UTAH VALLEY UNIVERSITY
PBA Guidelines
2015-16
2015-16 Planning, Budget, and Assessment (PBA) Guidelines

July 28, 2015

Purpose

UVU’s Planning, Budget, and Assessment (PBA) process facilitates the alignment and prioritization of initiatives throughout the university in support of UVU’s mission, Core Themes, and Administrative Imperatives. The institution, as well as its various divisions, follows a planning model in which objectives are defined and progress is assessed through self-evaluations and SWOT analyses of the operating environment. Based on assessment, strategic initiatives are developed and prioritized in support of four-year strategic plans and annually identified University-wide areas of focus. The PBA conversations provide a public forum to promote collaboration, alignment, integration, and transparency in discussing initiatives, priorities, and the allocation of resources.

Planning & Assessment

UVU uses a four-year, rolling strategic planning process to communicate vision, set priorities, and focus units’ efforts on fulfilling their own missions and that of the university. Units’ missions and objectives describe what the unit will accomplish. Assessment allows units to identify needs for strategies which define the steps units will take for improvement.

All units are encouraged to develop and annually update a four-year strategic plan both to guide operations and to facilitate the PBA process; strategic plans are the primary means of supporting budget requests. Strategic plans are required for the institution, colleges/schools, and all units led by executives. Other units or major university-wide initiatives may be required to provide a strategic plan at the discretion of their respective vice president.

Linked to a specific unit objective, strategies (courses of action) beyond routine activities identify the desired progress of the unit. Strategies do not always involve expansion but may include reducing or eliminating programs or services. PBA initiatives (resource requests) derive from unit strategies.

For 2015-16, units should complete and submit to Institutional Effectiveness and Planning an updated four-year strategic plan by October 1, 2015. President’s Cabinet will place funding priority on PBA requests aligned with strategic plan objectives and strategies.

2015-16 Areas of Focus

During Spring 2015, the University Planning Advisory Committee conducted a bi-annual self-evaluation of UVU’s mission fulfillment. This self-evaluation was reviewed by President’s Council and accepted by UVU’s Board of Trustees. Based on this assessment and discussions in President’s Executive Leadership Council and other divisional meetings and in light of other recent progress, the following have been identified as university-wide areas of focus for continuous improvement efforts and resource allocations during 2015-16. Resource requests that directly support the areas of focus, especially if tied to the division’s four-year strategic plan, are not the only requests that will be funded; but such requests will receive priority funding consideration.
2015-16 Areas of Focus

1. **Improve Student Retention and Completion**
   1.1. Innovative academic programming including
       - 3-year baccalaureate degree completion
       - Summer school maximization
       - Career pathways
       - High impact practices/engaged learning
   1.2. Advising services
   1.3. Onboarding-through-graduation student support programs/services
   1.4. General education/math

2. **Provide access and opportunity for a broad range of students in meeting regional educational needs**
   2.1. New programs including master’s degrees
   2.2. Expansion of existing, industry-critical programs
   2.3. Innovative pedagogy including
       - Large sections
       - Online/hybrid course & program expansion
   2.4. Adaptation/expansion to meet student demand/enrollment growth
   2.5. Access and flexibility particularly to support first-generation and underrepresented students

3. **Operate effectively and efficiently**
   3.1. Strengthen culture of compliance/reduce risk
   3.2. Implement innovative professional practices and technology

**Guiding Principles for Resource Allocation**

The following principles provide guidance for the resource allocation process and decision-making:

- Aligned with UVU’s mission, Core Themes and Administrative Imperatives.
- Transformational and strategic in moving forward the University’s plans and unit four-year strategic plans.
- Aggressively build capacity in preparation for projected enrollment growth.
- Strengthen foundations for success under current and future funding models (such as performance funding).
- Fulfill commitments made during legislative process.
- Decisions made over an appropriate period of time with provision for one-time allocations as on-going commitments are identified and implemented.
PBA Request Preparation, Submission, and Prioritization

Not all strategies require additional resources. For those that do, requests must be submitted through the PBA Resource Request Form. This form will be available for units to complete and submit beginning August 14. Leaders may submit updated forms should initiatives change and/or new opportunities arise. New opportunities may arise out of collaboration with others’ initiatives.

Requests for new resources and/or new salaried positions should be submitted through the PBA process regardless of funding source (with the exception of sponsored programs/grants). Based on revenue projections, each division is strongly encouraged to limit the amount of on-going and one-time requests for appropriated funds within targets below. Requests for resources from non-appropriated funds require the identification of non-appropriated revenue to support the request.

<table>
<thead>
<tr>
<th>Division</th>
<th>On-going Request Target</th>
<th>One-time Request Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Affairs</td>
<td>$7,525,000</td>
<td>$8,775,000</td>
</tr>
<tr>
<td>Finance &amp; Administration</td>
<td>$2,525,000</td>
<td>$3,000,000</td>
</tr>
<tr>
<td>Student Affairs</td>
<td>$1,075,000</td>
<td>$1,250,000</td>
</tr>
<tr>
<td>University Relations</td>
<td>$275,000</td>
<td>$325,000</td>
</tr>
<tr>
<td>Development &amp; Alumni</td>
<td>$250,000</td>
<td>$275,000</td>
</tr>
<tr>
<td>Planning, Budget &amp; Human Resources</td>
<td>$250,000</td>
<td>$275,000</td>
</tr>
<tr>
<td>President’s Office</td>
<td>$100,000</td>
<td>$100,000</td>
</tr>
<tr>
<td>TOTAL</td>
<td>$12,000,000</td>
<td>$14,000,000</td>
</tr>
</tbody>
</table>

In the process of developing and prioritizing requests, Deans and Associate/Assistant Vice Presidents are encouraged to hold PBA discussion(s) within their Colleges/Schools and Divisions and involve their respective leadership teams. Prior to the PBA Conversations, prioritization need only occur at the College/School or Division level. Deans and Associate/Assistant Vice Presidents are encouraged to review their prioritized requests with their individual Vice President prior to the PBA Conversations and communicate their priorities with their leadership team. With the exception of critical, time-sensitive requests, prioritization at the Vice President level need not occur until after the PBA Conversations closer to January and March allocation decision points.

Divisions are encouraged to collaborate on projects that meet joint needs or leverage services and activities. Leaders are encouraged to consolidate, as appropriate, requests to reduce the number of low dollar requests. Requests for compensation increases (with the exception of broad requests from Academic Affairs, Human Resources, PACE, or Faculty Senate) are not appropriate PBA requests but should be directed through the appropriate leader to Human Resources.

In order to facilitate information for Cabinet decision-making, deadlines established and communicated by the Budget Office must be adhered to.

Training will be provided in September. Questions regarding the PBA Resource Request Form or process may be directed to the Budget Office—Ellen Sweat, Director; Sam Winterton, Budget Analyst.

PBA Conversations

Each Vice President has been allocated time and assigned a day/time for his/her PBA Conversation.


**SCHEDULE**

**2015 PBA Conversation**

*Updated 10/1/2015*

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Division</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 20</td>
<td>1:00 PM – 4:30 PM</td>
<td>Office of the President</td>
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<tr>
<td></td>
<td></td>
<td>Student Affairs</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Planning, Budget &amp; Human Resources</td>
</tr>
<tr>
<td></td>
<td></td>
<td>University Relations</td>
</tr>
<tr>
<td>October 29</td>
<td>1:00 PM – 5:00 PM</td>
<td>Academic Affairs</td>
</tr>
<tr>
<td>October 30</td>
<td>8:00 AM – 12:00 PM</td>
<td>Academic Affairs</td>
</tr>
<tr>
<td>November 4</td>
<td>1:00 PM – 3:30 PM</td>
<td>Development &amp; Alumni</td>
</tr>
<tr>
<td>November 5</td>
<td>1:00 PM – 2:30 PM</td>
<td>Post PBA Conversations</td>
</tr>
</tbody>
</table>

By October 2, each Vice President will communicate to the Budget Office the allocation of their assigned time by College/School and Division (PBA Reporting Units). The Budget Office will publish and communicate the detailed PBA Conversation Schedule by October 6.

All members of the campus community are invited to attend the PBA Conversations. Members of PELC are strongly encouraged to attend all PBA Conversations.

Presentations are to include a brief overview of the College/School or Division mission and objectives from their four-year strategic plan. Leaders are encouraged to present only the highest priority strategies and PBA requests with particular attention to those that align with 2015-16 Areas of Focus. *Please note: There is no expectation that all submitted PBA Resource Requests be presented during the conversations. All submitted PBA Resource Requests, even those not presented during the PBA conversations, will be considered for possible funding.*

Vice Presidents must submit a PowerPoint or pdf file of presentation material to the Budget Office by the end of the day of their PBA Conversation for posting to the web.
# 2015-16 PBA Resource Request Timeline (as of July 29, 2015)

## Planning, Preparation, and PBA Resource Request Form Submission

<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>August 14</td>
<td>PBA Resource Request Form released &amp; links posted to PBA webpage</td>
<td>-Campus</td>
</tr>
<tr>
<td>TBD--multiple</td>
<td>Trainings on PBA Resource Request Form/Process</td>
<td>-VP Administrative Assistants, -Assistants to Dean for Finance, -PELC Administrative Assistants</td>
</tr>
<tr>
<td>TBD</td>
<td>Divisions/Colleges/Schools hold internal PBA discussion with leadership team, faculty and staff</td>
<td>-Divisions, Colleges/Schools</td>
</tr>
<tr>
<td>October 1</td>
<td>Divisions/Colleges/Schools submit four-year strategic plans to Institutional Effectiveness &amp; Planning</td>
<td>-Divisions, Colleges/Schools</td>
</tr>
<tr>
<td>October 13</td>
<td>PBA Resource Request Forms and prioritized templates due to Budget Office (Please note: at this point of the process, priorities need only be made within each College/School or Division; Deans/Associate &amp; Assistant Vice Presidents should review their priorities with their respective Vice President)</td>
<td>-Divisions, Colleges/Schools</td>
</tr>
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## PBA Conversations

<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
<th>Location</th>
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</thead>
<tbody>
<tr>
<td>July</td>
<td>PBA Conversation Schedule by Vice President posted to web and e-mailed to PELC, Faculty Senate and PACE</td>
<td>-Budget Office</td>
</tr>
<tr>
<td>October 2</td>
<td>Vice Presidents allocate PBA Conversation time among College/Schools and Divisions</td>
<td>-Vice Presidents</td>
</tr>
<tr>
<td>October 6</td>
<td>PBA Conversation Schedule updated with individual College/School and Division time assignments and posted to web; e-mailed to PELC, Faculty Senate and PACE; and communicated through UVAnnounce</td>
<td>-Budget Office</td>
</tr>
<tr>
<td>October 20 to November 5</td>
<td>PBA Conversations</td>
<td>-Campus</td>
</tr>
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## PBA Resource Allocation Decisions

<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
<th>Location</th>
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</thead>
<tbody>
<tr>
<td>November</td>
<td>Critical and/or time-sensitive on-going and one-time allocations</td>
<td>-President’s Cabinet with review/input by Deans, Associate &amp; Assistant Vice Presidents (Allocations communicated to PELC and posted on PBA website)</td>
</tr>
<tr>
<td>November to March</td>
<td>Prioritization, as appropriate, at the Vice President’s Division Level</td>
<td>-Vice Presidents, -Deans, -Associate/Assistant Vice Presidents</td>
</tr>
<tr>
<td>January/February</td>
<td>One-time allocations for initiation/completion during 2015-16 and limited critical on-going allocations</td>
<td>-President’s Cabinet with review/input by Deans/Associate &amp; Assistant Vice Presidents (Allocations communicated to PELC and posted on PBA website)</td>
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<tr>
<td>January</td>
<td>President’s Cabinet identifies initial range for 2nd tier tuition increase and allocation plan</td>
<td>Legislative session begins</td>
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<td></td>
<td>UVUSA recommends general student fee changes to President Council</td>
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<tr>
<td>February</td>
<td>Truth in Tuition hearing including proposed 2nd tier tuition increase</td>
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<tr>
<td>March</td>
<td>Legislative session concludes; new tax funds identified</td>
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<td>Tuition &amp; Student fees approved by Board of Trustees and Board of Regents</td>
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<td>Compensation &amp; Benefit recommendations to President’s Council</td>
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<td>President’s Cabinet reviews new tax funds, tuition revenue and enrollment projections</td>
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<tr>
<td>April</td>
<td>President’s Cabinet develops funding allocations for review by Deans/Associate &amp; Assistant Vice Presidents</td>
<td>-President’s Cabinet with review/input by Deans, Associate/Assistant Vice Presidents</td>
</tr>
<tr>
<td>April 20</td>
<td>PBA outcomes announced (Hoagies with President Holland)</td>
<td>Allocations communicated to PELC and posted on PBA website by end of the week</td>
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2015-16 Planning, Budget & Assessment (PBA) Cycle

- Development, Prioritization and Submission of College/School and Divisional PBA Resource Requests
- PBA Conversations
- Critical/time-sensitive allocation decisions
- Institutional and Divisional Planning and Assessment
- Trustees Approve Operating Budget
- Legislative Outcomes and Tuition Setting
- Allocation decisions
- PBA Outcomes Announced (Hoagies with President Holland)
- State of the University
- One-time and critical on-going (limited) allocation decisions
2015-16 PBA Reporting Units (as of July 31, 2015)

Office of the President
- President's Office
- Special Assistant for Inclusion

Academic Affairs
- Senior Vice President Academic Affairs
- Academic Programs
- Engaged Learning
- Academic Administration
- Academic Outreach
- College of Aviation & Public Services
- College of Humanities & Social Sciences
- College of Science & Health
- College of Technology & Computing
- School of Education
- School of the Arts
- University College
- Woodbury School of Business
- Faculty Senate

Development and Alumni Relations
- Vice President for Development & Alumni

Finance and Administration
- Vice President Finance & Administration
- Athletics
- Facilities & Planning
- Finance/GRAMA
- General Counsel
- Information Technology Services
- PACE

Planning, Budget and Human Resources
- Vice President Planning, Budget and Human Resources
- Human Resources

Student Affairs
- Vice President Student Affairs
- Student Life/Dean of Students
- Recruitment/Outreach
- Student Success & Retention
- Enrollment Management
- UVUSA

University Relations
- Vice President University Relations
- University Marketing & Communications
- Economic Development