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Educational Support and Administrative Review

Business and Financial Affairs
Five-year Report ending 2011

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University of North Alabama
Department of Business and Financial Affairs
Five Year Report
June 2011

1. Overview of Department

1.1 Brief overview of department

The University Office of Business and Financial Affairs encompasses all aspects of business and fiscal responsibilities managed by three main divisions: The Business Office, the Office of Human Resources and the Procurement Office.

The **Business Office** of the University of North Alabama provides students, faculty, staff and administration with services and information essential to the mission of the university. The Controller's Office directs the activities of each of the areas within the Business Office. These include the Office of Financial Affairs, Office of Student Accounts (Bursar), and the Payroll Office. Financial Affairs includes general ledger accounting, grants and contracts accounting, Perkins loan management and accounts payable. Student Accounts encompasses all aspects of student accounting and the university's cashing operation.

The primary purpose of the University of North Alabama (UNA) **Office of Human Resources** and Affirmative Action (the Human Resources Office) is to support the processes and services associated with employment (faculty, staff, and students) at the University of North Alabama.

The primary purpose of the University of North Alabama (UNA) **Office of Procurement** is to work with faculty, staff and students in identifying, selecting, and acquiring needed materials and services. This is to be done as economically as possible, following all applicable federal and state laws and within accepted standards of quality and service using professional ethics and best business practices while obtaining the best value for the total cost and eliminating or minimizing risk to the University of North Alabama. The UNA Office of Procurement manages an estimated annual spend between twenty-four and twenty eight million dollars. This is managed through a requisition to purchase order process, on-line ordering tools, local contracts, a rigorous bid process and a credit card program. Also managed from the Procurement Department are the Central Duplicating Office and the University debit card program, e.g. Mane Card Office. The Central Duplicating office supports over \$70K per year in printing needs for faculty and staff. The Mane Card Office manages meal plans and declining balance accounts for students, faculty and staff.

1.2 Mission Statement

Business Office:

To provide leadership in the development, implementation, and continuous improvement of the financial services necessary for the university to pursue its mission of engaging in teaching, research, and service.

Office of Human Resources:

The mission of the Office of Human Resources and Affirmative Action is to provide quality services and programs as well as knowledgeable guidance and assistance to all members of the campus community. We are committed to excellence with regard to our administration of benefits and wellness, compensation, employee relations, recruiting and selection, performance management, training and development, and human resources planning.

Office of Procurement:

To provide the highest level of quality, value, and satisfaction to our internal customers while servicing their needs; maintaining the optimum level of professionalism, integrity, and ethics in support of the University's goals and objectives for all procurement functions.

1.3 Goals and objectives of the department

Business Office:

The overarching goal of the Business Office is to provide accurate, timely and relevant financial information and business services to the university community and outside constituencies. More specific goals under this umbrella include:

- Provide financial information in a manner that is as easily accessed as possible.
- Continuously improve internal control processes and risk management activities.
- Optimize technological capabilities for the benefit of constituency groups.
- Maintain compliance with federal, state and industry regulations.
- Develop, maintain, and communicate adequate procedures, controls, records and files.
- Advise in the development and implementation of policies that have a financial component.

Office of Human Resources:

The Human Resources Office is a service cost center in that the office exists to provide services related to employment at UNA. While our goals are specific to each particular area of service, our overarching goal is to continuously improve and enhance the services that we offer.

The goals and objectives of the Human Resources Office are as follows:

- Facilitate the recruitment and selection processes to ensure not only legal compliance, but, also to enhance the campus community with quality hires that represent the diversity of our student population
- Administer employee benefits plans that are flexible so as to fit each individual employee's needs and that are innovative so that the University remains an employer of choice
- Offer a staff compensation plan that is transparent, market-based, and commensurate with an employee's knowledge and experience
- Improve the staff performance management process to ensure open communication between employees and supervisors with regard to expectations, goals, and performance feedback
- Provide opportunities for staff to increase their development and be rewarded both "in place" and vertically

- Provide data that are accurate and useful to our internal customers
- Foster a positive working environment by managing all employee relations issues in a clear and consistent manner

Office of Procurement:

The University Office of Procurement is a service cost center in that the office exists to provide services to other departments and students on campus whether such services are in the procurement, printing, equipment asset management, debit card or other areas normally provided by the office. Our primary goal is to strive for continuous improvement in all service areas this office provides to the campus community.

Procurement goals and objectives are as follows:

- Provide cooperative interaction between suppliers and members of the faculty, staff and students.
- Assist in the acquisition of goods and services via creation of purchase orders and preparation, tabulation and award of competitive bids.
- Encourage fair and open competition among suppliers through competitive bidding in accordance with the Alabama Competitive Bid Law <http://www.examiners.state.al.us/>.
- Ensure that purchase orders and contracts contain all necessary terms and conditions to insulate UNA against liability or any miscommunication of requirements.
- Develop, maintain, and communicate adequate procedures, controls, records and files.
- Ensure that the highest procurement standards and ethics are maintained and up-to-date industry practices are applied.

1.4 Governance structure of the department

The **Business Office** is a division of the Office of Business and Financial affairs. The Controller, who reports to the Vice-President of Business and Financial Affairs, directs the activities of the Business Office through the following direct reports:

- Director of Financial Affairs – responsible for accounting services, accounts payable and Perkins loan management
- Bursar – responsible for student accounting (billing and collections) and cashiering
- Payroll Manager – responsible for payroll functions

The **Office of Human Resources** is a division of the Office of Business and Financial Affairs. The four staff members within the department report to the Director.

The **Office of Procurement** is a division of the Office of Business and Financial affairs and is charged with the responsibility and authority to commit the University to purchases as delegated by the President of the University within the policies prescribed under the authority of the Board of Trustees. The Office of Procurement is also responsible for management of the Central Duplicating, the Mane Card office and University inventory control.

2. Department Evaluation

2.1 Description of the means of assessment of department goals

All aspects of the Business Offices within UNA are subject to an annual audit performed by the [Alabama Department of Examiners of Public Accounts](#). The Office of Procurement is evaluated for [Alabama bid law](#) compliance, University policy compliance, consistency, fairness, and ethical practices. The Office of Human Resources is evaluated for compliance with regard to compensation practices. Employee selection and retention is reported and monitored through IPEDs reporting.

The Faculty Attitude Survey and the Campus Climate survey routinely contain questions designed to gauge employees' satisfaction with the benefits offered by the University.

In 2010, the Human Resources Office facilitated the University's participation in the *Chronicle of Higher Education's* "Great Colleges to Work For" Program in which all exempt-level employees were surveyed as to their impressions and opinions of the University's standing in 12 categories, including compensation and benefits, confidence in senior leadership, work/life balance, professional development, etc.

The Human Resources Office annually completes the renewal application for the University's legal liability insurance. The application is, essentially, a survey and analysis of the University's level of risk as it relates to employer and employee legal compliance.

The Director of Human Resources is a standing member of the Faculty/Staff Welfare Committee; whose charge is to monitor current policies and programs and to consider recommendations for improvements and/or necessary changes to policies and programs. These recommendations come in the form of informal feedback from employees as well as from mini-surveys.

2.2 Summary of the results of the assessments:

The university continues to receive unqualified opinions on its annual audits. No material findings have been noted in previous audits.

The Faculty Attitude and Campus Climate surveys have revealed overall positive opinions with regard to the University's benefits packages.

In the "Great Colleges to Work For" program, UNA earned the 2010 Honor Roll. The Honor Roll recognition category consists of the very best schools in each four-year size category based on the number of times they were recognized in the individual recognition categories. Nationally, there were only 10 institutions in the medium size category to be named to the Honor Roll.

The University has been successfully renewed each year for legal liability insurance with occasional premium reductions.

2.3 Recent improvements based on the results of the assessments

Training in proper business practices was conducted for all faculty and staff with fiduciary responsibilities to create an awareness of appropriate business practices and to educate attendees on recognizing fraudulent activities and how to proactively avoid them. This training was tailored to roles and responsibilities to provide more relevant information from the President and Executive Counsel to the Administrative Staff. The goal was to communicate a better understanding of the laws and regulations dictating the control of University funds and each person's role in conducting business within ethical guideline and the avoidance of fraudulent activity.

In 2007, the University was notified by its legal liability insurance carrier that it must provide mandatory harassment prevention training to all employees every three years. This training was provided in 2008 and in 2010 with 100% participation.

In 2008, the University was given the opportunity by its health insurance provider to make some additions to the coverage without an increase in premium. As a result of information received from surveys and informal feedback from faculty and staff, it was determined that the vision benefit should be increased and that the limits on chiropractic benefits should be raised.

In February 2009, the faculty and staff were given an opportunity to complete a survey regarding interest in various supplemental benefits. Based on the results of the survey, the Human Resources Office added to its benefits package an array of supplemental benefits from which employees could choose. In April 2009, supplemental benefits education sessions were held for all faculty and staff. Enrollment for the benefits took place during April and May with an effective date of June 1, 2009.

As a result of input from faculty and staff received in the Faculty/Staff Welfare Committee, the following policies and programs have been enhanced or added: supplemental life insurance for employees, spouses, and dependents, employee flexible spending accounts, and elimination of waiting period for new hires.

In 2010 the Office of Procurement was asked to update bid documents to contain the complete State of Alabama Disclosure Form as opposed to a hybrid document created to capture the information relative to higher education.

2.4 Appropriate documentation to support the assessment of department:

The following links provide evidence of the department assessments:

[Annual Audit Reports](#)

<http://www.examiners.state.al.us/>

<http://chronicle.com/article/Great-Colleges-to-Work-For/65724/>

See attached Supplemental Benefits Survey

2.5 Brief analysis of those areas in need of improvement and an action plan for improvement in these areas:

To better communicate policies and guidelines for the use of financial services of the University, the Business Office's websites are continually updated to include policies, guidelines and necessary forms. Business Office personnel participate in monthly new hire orientation to familiarize new employees with where to go for financial information related to their positions. Periodic emails are also sent to university personnel concerning changes or updates to policies or procedures, as warranted. Communication to students is addressed through emails, posting within Banner Self-Service and some telephone reminder calls. Media such as the university newspaper are used as well.

To improve the overall understanding of the benefits offered by the University, the Human Resources website is continually updated to reflect any changes to policies as well as to provide additional, helpful information to employees to enhance understanding of our benefits. Additionally, a repeat of the 2007 benefits informational sessions should be considered for 2011 or 2012.

To increase employee knowledge of the retirement benefits and options, the Human Resources website is continually updated to incorporate any changes with regard to retirement benefits and to include additional information to enhance understanding of the program. Furthermore, by 2012 the Human Resources Office should offer retirement informational sessions (conducted by a representative of the Teachers' Retirement Systems) to employees at various levels of longevity to enhance the understanding of our retirement benefits and the need for proactive retirement planning.

To better communicate policies and guidelines for the procurement of goods and services from University funds, the Office of Procurement website is continually updated to include policies, guidelines and necessary forms. A presentation takes place with new hires to introduce them to the ordering procedures and policies.

3. Facilities and Resources that address the adequacy of resources and support services to support the goals and objectives of the department:

3.1 Equipment:

The equipment relied on most heavily by **Business Office** staff is the personal computer. The majority of the work of the office is inputting data into or reporting on information located within the software programs used on a daily basis. Additionally, the work of the office necessitates the extensive use of email both to communicate with colleagues and to transmit/receive information vital to Business Office processes. Each employee within the Business Office has been issued either a desktop or laptop computer for university business and each unit is replaced as necessary via procedures established by the Department of Computer Services.

The **Office of Human Resources** must have the ability to interact with both employees and job applicants via telephone and email and to store and share records and files electronically. The hardware and software necessary to support such must be in place. Web access is critical, not only for maintenance of the Human Resources website, but also for the Online Employment System and for Banner and its supporting programs.

The **Office of Procurement** must be able to communicate with all internal and external customers. There are a variety of methods supporting this need, automated emails sent from the enterprise system; hardware supporting scan-to-email and scan-to-fax; telephones; email; a shared network drive; public bulletin board; and a department website. All of these tools and equipment are used to communicate orders, change orders, returns, bids, contracts, and any other necessary document to facilitate business.

3.2 Space:

The **Business Office** is distributed among four offices in Bibb Graves Hall as follows:

- The Controller's Office is located on the main floor across from the office of the VP of Business and Financial Affairs.
- The Office of Financial Affairs is located across the hall from the Controller's Office.
- The Office of Student Accounts and Accounts Payable are located in the basement of Bibb Graves Hall. This space is not adequate for the volume of paperwork generated by each operation but Accounts Payable personnel have begun using BDMS imaging software to decrease the need for storage of checks on campus.
- The Payroll Office shares a suite with Human Resources on the second floor.

Space is considered adequate for each area except as noted for Student Accounts and Accounts Payable.

The **Office of Human Resources** shares a suite, room 217 of Bibb Graves Hall, with the Payroll Office. Since Human Resources populates all payment information in Banner from which Payroll generates payroll checks and deposits, the sharing of this suite makes communication between the two offices very convenient. The space has an open area which is occupied by two staff members, and it includes space for a student worker as well as a small, semi-private conference area. Flanking the open area are four offices, a workroom, and a file room. Although a private conference area would be desirable, conference rooms are available by reservation within the building.

The **Office of Procurement** is located in room 21 of Bibb Graves Hall. It is conveniently located across the hall from Accounts Payable providing easy working conditions when questions arise over invoices. The space is divided into two rooms, one housing two office spaces and the other a small conference table and another office space. This space is limited, but satisfies the needs of operation.

The Central Duplicating Office is also located in the basement of Bibb Graves Hall. All printing, sorting and binding equipment is sufficiently housed in the area provided. Supplies are stored across the hall and within an extra closet area. Recently a very cumbersome plate maker was removed and replaced with a plate maker the size of a small desktop laser printer. This provided

additional space. As new technology is added this area has been rearranged nicely to accommodate more space and offer more services.

The Mane Card Office is located in an enclosure within the general open area of the Guillot Center. It is a central location to campus and located near the mail room, a large retail dining area and the campus bookstore providing easy access for students, faculty and staff.

3.3 Staff

The **Business Office** is composed of the Controller's Office, the Office of Financial Affairs, the Office of Student Accounts and the Payroll Office. The offices are staffed with a total of 14 employees as follows:

- Controller's Office – Controller and one executive assistant
- Office of Financial Affairs – Director, three accountants, one accounts payable coordinator and one accounts payable clerk. A fourth accountant performs some accounting duties for this area but primarily supports the Office of the Vice-President of Business and Financial Affairs.
- Office of Student Accounts – Bursar, a student accounts coordinator and two cashiers
- Payroll Office – Director and one payroll specialist

The **Office of Human Resources** is composed of five employees: an administrative assistant, a benefits specialist, an employment specialist, a generalist, and a director. Outside of normal administrative duties, the Administrative Assistant provides oversight of the student employment approval and data control processes as well as the adjunct data process. In addition to traditional benefits duties, the Benefits Specialist manages the worker's compensation equivalency program and the performance appraisal process. The Employment Specialist not only manages the recruitment and selection process, but also serves as the report-writer and website administrator. Data analysis, position control, data entry, contracts, and compensation are the primary responsibilities of the Human Resources Generalist. The Director is responsible for policy development, interpretation and revision; staff relations, discipline, and involuntary separation; staff compensation and classification plan development; staff development, benefits oversight and plan negotiations; departmental budget; and Banner security.

The **Office of Procurement** is composed of a buyer, a buyer/inventory control analyst and a director. This structure supports normal activity for all campus procurement needs. The buyers work daily to get orders placed accurately and communicated to the supply base. The Central Duplicating Office has one employee supporting the printing needs and managing the small inventory of office supplies used by the campus community. The Debit Card Office, Mane Card Office, is staffed with a manager and an assistant. During summer orientation and recruitment occasionally a student worker is hired to assist with the increased workload.

4. Achievements

Business Office:

1. Full implementation of an updated travel and entertainment policies in Spring, 2011.

2. Implementation of Sungard's Banner administrative software system. The Business Office was fully responsible for the implementation of the Finance module and significantly involved in the implementations of the Human Resources and Student modules.
3. Implementation of software supporting Banner, including Workflow, BDMS imaging software and Argos reporting software.
4. Assisted in the development and implementation of the university's Identity Theft Protection Policy.
5. Increased the options for electronic viewing of student accounts and payment options.
6. Facilitated Business Practices training for faculty and staff with fiduciary responsibilities to raise awareness of proper procedures when processing financial transactions and to increase the ability to avoid impropriety.
7. Worked in conjunction with several offices to build and allow on-line access to a searchable database providing information on the university's expenditures via the internet. This database was a requirement of the state budget office.
8. Have begun to reduce the need for on-campus storage of files through the use of BDMS imaging software.
9. Facilitated increased process flow in several areas through the use of Banner Workflow, which increases communication throughout each step of certain electronic processes, e.g. notification of withdrawal of student from the university.
10. Instituted electronic billing and payment options for student accounts.
11. Continued to receive unqualified opinions on the audited financial records of the university, with no findings noted for the Business Office.

Office of Human Resources:

1. Online Employment System: Based on feedback received from the campus community as well as from applicants, the Human Resources Office recognized the need to address deficiencies in its application and recruiting processes. For the campus community, process needed to provide (1) more rapid delivery of applications through the approval channels to the respective hiring authorities, (2) simultaneous applicant review capabilities for all parties involved in the hiring process, and (3) recruiting process status updates. For applicants, the process needed to provide a more expedient, less cumbersome process by which to express interest in a position. The Human Resources Office itself needed a process that was less paper- and staff-intensive.
 - a. After research was conducted regarding the best product to automate the process, PeopleAdmin was selected in December, 2006. PeopleAdmin, based in Austin, Texas, specializes in systems that automate many of the most paper- and staff-

intensive processes associated with higher education Human Resources. The PeopleAdmin Applicant Tracking module offers a customized online employment application, web-based distribution to hiring authorities, for automatic notification to applicants regarding the status of their job searches, and ease of tracking and reporting for Human Resources.

- b. The implementation of the UNA Online Employment System (OES) supported by PeopleAdmin was a seven month process which began in January 2007. The implementation involved the initial system build, focus group testing, and final testing. The first open position was posted on July 23, 2007. To date, there have been 8,454 applicants to apply through the system, many of whom have applied for multiple positions. Feedback from both the campus community and job applicants with regard to the OES has been positive.
2. Banner: After over 18 months of preparation and testing, the Human Resources/Payroll Banner module went into full, live production on January 1, 2008, as planned. The Human Resources team first accomplished the process of defining our employee base in terms of employee classifications which includes salary, time reporting, and position classification codes. Coding was established for benefits and deductions as well as bank and direct deposit information. The preparation provided the team with an opportunity to examine, discuss, and improve business processes in general so that inefficient processes were not simply repeated in the new system.
 - a. As part of the Banner system, a web-based, self-service portal was added to allow students, faculty, and staff to retrieve information and to initiate Banner transactions. The Human Resources/Payroll module inside that portal was launched in conjunction with the go-live on January 1, 2008. One of the primary components of the HR/Payroll self-service module is the time and leave entry section. This system allows employees to enter their time worked and leave taken and then electronically routes the completed forms to the appropriate supervisor(s) for approval. The time/leave entry module required campus-wide training prior to its implementation. The Human Resources Office developed the training materials and then conducted the training in a hands-on environment over a three week period. The new time and leave entry system provides the university with paperless documentation that is easily retrieved and interpreted.
 - b. The HR/Payroll module in Self-Service Banner also provides employees with a copious amount of information pertinent to their employment in a convenient manner. Information that can be obtained in this module includes leave balances, leave history, payroll history, benefits, and deductions. This information is updated from Banner in real time.
3. Human Resources Website: On June 1, 2007, the Human Resources Office launched its website designed to easily and conveniently provide information to employees. The website contains a Human Resources service directory which provides the name and contact information of the Human Resources staff member responsible for each service

provided by the department. Detailed benefits information and forms/links are provided as well as fillable and printable forms employees would normally have to obtain in person or through campus mail from the Human Resources Office. It also contains an area for current and/or upcoming projects related to Human Resources or employee relations.

4. Life/AD&D and Long-Term Disability Insurance Enhancements: During the fall of 2007, the Human Resources Office initiated a market analysis of life/AD&D and long-term disability policies and rates. We solicited the assistance of a broker for this analysis. Ultimately, the University selected the Hartford Insurance Company as the new provider of its coverage, and a conversion was made from the Standard Insurance Company to the Hartford on April 1, 2008. As a result of this change in provider, the University has realized significant savings in monthly premium costs. Although there were no substantive changes to the above-referenced coverage, the maximum benefit levels were raised to reflect current salaries and to provide for better coverage for employees in the future. In addition, the Hartford assumed administrative responsibility for the billing of retirees who retain the coverage.
 - a. In addition to the coverage provided by the University, all eligible employees were given the opportunity to purchase voluntary term life insurance benefits at group rates. Each policy contains a guaranteed issue amount (regardless of health issues) for both eligible employees and their eligible dependents who elect coverage during the initial enrollment period. Information regarding this coverage was disseminated to employees through sessions that were conducted by the Human Resources Office over a three day period in mid-April. Coverage was effective June 1, 2008.

5. Compensation and Classification Study: Through the collaborative efforts of the Salary Issues Committee and the Human Resources Office, a competitive bid process was conducted to select the consulting firm to administer the University's compensation and classification study. MGT of America, based in Tallahassee, Florida, was selected as the firm to lead the study that began in January 2008.
 - a. In December 2007, the President and the Human Resources Office hosted forums to provide employees with an opportunity to meet face-to-face with the MGT consultants and to learn more about the overall plan for the study. In late January 2008, the on-line Job Content Questionnaire (JCQ) was distributed to all salary study participants, marking the official first phase of the study. The JCQ was the instrument used to analyze and classify all positions and to create the new job descriptions.
 - b. The position and market data prepared by MGT ultimately yielded a report that was used by the University to gauge its standing in terms of competitive compensation for each of its staff positions. The results and recommendations contained in the report were communicated to all affected employees in September 2008. The report indicated that the classified staff employees, on the

whole, were paid approximately \$400,000 below market rates. Based on the findings, the university implemented a three-phase plan to address the deficits. Phases 1, 2, and 3 were implemented in October of 2008, 2009, and 2010, respectively.

6. Argos Reporting: A result of the Banner implementation is more useful data for end-users. Prior to Banner, reports were written by Computer Services and were based on a programmer's understanding of what the requesting party wanted. With the implementation of Argos reporting in 2009, each functional area has its own report writer. Therefore, the actual users of the data are those creating the reports. The Employment Specialist was trained in Argos reporting and serves as the Human Resources/Payroll module report writer.
7. Background checks: To increase the University's risk management efforts, the Human Resources Office proposed a pre-employment background check policy that was approved on June 11, 2007. The policy requires verification of criminal records, social security number, and, for some positions, credit history prior to offering contracts to recommended candidates for all positions. After receiving approval of the policy, a competitive bid process was used to select the provider of these services. Risk Management Services (RMS) of Muscle Shoals, Alabama was selected. The background checks began on October 1, 2007.
8. Training: The Human Resources Office worked with New Media Learning to develop an on-line Harassment Prevention training program for all faculty and staff employees. The training was interactive, contained a mastery quiz, and was customized according to a faculty or staff role as well as to organizational level. The Human Resources Office was electronically notified by the system when an employee completed the training and passed the mastery quiz. The staff was trained during the summer of 2008, followed by faculty training in the fall of 2008.
 - a. In September, 2010 all employees received mandatory legal compliance training in the areas of Equal Employment Opportunity, Americans with Disabilities Act, and Harassment Prevention.
9. Position Description Maintenance: Following the Classification and Compensation Study, the University received updated position descriptions for every classified staff position. The desire to keep these documents up to date drove the project to develop and implement a system for maintaining job descriptions. In late 2008, a module was purchased to support this activity. The module, hosted by PeopleAdmin is an addition to the Online Employment System. All position description content, including incumbent information, was uploaded to the module. The module went "live" in the fall of 2009. Now, employees and their supervisors are able to view their position descriptions and propose updates as needed. Additionally, supervisors have the ability to update a position description and create a posting using that information, all within the same module.

10. Comprehensive New Hire Orientation: In July, 2009, the first new hire orientation was offered. Each orientation session typically lasts about four hours and includes speakers and presentations from various parts of the campus community. A riding tour of campus is also included. Each participant leaves the session with a bound manual of useful information for future reference. The sessions are typically held once per month.
11. Workflow: Through collaboration with Computer Services and the Workflow Team Leader, the Human Resources Office developed automatic processes in a tool called Workflow to conduct the interactions between the Human Resources Office and other departments across campus in a smoother and more efficient manner. The following Workflow processes have been developed and are fully in use at the current time: (1) time submission and approval, (2) leave submission and approval, (3) student Social Security Number update, (4) EPAF submission and approval, and (5) employee new hire process. In addition, the following Workflow processes have been developed and are at the testing phase: (1) tuition remission submission and approval, and (2) employee separation process.
12. Organizational Charts: In 2007, organizational charts were developed for every division, department, and office at the University. Each incumbent is listed on applicable charts, and chart maintenance occurs as personnel changes are made.
13. Online Directory: In 2009, an online university employee directory was launched. The directory was developed by the University Webmaster, and the information it reports is fed from a report developed and maintained daily by the Employment Specialist.
14. Electronic Personnel Action Forms (EPAFs): In 2008, the Human Resources Office began to search for options to improve the student hiring and job assignment process. The existing process at the time was not only paper-driven, but it also required numerous telephone conversations between and among the Human Resources Administrative Assistant, the Student Employment Coordinator, the Business Office and various departments across campus. The paper form required the end user to provide information at the beginning of the hiring process that was not readily available to him/her. The Human Resources Office began to explore what options that might be available in Banner to make this a smoother, more efficient process for all parties. Banner Electronic Personnel Action Forms were the answer. With a week of assistance from a Banner consultant, the Human Resources team built an EPAF that allowed the end user to enter certain values and be returned the information needed to complete the Electronic form. All approvals and acknowledgments are made and documented on the EPAF which is accessed through Self Service Banner. Once the EPAF has been fully reviewed and approved, a process is run in the Banner Human Resources module that pulls the data into the proper fields in Banner.
15. Staff Handbook: In 2011, a new version of the Staff Handbook was developed by the Human Resources Office. The new Staff Handbook not only includes updated policies and procedures, but it is in a web-based format for greater accessibility and ease of use.

Office of Procurement

1. Full implementation of the purchasing card policy to accommodate small purchases, team travel, online procurement, certification renewals, and more. The plan provides an annual rebate of 1.25% of the total expenditures. This process reduces the number of Disbursement Requests and the issuance of formal purchase orders for items less than \$200.00.
2. The procurement web site has been updated providing access to open bids, campus forms, policies and procedures and training manuals. It will be our continued goal to enhance the web site for ease of communication to the campus as well as suppliers for the purpose of providing clear direction and open competition for any opportunities available at the University.
3. Through a formal bid process an exclusive beverage agreement was signed providing an annual gift of \$55,000.00; \$7,500 in free products and marketing options for all students on campus; and another \$800 of free product specifically for Athletics. This is all in addition to the 30% commission received from all beverage-vending on campus. The agreement was signed as a 3 year commitment with the option of extending annually for 2 more years.
4. The addition of Color printing capabilities and other enhancements in the Central Duplicating Office have provided cost savings up to 75% for the University in color printing and binding expenses that can now be accomplished on campus.
5. The Mane Card system (Debit Card) has been enhanced to allow on-line deposits directly onto the students ID card. Additionally, the off-campus program was outsourced to CBORD (the company providing the Debit card system software). Previously the University loaned, managed and paid for the maintenance of the equipment used at local businesses to sell via the UNA Mane Card at a cost of over \$15,000 per year. By outsourcing we have removed any cost to the University and allowed CBORD the flexibility of marketing and promoting the Debit Card services.
6. Signed an agreement with UPS in fall 2010; this agreement provides very large discounts for mailing packages internationally and shipping locally. By reviewing the last 4 years of freight spend on items UNA ships around the world, the least we have spent is \$88K and the most is \$128K. Due to our new UPS agreement UNA only spent \$39K this year and has the potential to save another \$10K or more from that by educating users to ship on our UPS agreement instead of FedEx. This must be noted as a minimum cost savings realized of \$49,000.00 for the year.
7. Engaged Staples Office Supplies in a new agreement fall 2009 to include a rebate option. This new on-line office ordering process not only provides next day delivery of discounted office supplies, but it provides an annual commission check averaging over \$6500.00.

8. Spring of 2010 the on-campus bookstore contract was renegotiated and awarded to Follett instead of Barnes and Noble. Follett has committed over \$400K in capital investments, \$10K in textbook scholarships and almost doubled the commission rates supporting our campus. Since Follett has taken control of the bookstore they have made several new marketing enhancements: Refurbishment of existing space; Book Signing “Southern Tailgating”; a Graduation Expo to promote sales of graduation supplies; a new “Text Rental” Program which has increased text book sales on campus; Pumpkin Carving contest; and most recently a marketing opportunity for UNA students who may win a book scholarship by assisting in marketing efforts. Their game day set up for football along with extended hours have increased their sales for football games by over 50%. They also set up a remote location at Flowers Hall to support Graduation. Their continued implementation of fresh ideas is bringing new life to the campus bookstore experience.
9. Also in the spring of 2010 the University Office of Procurement re-negotiated the campus food services agreement. The new agreement will bring new concepts to campus providing additional choices for everyone on campus. Over the next ten years, the new contract provides UNA over \$3.5M of capital investment; \$250K in Athletic Sponsorship; \$50K of meal-plan scholarships; and \$525K in catering funds to use for University advancement opportunities. Due to new meal plan options sales are up by over 5%, the addition of new retail services in FY2011 are expected to create a further increase to sales volume.
10. Our campus print solution has been supported through Pharos Software for over 5 years. This system provides students with the ability to use their Mane Cards to make prints on campus. After an extensive evaluation we have decided to move to a new software package called GoPrint. GoPrint solutions will eliminate the need to actually “swipe” the Mane Card. Students will be able to send a document to print through the internet by referencing their student ID. Their account will automatically be charged and they can pick up their prints at the printer chosen. GoPrint will provide easier access for students and is half the cost of the Pharos System so it will provide a cost savings of almost \$4,000 per year. This solution also allows the University to remove the workstation and card swipe locations. These locations cost the University in an annual user license fee and they require computer maintenance support. By eliminating these stations the University will be saving in resource management as well as the actual hard cost of ownership

5. Responses to Previous Review Recommendations

This portion is not applicable as no previous submission exists.

6. Vision and Plans for the Future of the area

The **Business Office** continues to seek ways to use technology to aid in the business processes necessary to the operation of the university. New methods of delivery of information, transfer of funds and reporting are continuously considered.

The following are some areas in which the department seeks to improve in the future:

- Image most paperwork that must be retained for a period of time, e.g., all documentation related to disbursements, contractual agreements, memos approving action on items, etc.
- Facilitate the purchase and use of event ticketing software enabling online transactions
- Examine the use of ACH payments to an increased number of vendors
- Expedite direct deposit for reimbursements to employees
- Update policies to continuously reflect current business practices and adherence to governmental regulations.

The **Offices of Human Resources** will continually seek areas for improvement of the processes and services it offers. In addition, new processes and services will be developed.

- *To improve the staff performance management program;* The current performance management program is more of a performance appraisal system. The form itself is somewhat outdated, and the process does not lend itself to an open, frank, exchange of information with regard to expectations and performance feedback between the employee and his/her supervisor. The Human Resources Office should retool the process so that it is interactive, focused on development, and current in terms of technology.
- *To further streamline the process for personnel actions;* Most requests for payment and other personnel actions are made via a paper-driven process with multiple approval levels. Based on the both the student employment and the new hire workflow models, the Human Resources Office endeavors to automate as many processes as are appropriate. Not only will this make us better stewards of the University's resources, but it will also improve accuracy and decrease processing time.
- *To use Xtender software to scan and attach electronic copies of forms to specific Banner records;* Both the Human Resources Office and the Payroll Office maintain a file for each employee. Many of the documents in the files are duplicates of one another. Xtender software was developed to make available scanned documents within the Banner forms to which they apply. The advantages for both offices are tremendous, from file storage space and cost reduction to time saved retrieving a paper file.
- *To continue the progress that has been made in the Compensation Ladder project;* The Compensation Ladder project was launched at the conclusion of the Classification and Compensation study with the purpose of encouraging and rewarding employees' efforts to enhance their knowledge and skills within their current positions. Phase one of the Compensation Ladder project was completed May, 2009. This phase involved the formation of subcommittees of job incumbents who completed and returned to the Staff Senate the first draft of a Compensation Ladder for each position represented by each subcommittee. The next phase is currently in progress and involves the Compensation Ladder committee's comprehensive review of each position's proposed ladder. Future phases include assigning recommended compensation to each compensable factor as well as developing policies that dictate how and when compensation is awarded, how professional development is funded, etc.

The **Office of Procurement** is constantly trying to improve on the turn-around- time for order placement; to create more and more robust procurement contracts that provide ease of business interaction and competitive support of all University needs; and strives to find better ways to communicate bid-law updates and standard policies for everyone spending or managing University funds.

To support this effort the Office of Procurement is working toward the following goals:

- Provide a re-education of on-line requisition creation to facilitate a move toward on-line requisition authorization and approval. This would eliminate the current requirement of submitting a signed hard copy of the requisition to the Office of Procurement and expedite the purchase order creation process.
- Update the Procurement Policy to better reflect current business practices.
- Improved on the Procurement website to add the following enhancements:
 - It would be our desire to have short training videos for requisition creation and procurement policies. Short videos may be preferred to some as opposed to simply reading each policy. Videos can provide examples and explanations which may make policies easier to understand.
 - Add the ability to register on-line as a potential supplier.
 - Add secure links to supplier websites, active contracts and bid tabulations accessible any time anyone needs to locate preferred suppliers.
 - Gain additional local and regional contracts encouraging and growing the Universities local relationships.
 - Create an on-line means of managing surplus property. Internally communicating items no longer needed by one department but may be needed elsewhere on campus. Externally advertising and accepting bids for surplus property through an on-line auction process, if possible, providing a more organized method of capturing surplus across multiple departments, providing on-line public exposure to such property, and continually removing unneeded excess making all areas more efficient and organized.
- Create the ability to systemically track contract terms. The goal would be to receive timely notifications for contract renewal and updates. This would assist in the resource planning process for larger contracts that require a lot of time and attention and the involvement of multiple departments. It would also provide an automated tool for the procurement team to notify departments who need to update annual bid lists in plenty of time for re-bid activity to occur.

7. Unit Recommendations

7.1 Recommendations for changes, which are within the control of the department, if appropriate.

Change is restricted by the governing powers of the State of Alabama and thus making departmental change options, areas of improvements. The Business Office, the Office of Procurement and the Office of Human Resources have outlined recommendations for improvements and change within section 6 of this document. In summary they are:

- Reduction of paper copies and an increase of systemic forms
- Continued improvement of internal controls
- Optimization of technology to streamline processes while maintaining control
- Continuous improvement of training and communication

7.2 Recommendations for changes that require action at the Vice President, Provost, or higher levels.

Office of Procurement

Currently the Procurement Department is a reactive organization and could be strengthened to provide a stronger more proactive service for faculty and staff. The only individual, by title, authorized to organize bid events, sign orders, negotiate contracts for purchased services & equipment subject to the bid law, etc is the Director. The Director’s responsibilities include, but are not limited to, management of all order placement, travel terms, insurance and claims, facilitates and audits the purchasing card program, negotiates rental and maintenance agreements, vending contracts, manage suppliers and on-site contractors, facilitate the reconciliation of invoices and any other function that requires University expenditures. In addition to the facilitation of all general procurement functions, the director is responsible for managing the operation of the Print Shop & the Mane Card office.

The current procurement staff consists of a Senior Administrative Secretary and an Inventory Control Specialist who key orders but are not tasked or authorized to truly add value to the University by owning the whole process of procurement. Managing the total communication with suppliers and contractors to reduce issues and better manage spend.

The Procurement office should have experts capable of directing buys to the most cost efficient suppliers based on commodity and market knowledge. Historical buys should be anticipated, pre-negotiated and quickly administered at the time of need. Suppliers must be formally assessed (scorecard) to enable the University the ability to disqualify sources that do not perform while encouraging excellence through measurement tools. More system automation and web based tools are needed to expedite the buying process and enhance visibility and communication of existing policies, contracts, and bids.

Any growth in the procurement office has been created by internal movement of personnel with no procurement training or background and with preconceived philosophies based on historical assumptions of roles and responsibilities, creating the reactive mode that does not adequately service the University. It pushes the bulk of the procurement function onto the Faculty and Staff members themselves. This fosters the risk of noncompliance to bid laws and adds unnecessary frustration to the faculty and staff members as a whole. Due to this environment the majority of the directors time is spent in tasks that could be shared with an associate of adequate experience and the director could focus on construction projects, growth of supplier contracts, close management of on-site contractors, systemic enhancements to procurement, the print shop and mane card office to provide stronger support to all who require these services.

The Procurement Office recommends the following structure for consideration and approval:

Director of Procurement (Advancement opportunity: Executive Director of Procurement)

- **Associate Dir. of Procurement (Advancement opportunity: Director of Procurement)**
- **Buyer (Career Advancement option: Senior Buyer)**
- **Procurement Administrative Assistant (Advancement opportunity: Buyer)**

This would add one new position to the existing department and provide for career advancement opportunities within the procurement office. The major difference in Senior Buyer and Associate Director

must relate directly to experience, as well as the move from Director to Executive Director. This structure would provide an opportunity to support more structured ownership for areas of University Procurement that need more detailed attention, for example: construction contracts and grants.