Committee for Academic Planning and Resource Allocation CAPRA Report to University Senate   - 2/7/2022 Axel Drees

- Committee charge and members

- Working with the University Administration through the Campus Budget Group

- The new All Funds Multiyear Budget Process
  - Overview of the new process
  - Comments on the faculty hiring process
  - Comments on the new Masters program tuition sharing

CAPRA Charge:

*The Committee shall **review budgetary procedures and priorities for planning and resource allocation** in the Presidential, Provostial, and Vice-Presidential areas. It shall be consulted by the University Administration on these matters and on proposals for new colleges, schools, and inter-collegiate programs, or the elimination, diminution, or combinations of colleges, schools, or other academic units, and shall seek advice from other University Senate committees whenever appropriate.*

CAPRA Members:

Humanities Fine Arts:	Ken Lindblom, Gary Mar	HSC:	Kelly Warren, Gene Katz, vacant
Social and Behavioral Sci.:	Andreas Koenig, Jeff Heinz	Professionals:	Edward Quinn, Diane Bello
Natural Sciences:	Axel Drees, Peter Tonge	Graduate Students:	vacant
Library:	Gisele Schierhorst	UG Students:	Julia Brown
CAES:	Alan Tucker, Miriam Rafailovich		

CAPRA Subcommittees:

West Campus (chair A. Koenig), East Campus (chair G. Katz), Facilities (chair P. Tonge)

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Campus Budget Group:

CAPRA meets regularly with the Universities finance team
monthly meetings throughout the academic year and summer 2020 and 2021.

Administration is represented through:

- **David Gray**, Interim Vice President for Budget and Financial Planning
- **Heather Montague**, Associate Vice President for Financial Planning & Analysis
- **John Riley**, Associate Vice President, Health Sciences and Vice Dean, Administration and Finance
- **Eli Mondesir**, Director of Budget & Analysis

CAPRA is represented by the committee and subcommittee chairs:

- Axel Drees, Gene Katz, Andreas Koenig, Peter Tonge

Heather Montague and David Gray presented the status of the development of a new multiyear, all funds, strategic budgeting process to the full CAPRA on 1/10/2021.

All Funds Multiyear Budget Process

Old Process: Historic incremental budgeting, year to year, limited to state funds

New Process: Multiyear (3-5 year) planning including all major revenue streams

(State funds, IDC, IFR, etc. and SBU where appropriate)

Key goals:

- Strategic alignment of all resources with institutional priorities
- Collaborative approach to resource planning throughout the year
- Transparency of budgetary decisions
- Decisions informed by data that is shared in an accessible form
- Consistent budgeting process
- Clearly articulated budget governance explicitly including CAPRA

Timeline: 21/22 (current year) pivot year   → 22/23 (planning in process) first year of multi year planning

→ further development of process; full process in 24/25

Pivot Year 21/22:

Framework in place: *Time table; Budget Planning Group (BPG) and central decision making through the Strategic Budget Executive Team (SBET)*

Initial two-year strategic hiring plan: *For a two-year period 90 faculty hires are planned.*

Analyze and share historic expenses and revenues for all funds, including state funds, IDC, IFR, and SBF accounts: *Ongoing*

Stony Brook University
Annual Budget Development Timeline

As Stony Brook considers an annual budget development timeline, the following draft timeline illustrates the proposed future process.

Annual Budget Timeline	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec
Initiate Budget Process • Budget Office prepares CBM, offers CBM trainings. • Budget Office partners with UBPC, HR and accounting to develop, distribute high level guidance for the upcoming process via a call letter (to be distributed in January)		�__										
Develop Strategic Budget Requests • VPs develop budgets in CBM (22/23) including approved 22/23 SBET approved hiring plans. • VPs prepare recommendations for 23/24 strategic hiring plan for SBET review.			★									
Senior Leadership Reviews & Finalized Budget Plans • Budget Office reviews all financial measures in CBM and provides feedback/recommendations to leadership. • VPs present their 23/24 strategic hiring plans to SBET. • SBET reviews and communicates the approved 22/23 budget as well as the 23/24 strategic hiring plan.					▪							
New Fiscal Year Set Up • Budget Office partners with SUNY to submit financial plan package for upcoming year. Includes set up of segregation allocations, completing prior year segregation clean-up and oversee distribution of carryforward information.							▪					
Manage, Adjust, and Monitor Current Budget • Budget Office partners with VP areas to review budget to actuals, manage budget activity, provide reports, record budget transfers and adjustments, resolve any problems and finalize off cycle budget enhancements.												

FAR BEYOND

★ CBM opens for input, see *Decision Log* for details

Preparing 22/23:

Development of a multi-year budget, prepare new graduate tuition sharing model rollout 22/23, and establishing initial budget governance process.
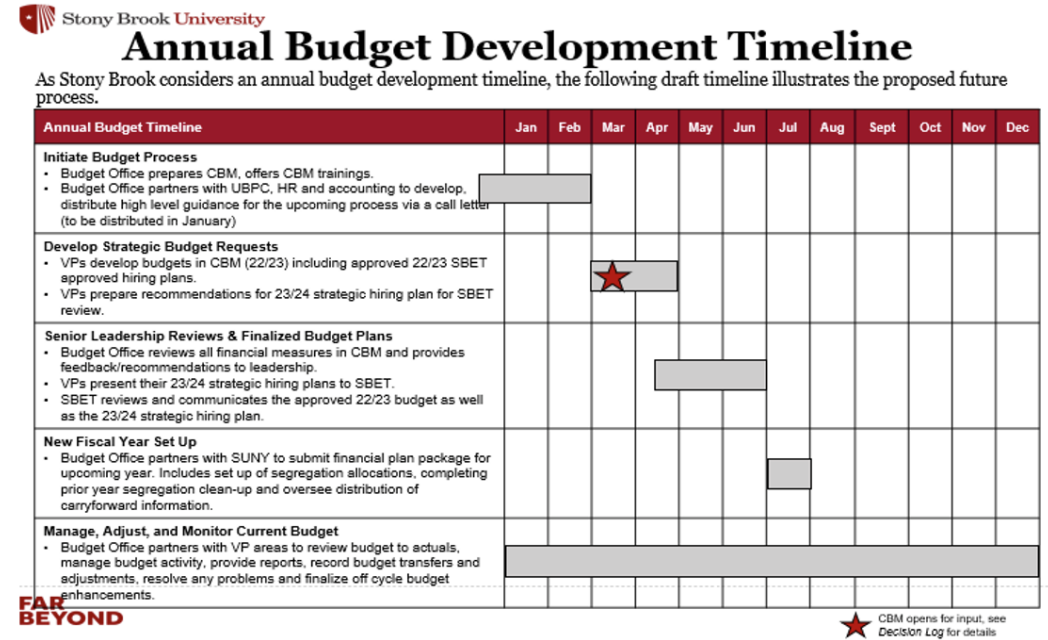
Future Developments till 24/25:

Introduce Enterprise Resource Planning (ERP), Incorporate data on enrollment projections, research productivity, HR data, strategic request process, space data, and campus capital needs.

Budget Governance

clarify roles and responsibilities for facilitating the budget process, including information collection, advisory input, and decision authority


Operational Support Teams:
Performs data collection and analysis to inform decisions

- Manage annual refresh of supporting budget data inputs [e.g., headcount, historical analysis, etc.]
- Manage the development of financial forecasts and operating assumptions for scenario planning

Advisory Committees:
Makes recommendations to decision makers

- Collect feedback on updates to the budget and historical spend analysis
- Can include both existing committees [e.g., curriculum committee] and budget-specific committees [e.g., BPC, CAPRA]

Decision Makers:
Determine final budget decisions

- Hold final decision authority related to model inputs and resource allocations
- Often is the President with input from the Provost and CFO

Faculty and Staff hiring plan 21/22

For a two-year period 90 faculty hires are planned, with ~50 tenure/tenure track positions

- General concern: While this is an excellent first step, the scope will not keep up with attrition.

- Issue: Process has not been very transparent and does not seem collaborative.

Discussions in Campus Budget Group resulted in post mortem survey from the Provost's office of west campus chairs and all Deans, designed to gather information to help improve the process for 22/23.
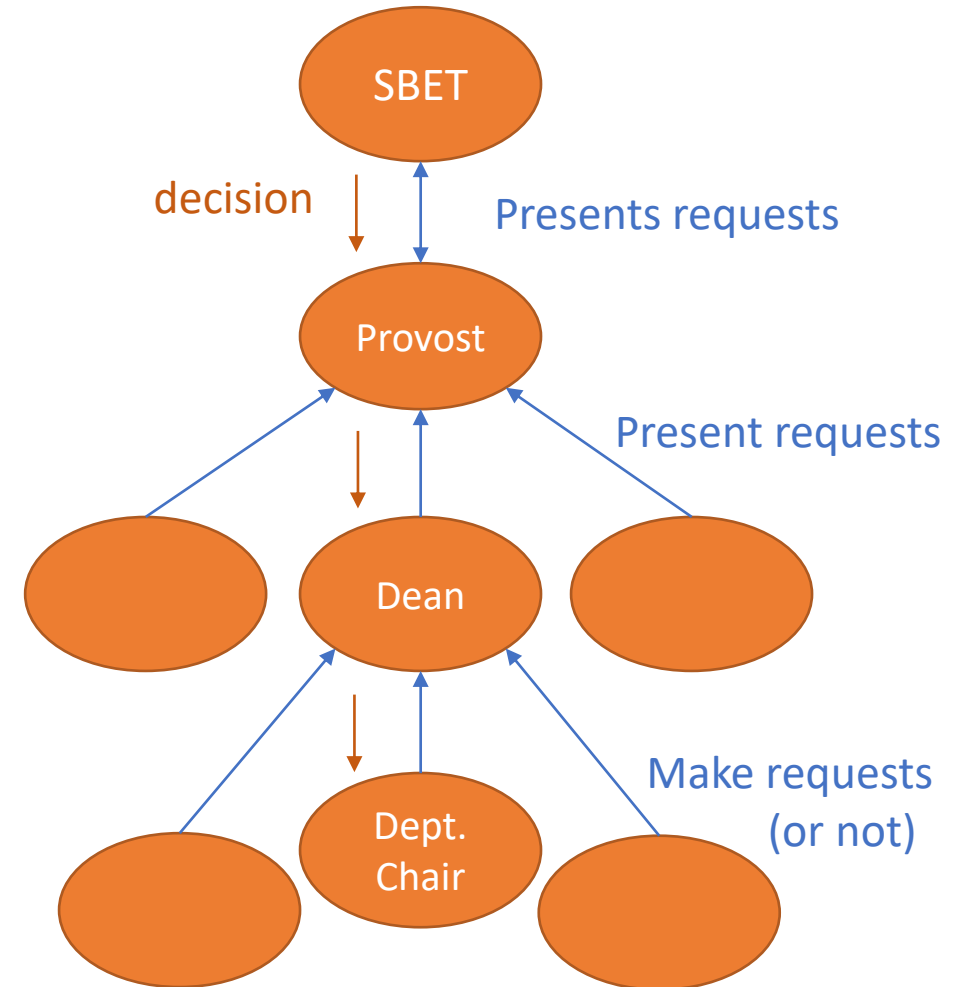
Impression of 21/22 process

New Masters program tuition revenue sharing

- Part of the recommendations of Strategic Budget Initiative. Developed with goal to incentivize moderate growth in MA/MS programs. Key features
  - Elimination of all "baselines" and debts related to baselines ✅
  - New methodology driven by course enrollment ✅
  - Designed to provide some resources to be spent at the discretion of department chairs ◯

- Rollout in 22/23 (upcoming academic year). Technical implementation ongoing:
  - Establish new "protected" accounts at department level
  - Distribute 21/22 revenue share as part of 22/23 budget (next years budget)