



Human Resources and Allied Professionals Program



How to Develop a Winning Proposal for Scarce Resources

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Associate Vice Chancellor Sandra Campbell



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University Fund Sources

- State funding provides essential core support, but the University's overall operating budget is funded from a variety of sources, including State General Funds, revenue from student fees, UC General Funds, federal funds, teaching hospital revenue, gifts and endowments, and income from self-supporting enterprises.
- State funds that support core operations make it possible to attract funds from other sources.
- Revenue from non-State sources, such as federal funds and private giving, is critical to the University's ability to do research, support students, and operate its teaching hospitals.



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State's Compact with Higher Education

Latest agreement represents a phased, multi-year plan for providing sufficient basic operating and capital funding needed through the remainder of this decade to support UC's core missions of teaching, research, and public service. The plan is contingent on agreement to report progress and sustain or improve performance on accountability measures.



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Compact Agreement

UC's Commitment

- To the extent resources are provided, admit all eligible students (12.5%)
- Continue efforts to achieve on all campuses 40% of avg FWS enrollment as summer/off-campus enrollment by 2010-11
- Maintain progress and improve grad rates and time-to-degree
- UC to collaborate with CSU on major initiative to improve supply and quality of science and math teachers in K-12
- Coordinate efforts with CC to enhance chances for transfer
- Strengthen community service programs for students
- Maintain comp faculty workload
- Provide courses required to graduate in 4 years or less

Governor's Commitments

- 3% increase to State General Fund base for 2005-06 and 2006-07 to help prevent further erosion
- 4% increase to State General Fund base for 2007-08 through 2010-11 for basic budget needs
- An additional 1% increase in 2008-09 through 2010-11 for other I&R support to maintain the quality of the academic program – including instructional equipment, instruct technology, and libraries
- Enrollment funding for approx. 5,000 students per year
- Student fees will increase 14% for undergrads and 20% for grads in 2004-05 and then 8% and not less than 10% for 2005-06 and 2006-07
- UC retains student fee revenue
- One-time funds may be provided
- Bond funding for capital outlay



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UC Allocations to Campuses

- Inflation Block Allocation includes
 - Salary increases for budgeted positions
 - Benefit cost increases
 - Price increases for non-salary budgets
- Workload Allocation
 - Based on enrollment growth
 - Supports faculty and TA FTE, as well as Library and other new staff FTE
 - Supports maintenance of new facilities
- Special Initiatives Funding



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Fund Sources to Consider

State Funds

State funds, UC General Funds, and student fees are considered the core funds to support the UC Budget Plan.

Funds to support faculty and staff salary increases are included in the UC budget plan. Each campus is responsible for the distribution of these funds within OP guidelines. Chancellors consider proposals for the distribution of funds.



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UC Budget Plan – Staff Salary Increases

OP guidelines included:

- Salary adjustment of 3.5% for non-represented staff
- Compression of PSS pay ranges and adjusting MSP pay ranges
- Equity fund to address critical inequities and address several market lags – report required
- Establish Staff Reward Plan



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Fund Sources to Consider

Those generated by assessment

A campus assessment of all campus fund sources generates funds for specific program needs as stipulated in OP guidelines. Funds include Employee Support Program Funds, Incentive Award Program Funds, and Workers' Compensation Funds.



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Employee Support Programs

The Office of the President established guidelines for Employee Support Programs (ESP) in 1988. It is the policy of the University to assist employees and management in the resolution of job performance problems resulting from medical disabilities and personal problems, as well as support and implement accident prevention and safety programs to improve loss control. In accordance with this policy, the following programs are designed to facilitate retention of productive human resources:



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- Rehabilitation Program – Provides services primarily to employees with potentially handicapping medical conditions and disabilities and provides related services to their supervisors.
- Employee Assistance Program – Provides services principally to employees with substance abuse and other personal problems which negatively affect job performance and also provides related services to their supervisors.
- Wellness Programs – Develops and improves the physical and mental health and well being of employees through services designed to meet an individual's personal needs.
- Accident Prevention and Safety Program – Recognizes, develops, and implements accident prevention and safety programs to improve loss control.

Campuses are authorized (Chancellor or Designee) to obtain funding for program activities by assessing a payroll charge campuswide. <http://www.ucop.edu/ucophome/policies/bfb/bus73.html>



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Incentive Award Program

- General framework provided by OP
- Campus establishes local procedures for administering awards
- Primary emphasis is cash awards, but 50% of the funding can support development and training opportunities
- Non-base building awards may be granted to individuals and teams
- Program evaluation required



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What is needed to develop a new proposal?

1. Adequate research/justification

- Do your homework! Review UCOP's and campus' policies on the subject.
- Know the priorities of the funding source you have targeted for your proposal. Is your request appropriate for the type of funding?
- Is your request realistic in the current budget climate?



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What is needed to develop a new proposal?

2. Communication

- Don't make assumptions. If there is something you don't understand about the policy or your proposal idea, make sure to ask early!
- Talk to the right people! Seek input prior to submitting the proposal.



What is needed to develop a new proposal?

3. The text

- Provide a clear and concise executive summary that shows you have done your homework.
- Clearly describe who will do the work (who), the methods that will be employed (what/how), which facilities or locations will be used (where), timing of working (when), and why the funding is needed (why).
- Budget should be clear and easy to read.
- Identify various options.
- Provide discussion of pros and cons.
- Lay the groundwork for an evaluation mechanism.



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Hand out ESP Proposal for Discussion



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PROBLEMS!





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- **Authority** – The Chancellor or his or her designee is authorized to set the ESP assessment rate for the campus. Does HR have the authority to change the rate? Likely not.
- **Purpose** - ESP funding is for **specific** programs, not for all of HR or any of the items they mention.
- **Proposal** – Lacking analysis. Are salaries below market rates? Show it, with research. Are staff levels too low? Show it, with research and/or UC comparisons. What effect will these changes have on the campus? What if they are not implemented? What are the evaluation/reporting mechanisms for these changes?
- **Budget** – Items are too generalized. No benefit costs are included. The numbers are added incorrectly.
- **Rate** – Why are they doubling the rate? Will that actually equal their required budget? A rate analysis needs to be done to determine what the rate should be.



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Hand out ESP Proposal #2 for Discussion



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What's Good About This Proposal?