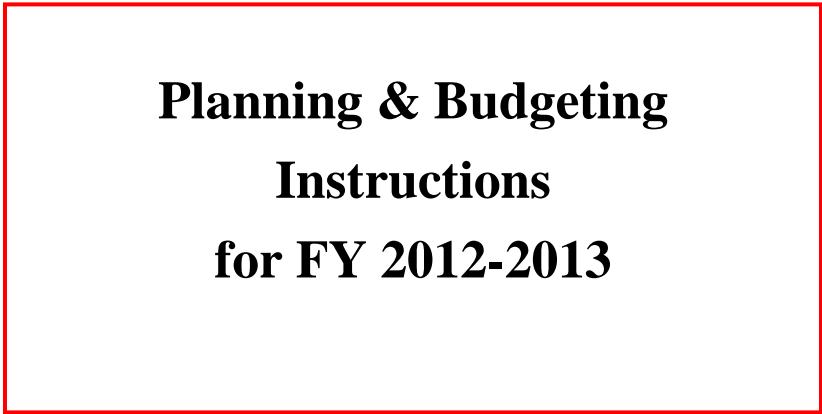
The logo for the University of Houston - Victoria, featuring the letters 'UHV' in a bold, red, stylized font with a white outline and a black drop shadow. The letters are set against a light gray background.

UHV

The name of the university, 'UNIVERSITY OF HOUSTON - VICTORIA', is written in a bold, black, serif font. It is centered below a decorative horizontal line with a small red triangle pointing upwards in the center.

**UNIVERSITY OF
HOUSTON - VICTORIA**

A red rectangular border encloses the title text. The text is centered within the box and reads: 'Planning & Budgeting Instructions for FY 2012-2013'.

**Planning & Budgeting
Instructions
for FY 2012-2013**



UNIVERSITY OF HOUSTON - VICTORIA

From: Dr. Philip Castille, Chair of Budget Committee
To: Department Heads
Date: November 7, 2011
Subject: FY 2012-2013 Budget Process

Budget hearings will be held on Tuesday, January 24, 2011. The hearing schedule can be found on the Budget Department website at <http://www.uhv.edu/Budget/BudgetBook/hearingSchedule.aspx>. Hearings are open to all faculty, staff, and students. Planning and Budgeting Instructions are available at <http://www.uhv.edu/Budget/BudgetBook/Instructions.aspx>.

Budget requests should be accompanied by a written explanation of the critical need for funding and a rationale of why reallocation within existing budgets cannot meet unit goals.

The verbal presentation at the budget hearing should be concise and address the following:

- An explanation of how your departmental budget fits with the University mission.
- New opportunities and needs ranked in priority order and justified in terms of their importance to major program objectives.
- Improved and more cost effective ways of carrying out present initiatives.
- Budgeted activities or positions which can be reduced or eliminated when they no longer support program objectives.
- A cost summary of the major budget requests. (May use Budget Request Summary form on Budget website)

The budget package submitted at the hearing consists of the following:

- Completed Unit Performance Indicator Form with performance objectives for FY 2012-13.
- Unit Plan Form showing (1) how new resources for FY 2011-12 are advancing unit goals and strategies and (2) general unit goals and strategies for FY 2012-13.
- Budget forms: (1) Budget Request Summary (with all requests/needs in priority order) and (2) detailed Budget Request Forms for M&O, positions and capital items.

If you have any questions concerning the planning and assessing process, please contact Tong-Ai Zhang (Ext. 4323) in the Institutional Research Office. Questions on the Unit Performance Indicator Form or Unit Plan Form should be addressed to Tong-Ai Zhang. Additional information and forms are available at <http://www.uhv.edu/provost/Planning12-13/>.

If you have questions concerning budget requests and pertinent forms, please contact Krystal Murray (Ext. 4859) or Darlene Pullin (Ext. 4850) in the Budget Department. Additional information and forms are available at <http://www.uhv.edu/Budget/Forms.aspx>

Thank you for your work and support at the University of Houston -Victoria.

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PLANNING AND BUDGETING CALENDAR

FY 2012-2013 Planning/Budgeting Calendar

<u>Date:</u>	<u>Planning Event:</u>
<u>October</u>	
Early October	Job Reclassification Requests sent out by Human Resources.
Mid-October	Staff Employee Evaluation Forms sent out by Human Resources.
<u>NOVEMBER</u>	
Early November	President completes prioritization of University strategies.
November 4	Job Reclassification Requests due to Human Resources.
Early November	Enrollment Projections Meeting to be attended by Associate VP for Student Affairs, Deans, Provost & VP for Academic Affairs, and VP for Administration & Finance.
Mid-November	“FY 13 Planning/Budget Instructions” updated on Budget website.
November 14 – January 24	Units prepare FY 13 budget requests, communicating with faculty/staff and other units affected.
November	Revenue Projections.
<u>DECEMBER</u>	
December 9	Staff Employee Evaluation Forms due to Human Resources.
Mid-December	Budget Committee approves draft of Tuition and Fees.
<u>JANUARY, 2011</u>	
Early January	Tuition and Fee Committee meetings to determine changes.
Early January	Conduct Salary Market Analysis.
Mid-January	Public Hearing on Tuition and Fee changes.
January 18	Materials for Tuition and Fee changes due to UH System for agenda item preparation.
January 24	Budget Committee conducts “Budget Hearings.” Cabinet-level supervisor brings his/her component’s FY 13 annual plan and budget requests forward. Department heads may be requested by cabinet level supervisors to attend.
<u>FEBRUARY</u>	
February	Merit Raises Processed (if funding is available).
February 3	UH System prepares Final agenda items for Board of Regents office.
February 6-10	Tuition & Fee PowerPoint preparation for presentation to the Board of Regents.
February 14 & 15	Board of Regents Meeting for approval of FY 13 Tuition & Fees.

<u>Date:</u>	<u>Planning Event:</u>
Mid-February	Faculty Evaluation Forms Due to Provost.
Mid-February	Budget Committee tentatively finalizes the FY 13 budget.
Mid-February	Distribute FY 13 budget information to the Cabinet-level supervisor who may request reconsideration in accordance with stated procedures.
Mid-February	Submit a Job Analysis Questionnaire Form (JAQ) to the Human Resources office for all new staff position approved by the Budget Committee.
Mid-February	Budget guideline details from System (endowment income estimates, investment income estimates, debt service, service charges, etc.).
<u>MARCH</u>	
Early March	Budget entry begins in PeopleSoft.
March 26	Campus materials due for Plan and Budget Hearings with Chancellor.
<u>APRIL</u>	
April 2	Campus Plan & Budget Hearings with Chancellor.
April 16	Final Campus Plans & Budget Due to UHS for Assembly.
April 30	Preparation Deadline for Board of Regents May Meeting (Approval Item: UHS FY 2013 Plan & Budget).
<u>MAY</u>	
May 15-16	Board of Regents Meeting for Approval of UHS FY 13 Plan & Budget.
Late-May	Megabud Reports with FY 13 Budget Summary sent to Departments for verification.
Late May	Begin LAR Preparation for FY 14-15.
<u>JUNE</u>	
June	LAR in progress.
<u>JULY</u>	
July	LAR in progress.
July	FY 13 Budget Load into Finance and HR.
<u>AUGUST</u>	
August 3	Deadline for Board of Regents Meeting in August.
August 6 (Est.)	LAR Due.
August 14-15	Board of Regents Meeting.
Late August	Submit Unit Plan to Institutional Research office.

CAMPUS BUDGET HEARING SCHEDULE

FY 13 BUDGET HEARINGS SCHEDULE

Note Instructions: Budget hearings are a time to express goals for the upcoming fiscal year. Such goals should relate to the strategic plan for each unit. Submit the necessary budget forms to support each request at the time of the budget hearing. *Please keep the paperwork to a minimum and do not submit binders.* Please come with handouts for the committee and audience (**minimum 12 copies**). Be prepared to respond to questions about your proposed budget and goals.

Tuesday, January 24, 2012 Convene in President's Conference Room

8:30 a.m.

President

Office of President
Athletics
Special Events
University Advancement
Marketing

9:20 a.m.

Library

9:35 a.m.

Administration and Finance
Office of Vice-President for Administration & Finance
Institution-wide Budgets
Budget Office
Business Services
Finance
Facilities Services
Information Technology

10:45 a.m.

Break

11:00 a.m.

Provost

Office of Provost
Institutional Effectiveness
Research Development

11:30 a.m.

Student Affairs

Office of Student Affairs
Academic Center and Career Services
Office of Admissions
Student Life & Services
L.E.A.D. and Student Recruitment
Office of Registrar & Student Records
Financial Aid

12:30 p.m.

Lunch

1:00 p.m.

School of Education and Human Development

1:45 p.m.

School of Nursing

2:30 p.m.

School of Arts and Sciences

3:30 p.m.

School of Business Administration

Small Business Development Center

4:30 p.m.

Human Resources

Training and Development

4:45 p.m.

Hearings Close

BUDGET PRIORITIES

Annual Budget Priorities for FY13

In response to a budgetary shortfall perhaps of unprecedented proportions, there are two basic priorities for the coming fiscal year: 1) focus on fund growth and productivity; 2) reduce as necessary funding of activities not immediately related to those goals.

The following priorities should be observed:

- Maintain the financial stability of the institution:
 - For FY12 and FY13 (biennium 2011-13) stability will require that we consolidate functions and reduce funding wherever it is possible to do so without significant deterrent to growth and quality.
 - It may also require very modest and targeted increases in student fees.
- Maintain university commitments to increasing enrollment and to collaborating in the delivery of academic programs and related services both on site and online:
 - To residential students in Victoria;
 - To commuting students in Fort Bend and throughout the service area.
- Maintain the UH System's commitment to providing access to the people of the greater Houston region and the state, making student success the top priority of this component university—as stated in the System's Mission and Goals.
- Assess and respond to educational, student life and academic support needs in Victoria and throughout the service area.
- Assess and ensure quality throughout all aspects of the delivery of programs and services.
- Support faculty research and professional development to the extent that resources permit.
- Maintain and continue to improve technological resources, especially to facilitate delivery of effective instruction and related services.
- Provide, insofar as possible, some meaningful recognition of the extraordinary efforts of faculty and staff to bring about the successful launch of UHV as a destination university, while also maintaining the university's commitment to off-campus and online delivery of instruction and support services.

UNIT PLANNING GUIDELINES

This section is available in The Institutional Effectiveness:
Planning & Assessment Activities 2012-2013
<http://www.uhv.edu/provost/Planning12-13/>

Mission Statement

The University of Houston-Victoria (UHV) is a dynamic destination university in the Coastal Bend Region of Texas. UHV serves the educational needs, promotes the economic well-being, and advances the quality of life for the university and community through teaching, research, and service excellence.

As a separately accredited university in the University of Houston System, UHV is dedicated to providing students with educational and leadership opportunities that empower them to be successful 21st century professionals and citizens in the global economy. UHV offers undergraduate and graduate degrees in four schools: Arts and Sciences, Business Administration, Education and Human Development, and Nursing. Fully-online programs complement face-to-face programs and allow convenient access for UHV's traditional and non-traditional students. UHV also serves transfer students through articulation agreements with community colleges.

Civic engagement and service learning provide students the opportunity to make meaningful connections between their classroom experiences and their lives in an ever-changing and increasingly complex world. UHV enriches the region by offering economic development, life-long learning, outreach and special events, athletics and cultural experiences for the community.

University Standing Goals

Goal 1: *Teaching and Learning*

UHV will provide high-quality instruction and learning support in selected degree programs, with emphasis upon outreach, collaboration, and responsiveness to the needs of local and international communities.

Goal 2: *Research, External Grant Funding, and Scholarly Activities*

UHV will contribute through research and scholarly activities to the advancement of knowledge in academic fields of inquiry, in teaching and learning, and in professional communities--commensurate with UHV's mission. This goal includes an increase in the number and amount of externally funded grants.

Goal 3: *Community Engagement and Partnerships*

UHV will help to serve the regional community's need for access to information resources, professional expertise, and continuing non-credit education; it will collaborate with other educational, entrepreneurial, governmental, and non-profit entities in promoting the educational, economic, and cultural development of the region. Service learning opportunities will integrate community service into the curriculum, providing opportunities for student civic engagement and faculty research.

Goal 4: *Enrollment Management and Student Services*

UHV will optimally shape the size and characteristics of the student body to ensure diversity and reflect the needs of the global leaders of tomorrow, with an emphasis on student access and success, and student participation through athletics, student organizations and academic success initiatives.

Goal 5: *Financial and Administrative Support Services*

UHV will demonstrate efficient and accountable stewardship of fiscal, human, and physical resources in its efforts to meet educational needs, to comply with oversight authorities, and to maintain public trust.

Goal 6: *University Advancement and Development*

UHV will complement public support of the institution with private support; will provide accurate and timely information to institutional constituencies; and will maintain positive visibility within the regional and alumni communities.

Goal 7: *Planning, Assessment, and Accountability*

UHV will maintain systematic processes for planning and budgeting, for institutional and employee assessment, and for professional development--with the intention of ensuring competitiveness, of improving effectiveness, and of complying with the mandates of the UH System, state legislature, Coordinating Board, and regional accrediting association. UHV will strive for greater accountability to stakeholders and increased transparency.

Goal 8: *Growth and Program Expansion*

UHV endeavors to become a comprehensive, destination university through the inclusion of freshmen and sophomores (downward expansion), as well as through the development of doctoral programs (upward expansion), as needed to continue to meet the needs of the surrounding communities.

2012-13 (FY2013) Unit Planning Guidelines

Due to the early schedule of budget hearing, a draft of the institutional annual plan is not available by this time. Since we have just finished the assessment of the previous year (2010-11), please use your unit assessment report, along with the other institutional documents, as reference for your 2012-13 plan and budget requests.

I. Please review the following documents when developing your new unit plan and budget requests:

- Institutional mission, goals and budget priorities
- Guide to Institutional Effectiveness System (IES)
- Unit annual assessment 2010-11

For the units who have not completed the 2010-11 unit assessment, complete the assessment report first.

II. In preparing your unit plan and budget presentation, including the following:

<http://www.uhv.edu/provost/Planning12-13/>

A. Unit Plan form

Preface:

Comment briefly on how any additional funds allocated to your unit last year were used. To what extent did they fulfill the purpose for which they were allocated and advance the strategic priorities of your unit and the university?

Unit Goals/Strategies

Indicate general unit goals/strategies for 2012-13, especially as those relate to overall university strategic priorities and initiatives. This is an important step for the assessment at the end of the year.

B. Unit Performance Indicators form

Complete the Unit Performance Indicators Form. The data in the Performance Indicators Form is based on your unit assessment reports of the previous years.

Please review the records and set the Performance Objectives for 2012-13.

If you need to alter or add new indicators, please mark the new additions. Academic schools may add to but should not alter the established indicators. Complete the form, save it on your hard drive/disk, and send a copy to IR.

C. Budget Requests

Indicate budget requests, using the Budget Request Forms.

III. Note: The regular planning and assessment match the budgeting process.

- A. We implement the current year's plan and budget until September 1 of the current year (Sept.1 to Aug.31).
- B. We assess last year's achievement and close the budget in August-September. (In the case of faculty achievements the prior calendar year applies.)
- C. We plan and budget for the next year in January-February. The planning and budget may start early based on the request of the system.

Guidelines for Performance Indicators Form

Please refer to the Unit Performance Indicators Form while reading the guidelines.

The Performance Indicators Form consists of the following sections:

1. Performance Indicators:

Performance indicators are the important element used to measure the effectiveness and efficiency of the unit in accomplishing its goals. In order to compare the performance of the unit over a period of time, performance indicators must be consistent. Performance indicators may change if the goals or functions of the unit have changed or the unit has been able to define and track data on more appropriate variables.

2. Achievement Record:

This column helps to benchmark the performance of the unit. The goal is to build a record of performance data for the previous 3-5 years. This will provide valuable information for setting up realistic and reliable objectives of performance in the future. According to the planning cycle of UHV, the last completed assessment was for 2009-10.

Note: The unit assessment report for 2010-11 should be due by Nov.1, 2011.

3. Performance Objectives:

Set up the targets for performance outcomes for the budget year (2012-13).

4. Assessment:

This column will be used for your assessment results by the end of the year. During September 2013, you can widen this column and enter your assessment results into it.

Please save a copy for yourself and email a copy of both your Unit Plan Form and Performance Indicators Form to IR. This step is important for your annual assessment by the end of the year.

Check List for Unit Plans and Budget Requests

Have you included all of the following in your unit plan and budget request?

- _____ Unit Plan: Preface & Unit Goals/Strategies
- _____ Performance Indicators Form
- _____ Budget Requests Summary
- _____ Budget Requests Form

Unit Performance Indicator Forms

The Unit Performance Indicator forms are available on the web in The Institutional Effectiveness: Planning & Assessment Activities 2012-2013
<http://www.uhv.edu/provost/Planning12-13/>

These forms may be downloaded, revised and saved to a designated drive.

BUDGET GUIDELINES

General Budget Guidelines

Instructions for completing your unit budget templates:

1. In your web browser type in the address:
<http://www.uhv.edu/Budget/Forms.aspx>. The form will open in an Excel file that may be completed and saved to your designated drive.

Budget Request Summary

(Budget request are summarized and totaled)

M&O Budget Request Form

(Request increases in Maintenance and Operations Funds)

Position Request/Adjustment Form

(Request increases in FTE or add a new position)

Capital Budget Request

(Request funding for capital equipment with useful life of more than 1 year)

2. Preparers should refer to the Salary/Wage Budgeting Instructions section to determine the procedures to follow for the Position Request/Adjustment Form.
3. More than one source of funding may be indicated for a single objective. Please provide a clear explanation of the need for each proposal and how the requested need ties to the institution's goals and strategies. If part of the objective can be realized with partial funding, then please indicate. A phase-in method over time may be requested. If so, please prioritize each phase. Be aware that funding for one or several phases does not guarantee funding for all phases. If funding involves more than one department, all department heads involved must be sure to sign the proposal.
4. If a new initiative is required that involves several departments, the cabinet-level supervisor must be prepared to come to the hearings with one of the following:
 - a. Department sign-off
 - b. Objection from other department or division or committee and rationale for that objection.
 - c. Alternative solution.

If through the initial budget hearing, the budget committee is not in favor of approving additional funds for a new project, and if that new project will have implications for many departments, they may request a review by the appropriate department or committee--such as the Information Resource Technology Committee or the Marketing Committee.

5. Merit compensation: Funding for merit is not yet known. Therefore, merit instructions will not be included in the budget hearings. Separate instructions detailing merit compensation will be distributed at a later date.
6. Employee benefits for salaries not funded by the state must be provided from non-state cost centers. Benefits cost should be calculated at 28% of the benefits eligible salary; 10% of non-benefits eligible salary. See the salary/wage budgeting instructions for more details.

SALARY/WAGE BUDGETING INSTRUCTIONS

Salary/Wage Budgeting Instructions

- A. Fringe Benefit Budgeting for Locally Funded Cost Centers
 For Ledgers 2, 3, 4, 5 - (Benefits eligible-28%, Non-benefits eligible-10%)
- B. Split Budgets
 Salary amounts for split-budget employees must be consistent with the FTE indicated on each respective budget.

Annual Salary = \$20,000

Cost Center: Administration and Finance - 25%
 Speed Type 10555 Fund 1061 Dept ID V0010 Program F0240 Proj/Grant NA
 If FTE is 25%, then salary = \$ 5,000 (\$20,000 X 0.25)

Cost Center: Telecommunications Service - 75%
 Speed Type 10708 Fund 1061 Dept ID V0016 Program F0251 Proj/Grant NA
 If FTE is 75%, then salary = \$15,000 (\$20,000 X 0.75)

Employees will be paid at the same hourly rate of pay from each cost center.

- C. Hourly-Paid Employees
 Non-exempt, hourly employees will be budgeted for a total of 2088 hours (1.00 F.T.E.)

salary increase	=	hourly rate x percent (%) increase and ROUND UP to the next higher cent for any fraction above .00
new hourly rate	=	hourly rate + salary increase
new annual salary	=	new hourly rate x 2088 hours x FTE and ROUND UP to the next whole higher dollar

For example, if a half-time (0.50 FTE) employee currently makes \$8.02 per hour and will receive a 3% increase, the calculation should be performed as follows:

salary increase	=	\$8.02 x .03 = \$.2406 & ROUNDED UP = \$.25
new hourly rate	=	\$8.02 + \$.25 = \$8.27
new annual rate	=	\$8.27 x 2088 hours x .50FTE = \$8,633.88 and ROUNDED UP = \$8,634

A shorter method of calculation is to multiply the hourly rate by 1.03. It is still necessary to make the intermediate rounding step, however. For example:

new hourly rate	=	\$8.02 x 1.03 = \$8.2606 & ROUNDED UP = \$8.27
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D. Types of Appointments and Benefits Eligibility

The employment status of any individual is determined by the job assigned, regardless of the source of funding. Below are the types of employment:

1. **Regular Employment**

An assignment of at least 0.50 FTE (Full-Time Equivalency) for a period of at least four and one-half months is considered regular employment. An individual in regular employment is eligible to participate in the fringe benefits programs. The accrual of some benefits, such as paid leave and paid holidays, is proportionate to the FTE established for the position.

2. **Part-time Employment**

An assignment for less than 0.50 FTE (less than 20 hours per week) for a specified period equal to or exceeding four and one-half months is considered part-time, regardless of the length of employment. An individual employed on a part-time basis is not eligible for paid leave or participation in benefits programs and is not granted paid holidays.

3. **Temporary Employment**

Employment in a position for which student status is not required for a specified period not to exceed four and one-half months is temporary employment. An individual employed in a temporary position is not eligible to participate in benefits programs and is not eligible for paid leave or paid holidays.

4. **Student Employment (Non-College Work Study; Federally-funded College Work Study; Texas-funded College Work Study).**

Employment in a position for which the prospective employee is currently a student at either The Victoria College or University of Houston-Victoria, regardless of the source of funds, is considered student employment. An individual employed in a student position is not eligible for participation in benefits programs and is not granted paid holidays or paid leave.

E. New Staff Positions

The procedures for new staff position requests are as follows:

1. Department Head obtains approval for the new position request from cabinet-level supervisor.
2. A Position Request/Adjustment Form is completed and signed for presentation at Budget Hearing.
3. If a new position is approved by the Budget Committee, submit a Job Analysis Questionnaire Form (JAQ) to Human Resources office.

F. Overtime

A non-exempt employee who is subject to overtime provisions of the Fair Labor Standards Act is entitled to compensation for hours worked in excess of 40 hours in a work week. The employee must have received prior approval for hours worked in excess of 40 hours. The supervisor should make every attempt to grant compensatory time off. However, when circumstances in which granting compensatory time off are impractical, the employee is entitled to be paid for the overtime at the rate equal to 1-1/2 times the employee's regular rate of pay.

Units which anticipate paying overtime or additional regular time to employees who have been budgeted to be less than full time, e.g. 0.50 FTE, 0.75 FTE, must include overtime and/or additional regular hours requested on the Salary and Wage Proposal form.

- G. Funding for merit is not yet known. Therefore, merit instructions will not be included in the budget hearings. Separate instructions detailing merit compensation will be distributed at a later date.

CAPITAL BUDGET INFORMATION

Capital Budget Information

Requests for capital expenditures are made on the Capital Budget Request form. Capital equipment is any equipment having a useful life of more than one year. Budgetary units are encouraged to coordinate requests with other units where equipment could be utilized across departmental lines.

BUDGET REQUEST FORMS

Budget Request Forms

The budget request forms are available on the UHV Budget Department's web site.
<http://www.uhv.edu/Budget/Forms.aspx>

These forms may be downloaded, revised and saved to a designated drive.