfer-knowledge>)
- Engage communities to improve health and quality of life (<https://www.obia.utah.edu/data/university-strategy-engage-community>)
- Ensure long-term viability of the University (<https://www.obia.utah.edu/data/university-strategy-viability>)

In addition, there are three areas that we want to gather information on this year. Please pay particular attention to the three topics below and address them in your planning and narrative:

- **One U** (<https://attheu.utah.edu/facultystaff/one-u/>)
- **Faculty and Staff Diversity** (see also D below)
- **Campus Safety**

One U is a major initiative across campus. This means that we have the opportunity to work together to solve big problems in society and also optimize our campus resources. As one of a small number of research universities with a full academic medical center located together, we can bring people together from different fields to develop creative, innovative solutions that will improve lives.

<https://attheu.utah.edu/facultystaff/one-u/>

Please include a paragraph on what you will be doing in FY 2020 to promote the One U initiative

Also, please include a paragraph for the following university priorities and how you are supporting these in your unit:

- Faculty and Staff Diversity
- Campus Safety

*Part B. Summary of Performance (1 page)*

Please address significant points related to accomplishments and goals for FY18-19 (i.e., the current fiscal year), including data to show how you are measuring progress. Also, please come to your budget meeting prepared to discuss any significant variances in your current year budget to actual balances.

*Part C. Assumptions (1/2 page)*

Please list the major assumptions used for your budget. These should include an explanation for any personnel expense increase. Please include the grid below to show your planned calculation for your FY 19-20 Personnel Budget.

<b>Personnel Budget</b>	<b>Amount</b>
FY 19-20 Forecast	
Targeted Increase @2.0%	
Net New Positions FY 19-20	
Other Personnel Changes	
Total FY 19-20 Budget	

*Part D. Diversity and Recruitment (1-2 pages)*

Please submit a summary of faculty recruitment plans by **level** (assistant, associate, full professor) and **area** and indicate possible funding sources for the next three fiscal years in the format shown below. This information should align with the assumptions for multi-year planning and should include information regarding the success of your diversity recruitments over the last year.

***Please include how these support your unit's efforts to enhance the diversity and how you have allocated funds to create incentives for diversity hiring.***

<b>Area</b>	<b>FY 19-20</b>		<b>FY 20-21</b>		<b>FY 21-22</b>	
<b>Type of Hire</b>	<b>New</b>	<b>Replacement</b>	<b>New</b>	<b>Replacement</b>	<b>New</b>	<b>Replacement</b>
Area and Level 1						
Area and Level 2						
Area and Level 3						
Area and Level 4						
<b>Grand Total</b>						

*Part E. Scholarship Self-Study (1-2 pages)*

Based on an analysis of the scholarly and/or creative productivity of your departments and college, using Academic Analytics or other comparative indicators that you find relevant, provide a brief narrative of the strengths of your current scholarly performance, areas of challenge, and your plans to amplify strengths and address challenges in the year(s) ahead. These may include but are not limited to reallocation of existing resources, strategic hiring, and phased retirements.

Please include the indicators and metrics on which you are basing your analyses and plans. A list of scholarly peers (8-12 institutions) will also be helpful. Departmental and college dashboards are available on the OBIA website.

*Part F. Grants and Contracts (1/2 page) (if applicable)*

Please include a paragraph explaining how you expect grant funding for FY 19-20 to compare to FY 18-19, along with an assessment of the historical rate of growth. Include a chart showing the number of proposals and the number of grants/contracts awarded or anticipated to be awarded.

*Part G. Gifts/New Revenue (1/2 page)*

Please include a discussion about any anticipated donations/philanthropy or new revenue that you are anticipating that will be material to your budget. Please provide a brief summary of fund raising priorities and strategies with specific financial targets (i.e., the college/entity's philanthropic goals for the coming fiscal year). Include a chart showing total number of asks and total number and amount of gifts for FY 18-19.

*Part H. Support (1-2 pages)*

**SVPAA Recurring Commitments**

Please provide a discussion of how you have used new funding you received from the SVPAA for FY 18-19.

## New Requests

Please outline modest requests for new resources that you believe will facilitate progress toward your goals, assist you in advancing campus priorities within your college/entity and/or connect your efforts with those of other colleges/entities.

*Note that new funding is quite limited this year, and we recommend presenting no more than 2-3 critical requests for funding.*

Please indicate any parallel commitments (i.e., matching funds) of college/entity resources and how initial investment of campus funds can be transitioned to college/entity responsibilities over time. Please indicate in numeric order the college/entity priority for all new funding requests and how funding relates to one or more of the campus strategic goals. (Please use the online spreadsheet provided on the OBIA website.)

High priorities for this budget cycle are:

- One U research, scholarship, and education collaborations
- Faculty and staff diversity hiring
- Campus safety
- Student completion and success (graduate and undergraduate)

### *Part I. Five Year Historical Trends (1/2 page)*

In this section, please include explanations for material trends in the EPM 5-Year Comparison Report. Include a discussion of significant trends in cash balances, cash reserves, and future cash projections. Also include a discussion of issues that you are aware of that will materially impact FY 18-19 and FY 19-20 that have not been discussed in any other section of the narrative.

### *Part J. Multi-year Planning (1 page)*

Please include a discussion of where you foresee the college/entity going over the next five years. Include a discussion of assumptions and implications for resources. Please include a brief discussion regarding assumptions you used in developing these projections as well as any potential challenges you feel may affect your projections from FY 19-20 through FY 23-24.

### *Part K. Review Status of New Funding Commitments Received in Prior Fiscal Year (1/2 – 1 page)*

Include a brief summary of the status on any significant new funding commitments made and approved during the prior year budget process. The budget office will provide a list of new funding commitments requested and approved from last year that require feedback regarding the status of achieving the intended goal(s) that were stated when these funds were requested. Please include data, metrics or process measures, that you use to evaluate the use of these funds in meeting the objectives outlined in your previous year request for new funding.

### *Part L. Reallocations to Support Unit and Campus Priorities (1/2 – 1 page) (New in FY 19-20)*

Include a brief summary of how existing funds have been or will be reallocated to support college/entity priorities, whether new or existing initiatives. Indicate funds source and durations.