

Administrative and Educational Support Report

Office of the Comptroller

**Annual Action Plan
Annual Assessment Report**

June 2005 – May 2006



Annual Action Plan: June 1, 2005–May 31, 2006

Unit: Office of the Vice-President for Business Affairs/Comptroller

UTPA Mission: The University of Texas-Pan American (UTPA) serves the higher education needs of a rapidly growing, international, multicultural population in the South Texas Region. The University preserves, transmits and creates knowledge to serve the cultural, civic, and economic advancement of the region and the state. The University provides students advanced instruction in academic programs offered through innovative delivery systems that lead to professional certification, and baccalaureate, master’s and doctoral degrees. Through teaching, research, creative activity and public service, UTPA prepares students for lifelong learning and leadership roles in the state, nation and world community.

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Unit Goal: The Office of the Comptroller pursues its mission by accomplishing the following goals:

- a. Ensure financial integrity of the University by managing funds in accordance with sound accounting principles and appropriate policies, laws and regulations.
- b. Manage fiscal operations and provide accounting, financial and auxiliary services.
- c. Incorporate technology enhancements in order to provide better services to the University clientele.
- d. Assist and support campus community in providing training, answering questions, and providing timely and accurate financial information.
- e. Safeguard University assets.
- f. Provide outstanding courteous customer service.

Link to UTPA Goal(s): 3. Improve UTPA’s organizational effectiveness

Unit Objective (Action Priority: #1 is highest)	Link to UTPA Objective	Expected Outcome for Unit Objective (AA-Measurable Objective)	Strategy(ies) to Achieve Expected Outcomes	Assessment Criteria, Evaluation Methods for Expected Outcome	New Resources Needed in FY06
Identify potential areas of risk. (1)	7	Risk monitoring plan.	Complete self-assessment risk test by	UT System Risk Self Assessment.	None

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			categorizing and prioritizing areas of risks for each department.		
Implement Oracle Financial/Human Resources Software. (2)	7	Better efficiency and effectiveness of business processes.	<ul style="list-style-type: none"> Identify and address deficiencies in current system. Analyze areas for potential improvement. Configure Oracle Software to address University needs. 	<ul style="list-style-type: none"> Fit-Gap Analysis Oracle Implementation Project Plan 	<p>Additional staffing resources for Business Analysts and backfill positions</p> <p>Additional funds for consultant services, documentation development and training programs</p>
Implement Banner Student Information System. (3)	7	Better efficiency and effectiveness of business processes related to registration, student loan, receivable collections and financial aid accounting.	<ul style="list-style-type: none"> Identify and address deficiencies in current system Analyze areas for potential improvement Configure Banner Software to address University needs 	<p>Fit-Gap Analysis</p> <p>Banner Implementation Project Plan</p>	<p>Additional staffing resources for Business Analysts and backfill positions</p> <p>Additional funds for consultant services, documentation development and training programs</p>
Implement Cashiering System. (4)	7	Better efficiency and effectiveness of receipting, depositing and recording of funds collected.	<ul style="list-style-type: none"> Identify and address deficiencies in current process. Analyze areas for potential improvement. Configure cashiering software to address University needs. 	<p>Fit-Gap Analysis</p> <p>Cashiering System Implementation Project Plan</p>	<p>Additional staffing resources for Business Analysts and backfill positions.</p> <p>Additional funds for consultant services, documentation development and training programs.</p> <p>Additional software and hardware equipment.</p>

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Provide quality customer service. (5)	7	<ul style="list-style-type: none"> • Better customer satisfaction. • More University revenues for campus card program. 	<ul style="list-style-type: none"> • Locate comment cards and suggestion boxes in areas of student customer service. • Analyze complaints to improve business processes/operating procedures for P&C and Loan Collections. • Implement campus card program to allow for single point of contact for various services throughout the campus. 	<ul style="list-style-type: none"> • Expect Excellence Cards • Transaction Usage Reports on campus cards. 	<ul style="list-style-type: none"> • Additional cards/boxes as needed. • Acquisition of Diebold CS Gold Software and related hardware and training.
Safeguard personal information per UT System <i>Business Procedure Memorandum (BPM) 66.</i> (6)	7	Safeguarded personal information as mandated by Federal Law.	<ul style="list-style-type: none"> • Identify areas where students are required to provide their SSN to retrieve information. • Review the current process and implement changes as required to comply with <i>BPM 66</i>. 	The Office of Records and Retention Management review for compliance of <i>BPM 66</i> requirements.	Additional software and hardware equipment
Streamline the emergency loan process. (7)	7	Improved customer service.	<ul style="list-style-type: none"> • Evaluate student complaints on inconvenience of emergency loan 	Transaction reports on emergency loan activity.	None

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			process. <ul style="list-style-type: none"> Assess electronic signatures on promissory notes. 		

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Safeguard personal credit card information. (8)	7	Compliance with Visa and MasterCard security requirements.	Revise current access to credit card information.	Self-assessment Survey	Potentially additional software and equipment
Encourage staff development and strengthen the department's effectiveness. (9)	7	<ul style="list-style-type: none"> Better efficiency and effectiveness of employee and manager. Better customer perception of departments. Improved customer satisfaction. 	<ul style="list-style-type: none"> Examine employee feedback on evaluation form. Increase training for employees (on-the-job training, cross-training, customer relations training and off-campus workshops). Promote employees within the organization when positions become available. Reward employee performance via employee awards, merits, etc. 	<ul style="list-style-type: none"> SEPAP Annual Employee Appraisals Expect Excellence Cards Independent Evaluations 	Additional funds for training programs or promotions as needed.

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			<ul style="list-style-type: none"> Emphasize professional atmosphere in the workplace. 		
Provide transportation services to students. (10)	7	More access to remote parking areas of campus.	<ul style="list-style-type: none"> Evaluate student complaints on lack of parking spaces. Develop cost/benefit analysis for different options to provide transportation to students. 	<ul style="list-style-type: none"> Ad hoc parking and transportation committee. Track rider participation by keeping daily logs. 	Additional funds to purchase vehicles and to provide transportation services to students (including salaries for staff, gas, and other maintenance costs).
Ensure accuracy of financial statements and compliance with GASB requirements. (11)	7	Compliance with State and Governmental standards for financial statements.	<ul style="list-style-type: none"> Evaluate University financial transaction records. Implement required changes in financial reporting. 	Deloitte & Touch Audit	None.
Provide storage space at the Haggar Plant for departments while ensuring compliance with State laws and regulations on the safeguarding of assets. (12)	7	Policy in the <i>Handbook of Operating Procedures (HOP)</i> that outlines the appropriate procedures that departments must follow when requesting storage space.	<ul style="list-style-type: none"> Evaluate the current process for providing departments with storage space. Design a form that will require approval for storage at the Haggar Plant from the Building Supervisor or VPBA. 	Inventory audit finding	Additional gates or storage spaces to service department's needs.



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Unit Objective (Priority: #1 is highest)	Link to UTPA Objective	Expected Outcome	Assessment Criteria, Evaluation Methods	Assessment Results (Use actual data to describe annual performance)	Use of Results (What change was made?)
Identify potential areas of risk. (1)	7	Risk monitoring plan.	UT System Risk Self Assessment.	Areas of risks were categorized and	Surveillance cameras were installed in

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				prioritized according to graphical representation.	Payments and Collections to enhance security.
Implement Oracle Financial/Human Resources Software. (2)	7	Better efficiency and effectiveness of business processes.	<ul style="list-style-type: none"> • Fit-Gap Analysis • Oracle Implementation Project Plan 	<ul style="list-style-type: none"> • Business processes were identified and re-designed. • Input was solicited from the University community in an open forum. 	<ul style="list-style-type: none"> • Suggestions and recommendations were addressed and incorporated into our business processes. • Currently testing these processes in Oracle to be implemented on 9/1/2006.
Implement Banner Student Information System. (3)	7	Better efficiency and effectiveness of business processes related to registration, student loan, receivable collections and financial aid accounting	Fit-Gap Analysis Banner Implementation Project Plan	Implementation teams have been identified and have attended pre-implementation workshops with SCT consultants.	Implementation team currently working on developing project plan.
Implement Cashiering System. (4)	7	Better efficiency and effectiveness of receipting, depositing and recording of funds collected.	Fit-Gap Analysis Cashiering System Implementation Project Plan	<ul style="list-style-type: none"> • Business processes were identified and designed. • Input was solicited from end-users. 	<ul style="list-style-type: none"> • Design phase has been completed for cashiering system. Currently working on the final stages of development and is scheduled for implementation on 9/1/2006.

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Provide quality customer service. (5)	7	<ul style="list-style-type: none"> Better customer satisfaction. More University revenues for campus card program. 	<ul style="list-style-type: none"> Expect Excellence Cards Transaction Usage Reports on campus cards 	Identified the need to improve Payments & Collections (P&C) area to reduce waiting time.	<ul style="list-style-type: none"> Remodeled the P&C department to incorporate additional cashiering stations. P&C staff attended customer service training.
Safeguard personal information per UT System <i>Business Procedure Memorandum (BPM) 66</i> . (6)	7	Safeguarded personal information as mandated by Federal Law.	The Office of Records and Retention Management conducted a review for compliance of <i>BPM 66</i> requirements.	Reviewed indicated risk associated with verbal gathering of personal information (SSN).	Installed ID key pads in Payments & Collections to allow students to enter their SSN.
Streamline the emergency loan process. (7)	7	Improved customer service.	Transaction reports on emergency loan activity.	Determined the need to implement electronic signatures when obtaining emergency loans.	To be evaluated during the implementation of the student software system.
Safeguard personal credit card information. (8)	7	Compliance with Visa and MasterCard security requirements.	Self-assessment Survey	Survey results indicated compliance with industry standards.	Determined that no changes are required.
Encourage staff development and strengthen the department's effectiveness. (9)	7	<p>Better efficiency and effectiveness of employee and manager.</p> <p>Better customer perception of departments.</p> <p>Improved customer</p>	<ul style="list-style-type: none"> SEPAP Annual Employee Appraisals Expect Excellence Cards Independent Evaluations 	Determined the need to increase staff development for department effectiveness.	Grants & Contracts, Payments & Collections, Loan Collections, Assets Management, and Auxiliary Services attended various workshops.

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		satisfaction.			
Provide transportation services to students. (10)	7	More access to remote parking areas of campus.	<ul style="list-style-type: none"> • Ad hoc parking and transportation committee. • Track rider participation by keeping daily logs. 	Ridership increased substantially identifying the need to increase fleet.	Acquisition of two additional shuttle buses and development of additional routes.
Ensure accuracy of financial statements and compliance with GASB requirements. (11)	7	Compliance with State and Governmental standards for financial statements.	Deloitte & Touch Audit	No significant findings were identified in the Annual Financial Report for FY05.	<p>The following recommendations were implemented:</p> <ul style="list-style-type: none"> • New methodology was implemented to include portion of compensable absences that employees would take in the next year; compensable absences were reclassified from non-current to current. • Office of the Provost currently working with the Library and the Art Department to assess value of rare book

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					<p>collections, historical treasures, and art collections for notification to Assets Management and inclusion to the financial statements.</p> <ul style="list-style-type: none"> • Management worked with programming staff to address problem with receivable account; net effect of error was zero. • Federal Perkins Loans with a due date of less than one year were classified as current assets, and loans with a due date greater than one year were reported as non-current assets on the Balance Sheet. • Management

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					worked with programming staff and made necessary changes to the accounting feeds from the student information system to post scholarships as a Prepaid Expense and not as Accounts Receivable.
Provide storage space at the Haggar Plant for departments while ensuring compliance with State laws and regulations on the safeguarding of assets. (12)	7	Policy in the <i>Handbook of Operating Procedures (HOP)</i> that outlines the appropriate procedures that departments must follow when requesting storage space.	Inventory audit finding	Determined the need to improve storage process to minimize the risk of misplacing or damaging assets.	Developed internal procedures approved by management and reviewed by internal audits that require departments requesting storage space to prepare a request in writing, complete a work order, and provide Assets Management with a detailed list of items to be stored at Haggar.