

FY2018-19 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 proposal, please make sure to follow the guidelines laid out in AVP Tran's announcement letter sent on January 8, 2018.

To be considered for the FY2018-19 budget augmentations, these forms must be returned to the Resource Planning and Management office (RPM) by **February 14, 2018**. As usual, RPM staff will conduct two Webinars to go over these forms and would provide consultation before you submit your budget proposal. The dates of Webinars are as following:

1. Wednesday, January 17, 1-2:30 pm
2. Wednesday, January 31, 1-2:30 pm

Consultation sessions are available before February 14, in either Davis or Oakland. Please contact Nickole Johnson (nickole.johnson@ucop.edu) if you want to schedule a session. If you are requesting new funding, you must meet with RPM staff prior to the budget call submission by the due date.

Three Special Notes

1. Please include an updated org chart in your budget submission, even if you don't request any new funding.
2. There are some significant changes in the budget call forms and please read the instructions carefully.
3. There is a checklist at the end of this document for you to use before submitting your budget forms.

Timeline

Date	Action
January 8	AVP Tran's announcement letter
January 10-12	Budget call forms and instructions
January 17	First Webinar
January 31	Second Webinar
February 14	Budget proposals due to ANR RPM Office
March	Program Council and Administrative Review Group evaluate budget submissions and make recommendations to Senior Leadership
May	Senior Leadership reviews budget submissions with Vice President, who makes the final decisions
June	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.

A special note for campus partners: Our campus partners will receive the budget call forms as all ANR programs and units, but the expectation is slightly different. Colleges/school will receive annual budget allocations to cover the salaries and benefits of campus-based CE specialists, including the merits and range adjustments. Colleges/school will also receive annual budget allocations as support funds, at \$43,000 per FTE of CE specialists. In addition, colleges/school will receive federal AES capacity funds based on an agreed formula. Colleges/school may use the budget call forms to make a funding request for an extraordinary need. By extraordinary it means that the expense will add significant values to research and extension activities at a campus and that it is one-time expense and can't be covered by support allocation. An example of that is a piece of expensive equipment that is critical to the CE mission. ANR will evaluate such requests on a case-by-case basis. If a college or school does not request any new funding for the coming fiscal year, submitting the budget call forms is optional.

There are other funding opportunities available to campus-based AES and CE specialists, such as ANR Competitive Grants Program, ANR Matching Grants Program, ANR Opportunities Grants Program, and High Risk/High Reward Grants Program. Contact Melanie Caruso (mmcaruso@ucanr.edu) for more information.

Although based in the Davis campus, California Agriculture Issues Center and Sustainable Agriculture Research and Education Program are expected to submit their budget call forms as other ANR programs.

1. OBJECTIVE STATEMENT

ANR 3 YEAR PLANNING CYCLE - STARTING FY 2018-19 - SUMMARY (FY 2017-18 as Baseline)				
Program/Unit Sample				
<p>This section reflects the objectives from the current fiscal year budget call. Please modify to reflect your current unit objectives. Please make reference to ANR's Strategic Plan wherever appropriate.</p>				<p>Indicate the percentage of unit budget to each objective (total 100%)</p>
	2	3	4	
	Objective	Detail	Benefit to ANR	
Objective 1	Objective 1	Detail for Objective 1	Great benefits to ANR	87%
Objective 2	Objective 2	Detail for Objective 2	Equally great benefits to ANR	13%
Objective 3				
Objective 4				
Objective 5				
TOTAL:				100%
Feedback/Needs/Concerns:				
7				
<input type="checkbox"/> I have reviewed the objective statements and made no changes.			8	
<input type="checkbox"/> I have updated the objective statements with changes.				

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. You may add rows to accommodate more objectives. 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. 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.
8. New to this cycle, the person responsible for the budget submission must certify he or she has reviewed the objective statements and updated the statements if necessary.

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, 2017, as communicated in the FY2017-18 Budget Schedules. Please do not change the prepopulated numbers and formulas!

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 (\$22,300) under “Baseline Budget” reflects what is approved for your program/unit in the current fiscal year. For detailed information behind this total, see the “Schedule 2” tab where permanent budget summarized by sub-account is included. The number (\$537,600) under “Proposal” reflects the total budget after salary adjustment and your new requests for the next fiscal year and beyond.

Right below these totals is information on FTE and budget for personnel costs. In 2017-18, the program/unit has 1.00 academic FTE along with \$170,000 for salaries and benefits, and 2.00 non-academic FTE along with \$240,000 for salaries and benefits. The example also shows, under Proposal, what may cost for salaries and benefits in the next fiscal year assuming a 3% increase in salaries and benefits for existing FTEs.

	PERMANENT BUDGET				Comments/Justifications
	Baseline Budget		Proposal		
	FY 2017-18		FY 2018-19- Ongoing		
	FTE	Amount	FTE	Amount	
Permanent Budget (includes estimated benefits)		428,700	-	537,600	
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	
Analyst 4			0.00	20,000	
Change 2 - Benefits		-		7,800	Reclassification for John Doe
Non-Academic Salaries and Benefits Changes	0.00	-	1.00	83,400	
Non-Academic Salaries and Benefits Adjusted Budget	2.00	240,000	3.00	330,600	

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 of \$15,600 is calculated automatically. In addition, the program/unit requests \$20,000 to cover the approved reclassification of Mr. John Doe. The new position and the reclassification, at a combined cost of \$83,400, would raise the program/unit’s total non-academic FTE to 3.00 and non-academic personnel cost to \$330,600 in 2018-19.

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 make sure to:

1. Enter the Title/Position (overwrite "Change # Title/Position"). If possible, please include title code.
2. Enter the FY2018-19 requested FTE. In the case of staff reduction, use a negative number.
3. Enter the FY2018-19 estimated salary. In the case of staff reduction, use a negative number.
4. Benefits will be calculated in the grey boxes below when the estimated salary is entered. This can be overwritten if more accurate benefit costs are available.
5. Enter a brief comment if necessary.

The middle section of this form, which is for non-salary budget, is reformatted this year. It is split among seven different categories of expenditures. As seen in the image below, the current non-salary funding level of this program/unit is \$18,700, split between supplies and travel. These allocations are copied to FY 2018-19. In other words, if you are not proposing any augmentation or reduction, your non-personnel funding will be the same in FY 2018-19 as in the current fiscal year.

Permanent Budget for Non-Salaries		18,700	31,900	
Non-Salaries Additions				
General Assistance				
Total Budgeted	-		-	
Augmentation or Reduction				
Supplies & Expenses				
Total Budgeted	17,500		17,500	
Augmentation or Reduction			(5,000)	
Equipment				
Total Budgeted	-		-	
Augmentation or Reduction			17,000	Maintenance cost of plotter
Travel				
Total Budgeted	1,200		1,200	
Augmentation or Reduction			1,200	To support director's travel
Special Items				
Total Budgeted	-		-	
Augmentation or Reduction				
Unallocated				
Total Budgeted	-		-	
Augmentation or Reduction				
Recharge				
Total Budgeted	-		-	
Augmentation or Reduction				
Non-Salaries Net Additions/(Reductions)			13,200	
Non-Salaries Adjusted budget		18,700	31,900	

The program/unit in the example plans to reduce its supplies and expenses by \$5,000 starting next year, request the equipment budget by \$17,000, and add another \$1,200 to travel expense. These requests will raise the program/unit's permanent non-personnel budget by \$13,200 to \$31,900. When you make such requests, please make sure to enter the numbers on the Augmentation or Reduction line.

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 2017-18		FY 2018-19- Ongoing	
	FTE	Amt	FTE	Amt
Totals				
Baseline Permanent Budget includes estimated benefits	-	428,700	-	537,600
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	83,400
Non-Academic Staff Adjusted Budget	2.00	240,000	3.00	330,600
Salaries and Estimated Benefits Total	3.00	410,000	4.00	505,700
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	537,600

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 as of the date on which this form is prepared.

	TEMPORARY BUDGET								Comments/Justifications
	FY 2017-18		FY 2018-19		FY 2019-20		FY 2020-21		
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	
Approved Temporary Funding Allocation(s)	Approved								
From previous budget calls									
Operational Support		10,000							
2nd Street Building Recharge		16,308							<i>subject to change when the rate is finalized</i>
Contracts & Grants Analyst (incl benefits)	1.00	114,721	1.00	118,162	1.00	121,707			
Grants Tracking System		15,000							
Operational Support				4,000					
From off-cycle requests									
Operational Support - Contracts & Grants Analyst		4,000							
Total Approved Temporary Allocations	1.00	160,029	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 while others, such as operational support and analyst I, span multiple years.

Another thing to notice is that the amount committed in 2017-18 for personnel costs may differ from what appeared in your 2017-18 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							
Salaries and Benefits									
Additions									
Assistant (tc 4327)			0.50	30,000	0.50	30,300			
Addition 1 - Benefits (replace with known if available)				11,700		11,817			-
Addition 2 Title/Position									
Addition 2 - Benefits									
Addition 3 Title/Position									
Addition 3 - Benefits									
Salaries and Benefits Funding Requests		0.00	-	0.50	41,700	0.50	42,117	0.00	-
Non-Salaries/Operating Expenses									
Additions									
IT Project				50,000		10,000			
Travel				4,000					
Item 3									
Non-Salaries Funding Requests		-	-	54,000	10,000	-	-	-	-

As seen earlier, the program/unit already has a total of \$122,162 in temporary commitments approved for 2018-19 and \$121,707 for 2019-20. The program/unit is requesting additional \$41,700 (salary and benefits) to hire a financial analyst II at 0.50 FTE. The program/unit is working to develop a customer tracking system. It requests to carryforward \$13,000 unspent money from last year for this project, and \$37,000 new money for FY 2018-19 and \$10,000 for FY 2019-20. In addition, it wants \$4,000 for a trip to Africa Safari in FY 2018-19.

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 2017-18		FY 2018-19		FY 2019-20		FY 2020-21	
Totals	FTE	Amt	FTE	Amt	FTE	Amt	FTE	Amt
Approved Temporary Funding Allocation	1.00	160,029	1.00	122,162	1.00	121,707	-	-
Funding Requests								
Salaries and Benefits			0.50	41,700	0.50	42,117	0.00	-
Non-Salaries				54,000		10,000		
Funding Requests Total	-	-	0.50	95,700	0.50	52,117	-	-
TOTAL APPROVED AND REQUESTED FUNDING	1.00	160,029	1.50	217,862	1.50	173,824	0.00	-

In this particular example, the program/unit has been approved a total of \$122,162 in temporary funding for 2018-19. Adding the new requests, that number goes up to \$217,862. Similar change happens for 2018-19.

4. JUSTIFICATION

This is a newly added tab. If you request new funding for FY 2018-19 and beyond, either permanent or temporary or both, you must provide justifications of no more than 3,000 words. In your justification, please address:

- (1) How are you using the resources you already have?

- (2) Why is your current funding not sufficient to cover the new expenses?
- (3) Have you tried to re-prioritize the work of your program/unit, and if so, how?
- (4) Have you tried to seek alternative sources of funding, and if so, how?

If you request new positions, it is important that you attach a position description and an organizational chart reflecting the new positions.

5. SAVINGS

This is a newly added tab, too. It is designed for you to report any savings and/or additional revenues you have identified. If you request new funding in 2018-19, you must identify enough savings and/or additional revenues to offset the new request. The savings can be accomplished by reducing expenditures in certain areas, moving expenditures from central funding to extramural funding, moving expenditures to later years, or a combination of these and other measures.

6. OTHER SOURCE BUDGET

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 obtain 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. This 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 2017-18		FY 2018-19		FY 2019-20		FY 2020-21		Comments/Justifications
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	
Projected Revenue									
Recharge Income	-	400,000	-	600,000	-	-	-	-	
Contracts & Grants	-	100,000	-	200,000	-	-	-	-	
Sales & Service	-	-	-	-	-	-	-	-	
Gifts	-	-	-	-	-	-	-	-	
Other	-	-	-	-	-	-	-	-	
Revenue Sub-Total	0.00	500,000	0.00	800,000	0.00	-	0.00	-	
Projected Expenditures									
Recharge Income	3.00	400,000	3.00	500,000	-	-	-	-	
Contracts & Grants	-	50,000	-	200,000	-	-	-	-	
Sales & Service	-	-	-	-	-	-	-	-	
Gifts	-	-	-	-	-	-	-	-	
Other	-	-	-	-	-	-	-	-	
Expenditure Sub-Total	3.00	450,000	3.00	700,000	0.00	-	0.00	-	
Totals									
	FTE	Amt	FTE	Amt	FTE	Amt	FTE	Amt	
Projected Revenue	-	500,000	-	800,000	-	-	-	-	
Projected Expenditures	3.00	450,000	3.00	700,000	-	-	-	-	
Grand-Total	(3.00)	50,000	(3.00)	100,000	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. Both sections are pre-populated with the data you provided last year.

7. SCHEDULE 2

If your program/unit has a permanent budget, a copy of Schedule 2 from FY2017-18 is included here for your reference. This was the source used to populating the Permanent Budget tab.

8. 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, 2017. Staff is subtotaled by “Academic” and “Non-Academic”. Salaried positions as well as provisions for vacant positions and benefits are reflected in the FY2017-18 columns.

Future years’ mandated costs are calculated and added to the base amount to arrive at estimates for salaries and benefits for FY2018-19 through FY2020-21, the end of the three-year planning cycle.

9. STAFFING1

This tab asks if you plan any changes when it comes to your permanent staffing in the next three years. There are two panels, the one on the top containing what you provided in the last budget call cycle, which shows the allocation of staffing resources among your objective statements. The one at the bottom is for any changes you plan to make in next three years.

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

Staffing Plan. Allocation of Permanent Staff FTE by Stated Objective								
Unit/Program: Sample								
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
Analyst - John	1.00	30%	20%			50%		100%
Manager - Teresa	1.00	10%		50%			40%	100%
Director - Smith	1.00	10%	10%	10%	10%	10%	50%	100%
								0%
Total	3.00	50%	30%	60%	10%	60%	90%	300%
Proposed for FY 2018-19 through FY 2020-21								
Type of Position/Employee	FTE	Objective 1	Objective 2	Objective 3	Objective 4	Objective 5	Objective ...	Total
Analyst - John	1.00		20%	30%		50%		100%
Manager - Teresa	1.00	10%		50%			40%	100%
Director - Smith	1.00							0%
								0%
Total	3.00	10%	20%	80%	0%	50%	40%	200%

10. STAFFING2

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.

One big change in this budget call is the addition of two questions to this tab.

Additional Questions
1. Have you done anything in the past year to improve operational efficiency in your area? If yes, please list the measures you have taken.
Enter your answer
2. Do you anticipate changes to your workforce in response to ANR's Strategic Plan or other development. If yes, please describe the potential changes in terms of FTE and classification.
Enter your answer

11. CHECKLIST

The due date for budget submission is February 14. Before you do that, please review this checklist to ensure that you have everything required. Please note that some of the items may not be applicable to your programs/units.

- A. An updated objective statement
- B. A filled permanent budget tab
- C. A filled temporary budget tab
- D. A completed justification if new funding is requested
- E. A filled savings tab
- F. A filled other sources budget tab if you receive extramural funds
- G. Updated staffing tabs
- H. An updated org chart