

FY2017-18 Budget Call Form Instructions

Overview

The forms included in this packet are tailored to your program/unit. While we did our best to populate the forms, you know your program/unit best and we encourage you to use the pre-populated data as a starting point to convey current information and planned activity.

Please review the forms, evaluate the content and your unit's trends and needs, and update the data in the forms. When developing your budget requests, please make sure to follow the guiding principles laid out in AVP Tran's announcement letter dated December 1, 2016.

To be considered for the FY2017-18 budget augmentations, these forms must be returned to the Resource Planning and Management office (RPM) by **February 8, 2017**. RPM staff will conduct two Webinars to go over these forms and would like to meet with you to review and discuss your budget needs before you submit your budget proposal. The dates of Webinars and individual meetings are:

Webinars:

1. Tuesday, December 13, 1-2:30 pm
2. Monday, January 9, 1-2:30 pm

Meetings with programs/units:

In Davis (Tuesday or Thursday): January 3, 5, 9 (Monday), 10, 12, 19, 24, 26

In Oakland (Monday or Wednesday): January 11, 18, 23, 25

The meetings will take place between 9 am and 4 pm, each for one hour. Please contact Cheryl Hyland (Cheryl.hyland@ucop.edu) to schedule your meeting. If you are requesting new funding, you must meet with RPM staff prior to the budget call submission and return the forms by the due date.

Timeline

Date	Action
December 1-5	AVP Tran's announcement letter and budget call forms
December 13	First Webinar
January 9	Second Webinar
February 8	Budget proposals due to ANR RPM Office
March	Program Council and Administrative Review Group evaluate budget submissions and make recommendations to Senior Leadership
April	Senior Leadership reviews budget submissions with Vice President, who makes the final decisions
May	Announcement of permanent reallocation and temporary funding decisions

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Instructions

The budget call forms are an Excel file consisting of a number of tabs. When filling those tabs, please do not change the table structure; do not hide any rows or columns; and do not change pre-populated numbers on the Permanent Budget and Temporary Budget tabs.

1. OBJECTIVE STATEMENT

ANR 3 YEAR PLANNING CYCLE - STARTING NEXT FISCAL YEAR - SUMMARY (CURRENT FISCAL YEAR as Baseline)

Name of Unit: Unit Name

This section reflects the objectives from the current fiscal year budget call. Please modify to reflect your current unit objectives.				Indicate the percentage of unit budget to each objective (total 100%)	Indicate below impact to ANR Strategic Initiatives or Other Impact ("X" those that apply):					
2 Objective	3 Detail	4 Benefit to ANR			Healthy Families and Communities	Sustainable Natural Ecosystems	Sustainable Food Systems	Evidence and Invasive Pests and Diseases	Water Quality, Quantity and Security	Other (please describe here)
Objective 1				100%						
Objective 2										
Objective 3										
Objective 4										
Objective 5										
Objective 6										

TOTAL: 100%

Feedback/Needs/Concerns:

The form is pre-populated with data submitted in last year’s budget call. Please update to reflect the current objectives for your program/unit.

1. Program/unit name is pre-populated and flows through the rest of the document
2. Objectives are pre-populated. Objectives are determined by the program/unit and should include normal day-to-day program/administrative operations, program/unit core functions, and one-time initiatives and/or special projects. Please edit to reflect any updates for the program/unit.
3. Detail should include a further description of the objective. Please update as needed.
4. Benefit to ANR may include program enhancements, cost benefits, funds leveraged and/or how services to ANR stakeholders are enhanced. Please update to reflect any changes.
5. Expand the rows if more objectives are required. A program/unit may have as many objectives as needed, but typically ranging between three and five.
6. Percentage of each objective is based on last year’s budget call submission, as a percentage of the total budget. Please redistribute to reflect the distribution for the current fiscal year, ensuring the objectives total to 100%. If they do not, the “Total” box will change from Blue to Red.
7. Please check the box indicating the impact to ANR Strategic Goals or Initiatives.
8. Use the comments section to list overall challenges, obstacles or constraints in the foreseeable future. You may also provide feedback regarding the budget call process, the form, etc. in this section.

2. PERMANENT BUDGET

Permanent budget covers mostly the costs of your program/unit’s ongoing operations. This worksheet is pre-populated with the approved permanent budget as of July 1, 2016, as communicated in the FY2016-17 Budget Schedules. Please do not change the numbers under Baseline Budget. For more information, see the “Schedule 2” tab where permanent budget summarized by sub-account is included.

The top section of this form contains the total permanent funding for your program/unit. In the example below, in the row labeled as “Permanent Budget (includes estimated benefits), the number (\$428,700) under “Baseline Budget” reflects what is approved for your program/unit from the 2016-17 budget call. The number (\$509,800) under “Proposal” reflects the total budget after adjustment and your requests for FY 2017-18 and beyond.

Right below these totals is information on FTE and budget for personnel costs. In 2016-17, the program/unit has 1.00 academic FTE along \$170,000 for salaries and benefits, and 2.00 non-academic FTE along with \$240,000 for salaries and benefits. The example also shows what may cost for salaries and benefits in the next fiscal year assuming a 3% increase in salaries.

	Baseline Budget		Proposal		Comments/Justifications
	FY 2016-17		FY 2017-18- Ongoing		
	FTE	Amount	FTE	Amount	
Permanent Budget (includes estimated benefits)		428,700	-	509,800	
Academic Salaries - see Salaries tab for detail	1.00	150,000	1.00	154,500	
Academic Benefits (estimated) - see Salaries tab for detail		20,000		20,600	
Non-Academic Salaries - see Salaries tab for detail	2.00	200,000	2.00	206,000	
Non-Academic Benefits (estimated) - see Salaries tab for detail		40,000		41,200	
Salary Additions					
Administrative Assistant II (tc: 4732)			1.00	40,000	Request a new administrative assistant to support program
Change 1 - Benefits (replace with known if available)		-		15,600	
Change 2 Title/Position			0.00	-	
Change 2 - Benefits		-		-	
Non-Academic Salaries and Benefits Changes	0.00	-	1.00	55,600	
Non-Academic Salaries and Benefits Adjusted Budget	2.00	240,000	3.00	302,800	

The rows under “Salary Additions” are for you to request new positions or propose reduction. The example shows that the program/unit requests a new administrative assistant II position with 1.00 FTE and \$40,000 annual salary. The benefit is calculated automatically. This new position, at a total cost of \$55,600, would raise the program/unit’s total non-academic FTE to 3.00 and non-academic personnel cost to \$302,800 in 2017-18.

Please note that any proposed change in academic positions must be submitted through the ANR Academic Positions call (not through the Budget Call process). Future year salaries for academic positions have been calculated to include estimated mandated cost increases, but do not include academic merit and promotions.

If you request new staff positions or propose staff reduction, please:

1. Enter the Title/Position (overwrite “Change n Title/Position”). If possible, please include title code.
2. Enter the FY2017-18 requested FTE. In the case of staff reduction, use a negative number.
3. Enter the FY2017-18 estimated salary. In the case of staff reduction, use a negative number.

4. Benefits will be reflected in the grey boxes below when the estimated salary is entered. This can be overwritten if more accurate benefit costs are available (detailed salary and benefit information is provided on the "Salary" tab).
5. Justification. Enter comments that support this additional position. Identify the objective(s) impacted by the addition or reduction. Discuss efficiencies gained with the new hire. How would it be self-funded? What are the savings/return on investment? A job description and organizational chart reflecting the new position is REQUIRED for all staff increases requested as supplemental documentation.

The middle section of this form is for non-salary budget. As seen in the image below, the current funding level of this program/unit is \$18,700, split between supplies and travel.

<u>Non-Salaries</u>				Non-Salaries Net Additions/Reductions	
Supplies & Expenses					
Total Budget Supplies & Expenses		17,500		(5,000)	Reduce supplies and expenses
Supplies & Expenses Item 2				-	
Equipment					
Equipment rental				17,000	Maintain some special equipment
Equipment Item 2				-	
Travel/General Assistance					
Total Budget Travel		1,200		1,200	Cover more travel expenses by director
Travel Item 2				-	
<u>Approved FY 2016-17 Permanent Budget: Non-Salaries</u>		18,700		18,700	
<u>Non-Salaries Net Additions/(Reductions)</u>		-		13,200	
Non-Salaries Adjusted budget		18,700		31,900	

The program/unit is requesting a net of \$13,200 additional funds for equipment and travel in 2017-18, bringing the non-personnel funding level to \$31,900. The program/unit also proposes to move \$5,000 from supplies to equipment. When you make such requests, please make sure to enter net change. If it is a reduction, enter a negative number. Use the Comments/Justifications section to provide explanation and detail.

The bottom of the Permanent Budget tab summarizes the approved budget and requested future budget items. These are calculated automatically. Review the additions/ reductions carefully; these rows reflect the overall changes that are being requested to your program/unit's permanent budget.

	FY 2016-17		FY 2017-18- Ongoing	
	FTE	Amt	FTE	Amt
Totals				
Baseline Permanent Budget includes estimated benefits	-	258,700	-	279,100
Salaries and Estimated Benefits				
Academic Staff	1.00	170,000	1.00	175,100
Non-Academic Staff				
Base Budget includes mandated costs	2.00	240,000	2.00	247,200
Additions/(Reductions)	-	-	1.00	55,600
Non-Academic Staff Adjusted Budget	2.00	240,000	3.00	302,800
Salaries and Estimated Benefits Total	3.00	410,000	4.00	477,900
Non-Salaries				
Base Budget		18,700		18,700
Net Additions/(Reductions)		-		13,200
Non-Salaries Total		18,700		31,900
TOTAL (Includes estimated benefits, mandated costs)	3.00	428,700	4.00	509,800

3. TEMPORARY BUDGET

Temporary budget covers mostly one-time project costs or other temporary expenses. As shown in the example below, the top section of this form shows the temporary funding that has been approved or committed from previous budget calls or through an off-cycle budget request.

	TEMPORARY BUDGET								Comments/Justifications
	FY 2016-17		FY 2017-18		FY 2018-19		FY 2019-20		
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	
Approved Temporary Funding Allocation(s)	Approved								
Operational Support		15,000		4,000					
2nd Street Building Recharge		5,000							Subject to change when the rate is finalized
Analyst I (incl benefits)	1.00	114,721	1.00	118,162	1.00	121,707			
Budget Tracking System		15,000							Post-budget call augmentation
Total Approved Temporary Allocations	1.00	149,721	1.00	122,162	1.00	121,707	0.00	-	

Some of the commitments, such as 2nd Street Building recharge and budget tracking system, are limited to one year and others, such as operational support and analyst I, span multiple years. Also, while most of these commitments were approved from previous budget calls, some may have been approved through an off-cycle budget request. Such items are labeled as “Post-budget call augmentation.”

Another thing to notice is that the amount committed in 2016-17 for personnel costs may differ from what appeared in your 2016-17 budget schedules. This happens because adjustments have been made to reflect the true salaries and benefits associated with a position. Still another thing to notice is the 2nd Street Building fund may change when the building rate is finalized.

Do not make any change to the data in this section. Enter your requests for new funding or modifications of existing commitments in the section shown below.

Requests for Temporary Funding Allocations	Requested								
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	
Salaries and Benefits									
Additions									
Financial analyst II			0.50	30,000					To support a new project
Addition 1 - Benefits (replace with known if available)				11,700					
Addition 2 Title/Position									
Addition 2 - Benefits									
Salaries and Benefits Funding Requests	0.00	-	0.50	41,700	0.00	-	0.00	-	
Non-Salaries/Operating Expenses									
Additions									
Customer tracking system				20,000		20,000			To develop a new customer tracking system
Budget tracking system (rollover)				13,000					To rollover the unexpended funding from last year
Non-Salaries Funding Requests		-		33,000		20,000		-	

As seen earlier, the program/unit already has a total of \$122,162 in temporary commitments approved for 2017-18 and \$121,707 for 2018-19. The program/unit is requesting for additional \$41,700 (salary and benefits) to hire a financial analyst II at 0.50 FTE. The program/unit proposes to develop a customer tracking system in the next two years, for a total cost of \$40,000. It also wants to roll over \$13,000 unexpended fund from last year related to the budget tracking system.

Please make sure to label all the carryover commitments clearly.

Please note that if your program/unit requests funding for IT projects that require CSIT programming services, you must consult with CSIT managers to ensure that CSIT programmers have necessary capacity to complete the projects within the proposed timeframe and budget.

The bottom section of this tab shows the total of temporary commitments plus the changes you request:

	FY 2016-17		FY 2017-18		FY 2018-19		FY 2019-20	
Totals	FTE	Amt	FTE	Amt	FTE	Amt	FTE	Amt
Approved Temporary Funding Allocation	1.00	149,721	1.00	122,162	1.00	121,707	-	-
Funding Requests								
Salaries and Benefits			0.50	41,700	0.00	-	0.00	-
Non-Salaries				33,000		20,000		-
Funding Requests Total	-	-	0.50	74,700	-	20,000	-	-
TOTAL APPROVED AND REQUESTED FUNDING	1.00	149,721	1.50	196,862	1.00	141,707	0.00	-

In this particular example, the program/unit has been approved a total of \$122,162 in temporary funding for 2017-18. Adding the new requests, that number goes up to \$196,862. Similar change happens for 2018-19.

4. OTHER SOURCE BUDGET

Other Source Budget tab is a newly added form in this year’s budget call. While central funding, or the funds allocated to programs/units through the budget call process in the form of permanent and temporary budgets, is the main source of funding for ANR, many programs/units receive funds from other sources that are not subject to the budget call process, such as recharge income, contracts and grants, sales and services, gifts and so on. The new form is designed to solicit information on such funds so that the leadership will get a full picture of funding situation when making budgetary decision for a particular program/unit.

Revenue from Other Sources									
	FY 2016-17		FY 2017-18		FY 2018-19		FY 2019-20		
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	Comments/Justifications
Projected Revenue									
Recharge Income	-	-	-	-	-	-	-	-	
Contracts & Grants	-	-	-	-	-	-	-	-	
Sales & Service	-	-	-	-	-	-	-	-	
Gifts	-	-	-	-	-	-	-	-	
Other	-	-	-	-	-	-	-	-	
Revenue Sub-Total	0.00	-	0.00	-	0.00	-	0.00	-	
Projected Expenditures									
Recharge Income	-	-	-	-	-	-	-	-	
Contracts & Grants	-	-	-	-	-	-	-	-	
Sales & Service	-	-	-	-	-	-	-	-	
Gifts	-	-	-	-	-	-	-	-	
Other	-	-	-	-	-	-	-	-	
Expenditure Sub-Total	0.00	-	0.00	-	0.00	-	0.00	-	

This form consists of two sections. The top section asks the amount of funds you expect to receive from various sources, and the bottom section asks how you plan to utilize the funds.

A special note for colleges/school: if possible, please provide the funds you plan to devote to Cooperative Extension programs in your college or school.

5. SCHEDULE 2 TAB

If your program/unit has a permanent budget, a copy of the Schedule 2 from FY2016-17 is included here for your reference. This was the source used to populating the Permanent Budget tab.

6. SALARIES

If your program/unit has permanently budgeted FTE, the data in this tab reflects the salaries and benefits for staff as of July 1, 2016. Staff is subtotaled by “Academic” and “Non-Academic”. Salaried positions as well as provisions for vacant positions and benefits are reflected in the FY2016-17 columns.

Future years’ mandated costs are calculated and added to the base amount to arrive at estimates for salaries and benefits for FY2017-18 through FY2019-20, the end of the three-year planning cycle.

7. THREE-YEAR STAFFING PLAN

Starting last year’s budget call, programs/units are asked to provide information on any planned changes when it comes to their permanent staffing resources in the next three years. The information you provided last year proved to be highly useful, and we will continue this practice for 2017-18.

The “Staffing1” tab is for programs/units to demonstrate how the permanent staffing resources are allocated among stated objectives. There are two panels, the one on the top is for current allocation and the one at the bottom is for any changes the program/unit plans to make in next three years.

The first two columns are pre-populated with employees’ names, their title codes and current FTE. Please fill both panels for each individual in percentage terms. Insert more columns if you have more objectives, but make sure that a person's total is no more than 100%.

Staffing Plan Tab 1. Allocation of Permanent Staff FTE by Stated Objective								
Unit/Program: ABC		To be pre-populated by RPM			To be filled by units			
Current								
Type of Position/Employee	FTE	Objective 1	Objective 2	Objective 3	Objective 4	Objective 5	Objective ...	Total
								0%
								0%
								0%
e.g. Director - Smith	1.00	20%	20%	20%	20%	20%		100%
								0%
Total	1.00	20%	20%	20%	20%	20%	0%	100%
Proposed for FY 2016-17 through FY 2018-19								
Type of Position/Employee	FTE	Objective 1	Objective 2	Objective 3	Objective 4	Objective 5	Objective ...	Total
								0%
								0%
e.g. Director - Smith	1.00	10%		30%	20%	40%		100%
								0%
								0%
Total	1.00	10%	0%	30%	20%	40%	0%	100%

The “Staffing 2” tab is designed for programs/units to inform RPM of any changes they anticipate to make or have in FTE and salary in next three years.

The changes are limited to HR actions such as equity, promotion, reclassification, retirement, reduced time, position elimination, new position. This form is not intended for programs/units to request for more positions. It just shows what a program/unit plans to do. Please insert more rows if necessary.

Again, the first two columns are pre-populated. Put the changes in FTE and salary in the next two columns. The last column is to put the reason for change, which should be one of the HR actions, equity, promotion, reclassification, retirement, reduced time, or position elimination.

Staffing Plan 2. Changes in <u>Permanent</u> Staff FTE				
FY 2016-17 through FY 2018-19				
Unit/Program:		To be pre-populated by RPM		To be filled by unit/program
Type of Position/Employee	Current FTE	Possible Change in FTE	Possible Change in Salary*	Action
e.g., Analyst - John	1.00	(0.50)	(40,000)	Reduced time
e.g., Manager - Teresa	1.00	(1.00)	(120,000)	Retirement
e.g., Assistant - Richard	1.00	-	1,000	Promotion
Total	3.00	(1.50)	(159,000.00)	

* Include salary change in dollar terms that stems from HR action such as equity and so on.