NC State Finance & Business Assessment Study – 2004
Executive Summary

NC State is currently undergoing the reaffirmation of accreditation by the Southern Association of Colleges and Schools (SACS). In response to a university self-study by the NC State Compliance Committee, and in preparation of the SACS visit, Finance & Business (F&B) assessed its own initiatives to track the quality and accuracy of efforts. Below is a summary of findings and a process for continuation of assessment tracking within Finance & Business beyond the reaffirmation process.

SACS Directive Standard 16
F&B defined assessment based on the SACS Directive Standard 16. This standard reads, "The institution identifies expected outcomes for its educational programs and its administrative and educational support services; assesses whether it achieves these outcomes; and provides evidence of improvement based on analysis of those results."

F&B Challenge
Finance and Business is an organization comprised of six unique and independent departments. These departments include Financial Services, Environmental Health & Public Services, Facilities, Resource Management & Information Systems, Human Resources, and University Treasurer. Because of the unique nature of each organization's services, allowing for independent assessment initiatives provides for valuable data that is meaningful and reflective of the needs of each organization. The Compact Plan goal setting process becomes the unifying directive in driving assessment. Initiatives across the organization show the diverse, yet effective initiatives in capturing operational and customer needs for service continuance or change.

F&B Assessment Team Initiative
Finance and Businesses has established an Assessment Team, with senior level support and direction, that is charged with reviewing assessment initiatives, confirming initiative use, reviewing outcomes and how they impact goals/or make changes to work towards accomplishment of unit goals, identifying unit goals and ownership of initiatives, and creating division wide assessment plans that are driven by compact planning and employee work planning processes. This team, instituted by Mr. George Worsley, Vice Chancellor for Finance & Business, directed members to:

- Work with NC State Compliance Committee in confirming the accuracy of the already documented assessment initiatives
- Confirm or document expected assessment outcomes that currently exist with each department
- Confirm or document how these outcomes are being used to improve the organization
- Serve as a resource with assessment initiatives as a standing member representing their unit initiatives

The creation of this team has enabled Finance & Business to identify and document strengths of assessment within the organization. The team also was able to review compact plans, individual work plans, unit goal setting, and review how assessment is impacting the accomplishment of established goals.

Finance & Business Assessment Team Members Include:

Treasurers Office	**RMIS**	**EH&Public Safety**	**Financial Services**	**Facilities**	**Human Resources**
Jill Tasaico Director – Financials Accounting & Investing	Greg Sparks Director – Network & Client Services	David Rainer Associate Vice Chancellor – EH&S	Ernie Murphrey Executive Director – Financial Services	Don Idding Facility Architect	Deborah Wright Assistant Director – Classification
Richard Hayes Director – Bookstore			Bob Wood Director – Materials Management	Kathy Bass Administrative Assistant – Facilities Directors Office	Kathy Lambert Assistant Director – Employment
Susan Holton Special Project Accountant			Cliff Flood University Controller	Mike Harwood University Architect	Wanda Karangelen – Assistant Director-Salary Administration/Computer Information Services
			Earl Pulliam Director – Contract & Grants	Howard Harrell Director – Real Estate	Kevin Rice Assistant Director – Employee & Organizational Development
			Bruce Forinash Director – Cashier & Student Accounts	Carol Woodyard Director – Construction Management	Galen Jones Assistant Director – Employee Relations
					Greg Cain Assistant Director – Transportation
					Yvette McMillan Director – Benefits
					Franki Senter Payroll Manager

Initiative Tracking

Members of the F&B Assessment Team are charged with representing their departments in reviewing assessment initiatives and outcomes related to their established compact plan (department goal setting) and staff work plan initiatives. All departmental initiatives should contribute to the completion of team and departmental goals. Team members were asked to identify assessment initiatives, the audience for assessment initiatives, the logistics of when initiatives take place, and how results are being used to change the organization. Finally, team representatives are working with each initiate owner in confirming:

- Initiatives are active and ongoing
- Initiatives have assigned organizational ownership

- Documentation of results and change initiatives are in place
- Initiatives contribute to the organizational goals established in the Compact Plan

Documentation of the above initiatives are tracked in an F&B assessment Worksheet. This central repository of the various assessment initiatives gives the F&B Team an opportunity to review initiatives, how initiatives are used, and who owns each process. Below is an excerpt from the Assessment Worksheet.

F& B Assessment Worksheet

Division: HR
Department: E&OD
Name: Kevin Rice

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/Outcome	Owner
E&OD Compact Plan	E&OD Organization	Annual Goal Setting	Set Strategic Direction for Unit. All tasks should address Compact Plan Initiatives	Kevin Rice
E&OD Staff Work Plans	Individual Employees	Annual and Bi-Annual Reviews	Individual key Responsibilities Established w/Expected Level of Performance and Method(s) of Evaluation.	Kevin Rice & Staff
End of Course Evaluations – Survey	Class Participants	End of Course Delivered	Review immediate perception of class participants on effectiveness of training, quality of materials, quality of instruction, knowledge of subject matter, comfort level.	Individual Facilitators

F&B Assessment Results
Assessment Team members have identified assessment initiatives and captured active assessment efforts within their organization. From the results, we have determined there are two types of active assessment efforts within Finance & Business. They include:

1- *Customer Feedback Efforts*- Data from F&B units revealed traditional assessment efforts taking place. This date captured opinions from the customer regarding satisfaction of the services/deliverables or opinions about future services/deliverables. Initiatives included conducting surveys, interviews, and public hearings.

2- *Operational Impact Efforts*- Date from F&B units noted efforts that monitored the accomplishment of goals. These efforts take place to ensure the unit is successfully meeting their established objectives (ideally documented in their unit compact plan or individual work plan), through services level agreements, established by a governing agency, or work unit expectations. Initiatives include running software queries, following established procedural guidelines, observing and reviewing coworker performance, internal audits, etc.

A combined F&B table can be found at http://www.ncsu.edu/hr/eod/doc/fbassess.doc.

F&B Continuation & Next Steps
The F&B Team will hold semi-annual Share Our Successes (SOS) meetings. The first round of SOS meetings have taken place. The meetings took place on March 2nd, 3rd, and 5th. The next SOS meeting is scheduled for October 2004 and semi-annually thereafter. These meeting will allow the team to discuss documented assessment efforts and brainstorm how we can best find a balance between the two types of efforts within our own units. During these meetings, team members will share with efforts are successful, and share challenges within their organization in regards to assessment. Team members will be asked to complete and sign the below semi-annual checklist.

Semi-Annual F&B Assessment Check List
Please Complete Prior to Semi-Annual F&B Assessment SOS Meeting

√	Semi-Annual Assessment Review – Please Check to Confirm Completion
□	F&B Unit's Assessment Worksheet Has Been Updated
□	Assessment Initiative Corresponds to Compact Plan(s)
□	Assessment Initiative Has Been Assigned to An Owner
□	Assessment Initiative Has Documentation to Report Results/Change
□	Assessment Worksheet Has Been Saved to Master File
□	Other suggested check points?

F&B Assessment
Team Representative: ____________________________

Signature/Date: _________________________________

F&B Assessment Summary

Finance & Business, under the direction of senior leadership, has created a means to capture, assess, confirm ownership, and create a strategy to oversee and administer assessment continuance and change. This process enables the diverse work units to use their own unique initiatives, both customer and operational efforts, in assessing service while keeping an eye on organizational goals. The creation of the F&B Assessment Team provides the venue to identify strengths and challenges, and share these strengths and challenges in semi-annual Share Our Successes meetings. Prior to these meetings, each Finance & Business unit will be asked to confirm assessment efforts are ongoing, reflective of organizational goals, have assigned ownership, and ensure that the documentation is added to the master file for group distribution.

Division: Environmental Health and Public Safety
Department: Campus Police, Environmental Health, and Insurance and Risk Management
Name: David Rainer

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Radiation Safety Program Review	Radiation Safety Program	Annual	Required to maintain license to possess radioactive materials	Amy Orders
USA Patriot Act Select Agents	All affected investigators	• Program assessment every three years • Lab review every year	Inspections are required to possess select agents and toxins	David Rainer
Public/ Community Survey of Campus Police/ Campus Safety	Affiliated University personnel	Every three years/ required for Police Department accreditation	Maintain accreditation/ gauge perception of campus safety and adjust patrols accordingly	Tom Younce
Continuous self-assessment of OSHA compliance and chemical safety	Campus units using hazardous materials and/ or physical hazards	Ongoing/ each program component is assigned to EH & S team member	EH & S programs benchmarked against compliance standards	Ken Kretchman
Review of Hazardous Waste Contractor	Hazardous Waste Contractor	Annual	Review is used to determine compliance with Resource Conservation and Recovery Act (RCRA)	Rob Pecarina
Review departmental insurance coverage	All University departments and facilities	Annual	Review is used to determine if departments have appropriate level of insurance coverage	Jim Semple

Division: Facilities
Department: Construction Management
Name: Carol Woodyard

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Evaluate the prime contractor on capital improvements and projects over $300,000 in cost.	NC State Construction Project Managers, State Construction Office Monitors (when project is over $2 million) and design consultant	Complete standard State Construction Office contractor evaluation form at the completion of every project.	Less-than-satisfactory evaluations can disqualify contractors from bidding on State capital projects	Construction Management: Carol Woodyard
Evaluate the design consultant on capital improvements and projects over $300,000 in cost.	NC State Construction Project Managers and Design Project Managers	Complete standard State Construction Office designer evaluation form at the completion of every project.	Evaluations can dramatically affect future designer selections, as they are qualifications-based.	Construction Management: Carol Woodyard Facilities Planning and Design: Bob Fraser
Seek customer input/feedback on smaller construction projects under $300,000 for design quality and service, contractor performance and staff performance.	Construction Customers – University Employees	Provide customers with a survey at completion of the project. Survey is forwarded through campus mail directly to the project manager's supervisor.	Customer feedback is important to keep a "pulse" on project manager effectiveness in project and customer management, and is also useful to determine specific developmental needs for individuals. This is also a useful tool when the project manager evaluates the designers and contractors. Unfortunately not all customers reply.	Construction Management: Carol Woodyard

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Evaluate the prime contractor on construction projects under $300,000.	NC State Construction Project Managers	Complete a standard NC State contractor evaluation form at the completion of every project over $5,000.	Contractor evaluations directly affect contractor qualifications for both competitive bid and for time & materials projects. Contractors are qualified annually in formal contractor selection Committees.	Construction Management: Carol Woodyard
Evaluate the design consultant on construction projects under $300,000 in cost.	NC State Construction Project Managers	Complete standard NC State Designer Evaluation form at the completion of every project that has involvement of an "Open End Service Agreement Designer" (OESAD).	Designer evaluations directly affect future designer selections as an NC State OESAD, which is made bi-annually by the Facilities Planning and Design Department (FPD). Construction Management periodically forwards its designer evaluations to the FPD for their use.	Construction Management: Carol Woodyard

Division: Facilities
Department: Facilities Operations
Name: Kathy Bass

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Customer Satisfaction Surveys	Building Liaisons	Facilities Operations annually (in the Spring) surveys Building Liaisons to obtain feedback and ratings from campus customers on services that are provided to them from various units within Facilities Operations.	Surveys are tabulated and the results are forwarded to the Director and Assistant Directors. The data is utilized to evaluate staff performance and make continuous improvements	Sam Miller, Stefanie Saunders
Building Liaison Briefings	Building Liaisons and Facility Coordinators	Building Liaison Briefings are conducted annually (in the Fall). Attendees have a choice of attending one of three sessions. All sessions are held in a classroom setting and last approximately two hours.	Attendees are presented with information to assist them with performing their roles as Building Liaisons and feedback received from liaisons is used to improve customer service.	Sam Miller, Stefanie Saunders
Customer Renovation Project Satisfaction Surveys	Campus Customers	The surveys are e-mailed to randomly selected customers after a planned renovation has been completed. This is done on a monthly basis.	The survey is devised for the customer to rate different aspects of the work. Upon receipt of the surveys, the Customer Service Center Staff tabulates the results and forwards them to R&R	Sam Miller, Stefanie Saunders

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
			Superintendent for review and to make adjustments as needed to improve customer service.	
Door Hanger Program – As a result of customer feedback, Facilities Operations initiated a door hanger program to improve communications with the customer and provide a means of feedback on the quality of service delivery.	Campus Customers	Door hangers are to be left in the event that the customer is not available when the person responding is leaving the job site. Hangers are to be left regardless of whether the job has been completed or not. This is to be done consistently by all shops and to be done on a daily basis.	Usage of the hangers is to inform the customer as to the status of work being performed. There is a brief survey for the customer to rate the services that were provided and mail to the Customer Service Center (CSC). Upon receipt of the surveys, the CSC staff will direct the surveys to the appropriate shop supervisor for review and to make the adjustments as needed to improve service and communication with the customer.	Sam Miller, Stefanie Saunders
Customer Follow-Ups to Priority #1 Work Requests	Campus Customers	Customers are followed up with on a daily basis.	The CSC staff attempts to contact all customers that call in Priority #1 work requests (urgent) the preceding day. The intent is to find out from	Sam Miller, Stefanie Saunders, Michelle Holland, Denise

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
			the customer if their particular request was responded to. If the request has not been responded to, the CSC staff contacts the responsible shop supervisor and obtains a status report. After obtaining this information, the CSC calls the customer back and informs them of the status of their work request.	Caldrone

Division: Finance and Business
Department: Facilities Planning and Design
Name: Don Iddings, 515-8058, don_Iddings@ncsu.edu

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
1.Measure design performance on informal projects (construction cost below $330K). A questionnaire covering five design measurements is sent to customer.	Customers from the NCSU Campus community who have requested our construction design assistance	Questionnaire is sent out at the construction close out to the individual who requested the design. Questions addressed are: 1. Adequacy and frequency of progress updates 2. Responsiveness and courtesy 3. Budget on target 4. Schedule on target 5. Design quality	Results used to review our design process and skills and individual project manager performance.	Bob Fraser, Director of FPD Don Iddings, Supervisor, Inf. Projects
2.Measure performance of design professionals hired to design and administer construction of architectural and engineering construction projects.	NCSU Construction project managers from FPD and Construction Management. And the general contractors who built the project.	This assessment is carried out using a State Construction Office form. Phase one of the assessment is completed at the end of design. Phase two is completed at the end of construction.	Results are used on a statewide database for all users of design professionals.	Bob Fraser, Director of FPD Warren Follum Supervisor, Formal Projects State Const. Office
3.Monitor project budgets for all newly created projects. The form of the budgets are uniform with the funding on one side of the budget sheet and the project costs on the left side of the sheet. Budgets are reviewed and	State Construction Office. UNC General Administration, Office of the Pres.	Project Managers will review project budgets with designers and building users on a regular basis and whenever changes occur in project scope. OC-25 (budget document) will be delivered at the close of Design Development for	**All of the OC-25's will delivered to the SCO at the DD phase of the projects. The percentage of projects bid under budget will be**	Bob Fraser, Director of FPD FPD Project Mgrs

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
reconciled at each phase of the project. OC-25's (SCO budget documentation) are delivered to the SCO after DD of each bond and Non-Bond funded project over $2 million dollars in value. Goal is to have all project completed within the established budget.	Campus Community building users	each project. All budgets are carefully reconciled at the Construction Document phase to ensure a successful bid. Budget and bid information are transmitted to UNC GA and SCO	**quantified. Bid results are reviewed and resulting information used for improving the percentage of projects bid on target.**	
4.Monitor project for all newly created projects. Schedules will be based on standard milestones and based on project complexity and scope. Schedules are reviewed and at each phase of the project and modified to as necessary. Schedule modifications require documentation. The goal is to have all projects completed on schedule. Schedule information is kept on a master schedule shared with UNC GA, Office of the President.	UNC General Administration, Office of the Pres. Campus Community building users	Project Managers will review project schedules with designers and building users on a regular basis and whenever changes occur in project scope. Schedule information is transmitted to UNC GA and the campus community on a regular basis (monthly) and as schedules are modified.	**The percentage of projects completed according to schedule is quantified. Project durations beyond schedule are reviewed and resulting data is used for improving the percentage of projects completed on schedule. This information is shared internally and with UNC GA.**	Bob Fraser, Director of FPD FPD Project Mgrs.

Department: **Real Estate**
Name: **Howard Harrell**

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Tenant Satisfaction Survey	Tenants occupying office and laboratory space on the Centennial Campus	Periodic survey of tenants on the Centennial Campus conducted on an annual basis. Survey was found to duplicate similar survey being conducted by Facilities Operations. Survey has been consolidated into the Facilities Operations survey to eliminate duplicate activity for the tenants.	Used to identify customer concerns/satisfaction with facilities that are being leased on the Centennial Campus. Allows for proactive actions to be taken to head off conflicts that might impact renewal of leases on the campus. Average rating of 4 out of possible 5 on last survey.	Facilities Operations is current owner of consolidated survey.

Division: Facilities Division
Department: Office of the University Architect
Name: Michael Harwood, University Architect

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Increase HUB Designer participation in NC State Design Projects	Design Community	Initial baseline measurement in March 2004, HUB Designer participation targets examined annually.	Establish HUB Designer participation goals & measure progress	Michael Harwood
Evaluate effectiveness of the Physical Master Plan	University Community	Compare current plan with new requests and studies by various campus units. Biannually update master plan rendering and post to the web.	Reflect the current 10-year capital plan in the master plan rendering for internal and external customers to use for future planning efforts	Michael Harwood & Kathleen O'Brien
Assess compliance of Capital Project Improvements with Physical Master Plan	Facilities Planning and Design Project Managers and Design Consultants	Scope Statements for each Capital project are developed prior to Designer Selection. Project is evaluated at each of the three design stages; completed scope statements will be posted on UA home page.	Provide evaluation tool to measure success of capital improvements in implementing the Physical Master Plan.	Sallie Ricks, Tom Hunter, Lisa Johnson and OUA Staff
Determine ability to maintain effective business operations	Internal university customers	Develop a Disaster Recovery / Business Continuity Plan for OUA critical processes, by May 2004; plan reviewed and updated annually thereafter.	Development of mitigation and contingency procedures	Lisa Johnson

Division: Financial Services
Department: Cashier's Office
Name: Bruce Forinash

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Customer impact tools: The purpose of these tools is to get input from the students, parents and staff that are served by the UCO. The goal is to obtain objective information and development of an action plan to address the problem areas.				
1. Web-based form - located on Cashier web page. Respoonses are routed to Director	1. Students/parents who access web page	1. Daily	1. Information is used to: resolve customer problem; review internal policy/procedure and make improvements.	1. Forinash
2. Form at front desk - standard customer satisfaction form. Forms go to Director for review, then maintained in file by Admin Secty	2. Students/parents who visit office	2. Daily	2. Same as #1	2. T. Minor

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
3. E-mail - department e-mails are routed to person who handles area. Problems routed to Manager/Director	3. All customer groups	3. Daily	3. Same as #1	3. Forinash
4. Phone calls - generally direct to Customer Service Reps; problems to Manager/Director	4. Same as #3	4. Daily	4. Same as #1	4. Forinash
5. Correspondence - routed to appropriate Manager/Director	5. Same as #3	5. Daily	5. Same as #1	5. Forinash
6. Student surveys - results published by UPA. Reviewed periodically by Director. Summary of written comments sent to Director by UPA.	6. Students	6. Annual	6. Evaluate broad impression of department among students; set training objectives	6. Forinash
7. Personal visits - over 120 students visit UCO on average day. Parents and staff visit as well.	7. All customer groups	7. Daily	7. Same as #1	7. Staff
8. Feedback at presentations - annual parent presentations during orientation, given in cooperation with OSFA.	8. Parents	8. Annual	8. Evaluate effectiveness of communication to parents/students	8. Forinash

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
9. Compact plan/annual review - develop goals with Exec Dir F&B	9. Management	9. Annual	9. Establish goals; outcomes; priorities	9. Forinash
Department statistics - selected operating statistics to monitor department performance	Department/division management	Monthly	Evaluate trends; staffing levels; effectiveness of initiatives	Forinash
Benchmarks from peer schools - information from peer and other major national universities regarding services offered, communication methods, etc.	Department/division management	As needed	Evaluation of performance vis-à-vis similar institutions; see what services are common to other schools, therefore what students and perents will expect in the way of services at NCSU	Forinash
Audit reports - periodic reviews by State and Internal Audit which focus on various financial or operational areas.	Department/senior management	Periodic	Comparison of department performance to regulatory and policy requirements	Forinash
Departmental budget reports - monthly reports showing actual costs compared to budget by major purpose.	Department management	Monthly	Management of activity within allotted budget	T. Minor

Division: Financial Services
Department: Office of Contracts & Grants
Name: Earl Pulliam

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Workshop/Training Program - Five workshops are currently offered on an on-going basis – Post Award Administrative Compliance, Introduction to Cost Accounting Standards, Cost Sharing, Payroll Reallocations, and The Employee Activity Reporting System (TEARS). Other workshops are offered on an as-needed or as-requested basis.	Campus personnel involved in research administration	For on-going workshops the goal is at least twice per year, however, the actual number of times offered depends upon the need. The need may be dependent on factors such as turnover among research administration personnel, feedback and requests from campus, and changes in the regulatory environment. Other workshops are only offered on an as-needed, or as-requested basis. These are from specific requests from the college/business unit and are generally tailored for a specific audience or specific content area._Specific examples include: a Compliance/Cost Accounting Standards hybrid workshop developed specifically for graduate students considering entering the research arena (developed for the College of Natural Resources); a modified Cost Accounting Standards	Used to convey post-award administration knowledge of compliance and regulatory issues (Post Award Administrative Compliance, Introduction to Cost Accounting Standards, Cost Sharing) or systems knowledge (Payroll Reallocations, The Employee Activity Reporting System (TEARS).	Michelle Phillips, Sharon Boyd, Mike Dickerson, Joy Leggett

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
		workshop designed specifically for faculty from a specific college or department.		
Participation in university committees – The office has formal representation on three university committees: Research Support Council	Campus personnel involved in research administration Campus personnel involved in sponsored research administrative activities	Meetings are held monthly.	To meet the requirements of Faculty, the University, Sponsors and administrative personnel through effective and cooperative leadership in implementing sponsored research activities, training, and continuous improvement in practices and processes **An example of a significant outcome that has resulted from involvement in this council and its assessment of**	Sharon Boyd

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Research Operations Council	Associate Deans for Research, Associate Vice-Chancellors, Asst. Vice-Chancellor for Research Administration	Meetings are held monthly	**operations/business practices is a review and analysis of the project closeout process. A campus survey relevant to the current process was conducted and results were reviewed/analyzed by Contracts and Grants. A focus group including various key personnel in the research administration campus community was then formed to further discuss this critical process and consider possible reengineering of the current procedures.** To improve the development, conduct, and administration of research programs at the University **An example of a**	Earl Pulliam

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
University Research Committee	Research faculty members	Meetings are held monthly during the academic year	**significant outcome that has resulted from involvement in this council and assessment of operations/business practices was the development of an electronic Prior Approval system. This system, when completed, will provide specific information to various levels of research administrators on post-award actions and their status. It will also provide a measurable tool for performance and assessment of the process. Another example is the development of a web-based application that will allow Principal Investigator's to easily access and understand financial information related to their research projects. A third**	

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
			example is the development of a web-based database that will allow researchers and research administrators the ability to look up attributes related to their research projects (replacement of DRAS reports). The objectives of this committee are to develop procedures for the administration of research, to keep the Faculty informed on the availability of support for research and professional development, assisting as it can in securing such support **An example of a significant outcome that has resulted from involvement in this council and assessment**	Earl Pulliam

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
			of operations/business practices was the development of an electronic Prior Approval system. This system, when completed, will provide specific information to various levels of research administrators on post-award actions and their status. It will also provide a measurable tool for performance and assessment of the process. Another example is the development of a web-based application that will allow Principal Investigator's to easily access and understand financial information related to their research projects. A third example is the development of a web-based database that will allow researchers and	

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
			research administrators the ability to look up attributes related to their research projects (replacement of DRAS reports).	
Performance Appraisal Program - The Office of Contracts and Grants, as part of the Financial Services Division, is primarily engaged in accounting, financial reporting, and compliance areas. In order to provide good service to our customers (which include researchers, college business offices, campus business units, and external sponsors) the office establishes goals, timeframes, and expectations. These are included in the employee work plans, and as a result are part of the performance evaluation process.	Office of Contract & Grant staff are the direct participants in the appraisal program; customers (including campus personnel as well as external sponsors) are the beneficiaries of the services provided.	Prior Approval Requests – are to be processed within four days of receipt of the request Financial updates for continuations, supplements, renewals, de-obligation of funds – updates are to be performed within seven days of receipt of the official notification. New Project Reviews – to be performed within thirty days of receipt of the award. A/R Follow-up – to be performed according to established office policy depending on aging category (60 days, 90 days, over 90 days past due) Updates to PeopleSoft Attributes – to be processed within two days of	The performance measures, whether specifically stated in terms of numbers of hours or days, or whether stated on an "as needed" basis, are assessed both formally and informally throughout the performance cycle, and evaluated formally during the Interim Review and Final Appraisal stages. Feedback received from external customers including informal feedback (conversations, e-mails, etc.) and formal feedback from evaluations are considered in the performance appraisal process as well as in future performance	Sharon Boyd, Mike Dickerson, Danny Humphrey

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
		receipt of changes Closeouts – 90-day closeout list to be distributed to College Business Officer's within 2 days of receipt; Closeout notices to be sent no later than fifteen days prior to project end date New Account Setup – to be completed within 3 days of receipt Response to Payroll Reallocations Help Desk (Remedy Call System) calls – must respond within four hours	planning cycles.	

F&B Assessment Worksheet

Division: Financial Services
Department: Controller's Office
Name: Clifton Flood

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Internal Review, Planning and Monitoring of procedures for the preparation of the annual financial statements.	All Divisions in the Controller's Office Involved With Year-End Activities, General Ledger System	Principally the University Controller (Cliff Flood) and the Director of Reporting (Lori Johnson) perform these tasks annually (late winter/early	Significant improvements resulting from this initiative include: improved accounting system for	Cliff Flood Lori Johnson

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Knowledge of reporting and State oversight requirements is a prerequisite for this. The plan provides for assigned tasks including review and evaluation of recorded information, obtaining information from information providers, making year end adjustments, and supervisory review of the task preformed. Timetables are established and monitored with weekly status updates. GASB training updates are provided to the staff and feedback is requested from the target audience for improvement in performance. The plan is monitored throughout the process cycle to ensure all tasks are completed on time and have been quality checked.	Accounts at EIS and Various Campus Information Providers	spring). The Director monitors the execution of the plan weekly and meets with the University Controller as needed to assess whether changes to the plan are necessary to ensure timely completion or to address discoveries.	accrual reporting, improved trial balances for easier review and evaluation of financial statements, successful implementation of the new reporting model, improved timeliness of completing the year-end process, improved quality control over year-end tasks, improved knowledge of underlying support, improved documentation of year end procedures, and improved audit assistance including year end lead sheets and analysis,. State reporting regulatory requirements and the State Auditor's requirement for the audit line file were met.	
Conducted Training and Provided Written Plan to Staff for Year-End Process.	All Divisions in the Controller's Office Involved With Year-End	Principally Cliff Flood and Lori Johnson. Training and a written plan are provided each year to	Significant improvements resulting from this initiative	Cliff Flood Lori Johnson

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Also provided training to the State Auditors for FY02.	Activities, General Ledger System Accounts at EIS and Various Campus Information Providers	the staff before the year-end process begins.	include: Improved understanding of task assigned, oversight responsibilities of the task, due dates for the work to be completed, impact of new changes, communication with information providers, organization of work and journal ID requirements.	
Annual Financial Statement Audit by the State Auditor's Office	The University as a whole	Each year	The University has received a clean opinion on our annual financial statements without any reportable conditions for the last three years.	Cliff Flood
Evaluated the cost of producing the published financial statements in-house versus contracting to a vendor.	Reporting Division Contractors	FY02	The published financial statements are now produced in-house. Not only is the cost significantly less, the timing and control over changes is improved.	Lori Johnson
Developed and implemented new and improved bank reconciliation formats for imprested accounts	General Accounting Division	Feb-Mar 2003	The new reconciliation formats have made the reconciliation process easier to understand and review. Has provided improved organization of data to assist in	Heidi Kozlowski

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
			resolving outstanding items.	
Review and evaluation of the organizational and functional responsibilities in the Controller's Office.	All divisions in the Controller's Office	University Controller Feedback from the Directors Feb 2002 Feb 2003 Feb 2004	This initiative provides for improved efficiency, service delivery, and oversight and support for functional areas needing attention.	Cliff Flood
Review and evaluation of space allocations and assignments in the Controller's Office	All divisions in the Controller's Office	Spring/Summer 2003	This initiative provides for improved performance and service delivery. Functional areas serving customers in the office were moved to the front of the office and other functional areas were brought together close to their director to improve communication and management oversight of the functional area.	Cliff Flood
Review and evaluation of changing the recording of inter-departmental transfers from a manual to an automated process.	All University Business Offices EIS System Accountants Controller's Office	A prototype was developed and presented to large campus customers with discussion of merits and needed improvements in Winter 2003. With general overall acceptance of the prototype, a pilot test is currently being conducted	This initiative provided for improved performance, internal control, and service delivery through conversion to automated processes. Collaboration of the	Milburn Holbrook

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
		(January 2004). Training guides will be developed and available in February 2004 for campus customers approving these invoices to process. Setting up the larger campus customers to invoice will start in February 2004.	various stakeholders provided for assurance that modifications would meet customer needs with improved transition to the new procedures.	
Establishment of an outreach program to monitor the accuracy of the University's capital asset inventory list.	The Director of Reporting and the CAMS unit All University Business Offices	Outreach efforts in Winter 2002/2003 have identified that departments continue not to update the CAMS inventory when items are moved and items continue to become missing. In response to this continued finding, new procedures have been recently developed for the next round of spot checks. The new operating procedures will use risk-based data to determine areas where this condition is likely to exist and to grade the department as to its attention to accuracy of its capital asset inventory list. If improvement is needed, follow up action and meetings to discuss noncompliance with the business offices will be made to encourage compliance.	This initiative provides for the monitoring and evaluation of compliance with University policy. Selected departments receive attention and evaluation thus improving their understanding of University policy and their role and responsibility over the accuracy of the capital asset inventory listing.	Paige Bates

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Review and evaluation of changing the recording of annual inspections of inventoried equipment on CAMS from a manual process to an automated process.	All University Business Offices EIS System Accountants Controller's Office	This was initiated in Winter2002/Spring 2003 based on the need to reduce paperwork and to improve turnaround time. Customer feedback was received via training sessions and comments requested and received during the implementation year. Considering feedback from the stakeholders, continued improvements have been made in Winter 2003 for the current inventory process that is just starting.	This initiative provided for changes that improves performance, internal control, and service delivery. Considering feedback from the various stakeholders ensures improved performance of this new automated process.	Paige Bates
Provide training and newsletters for CAMS coordinators to provide knowledge and reinforcement of required policies and procedures and instructions on the new automated recording of inventory observations.	Director of Reporting CAMS Section University Business Offices CAMS Coordinators	Training provided prior to annual inspection of equipment CAMS newsletter on a as needed basis	This initiative Improves knowledge of required policies and procedures and provides dissemination of information that serves to reinforce required actions and due dates.	Pages Bates
Participant evaluations are collected from training sessions, as well as, other surveys are utilized to evaluate the level of training needed, adequacy of communications and to	University Business Officers CAMS Coordinators	Capital asset training response survey distributed and collected at each capital asset training session. Capital Asset Coordinator Newsletter provided via e-mail and posted to the capital asset website on an as	This initiative provides for feedback to assist in determining the adequacy of training and communications, identifying user concerns, and accessing	Paige Bates

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
discuss areas for improvement related to Capital Assets.		needed basis.	the need for changes and/or improvements to training sessions.	
Internal audit of the capital assets process / procedures	Director of Reporting CAMS Section University Business Offices CAMS Coordinators	Audit report received in winter 2001 and follow up the next fall 2002.	This initiative provided for an internal assessment of the University's capital asset management procedures and addressed areas needing improvements. All areas reported on have been resolved and this audit is now closed.	Lori Johnson Paige bates
Annual review and evaluation of debt covenant compliance and continuing disclosures	Director of Reporting Debt Accountant Bond Holders	Each year	This self-assessment provides assurances that the University has complied with the bond covenants. Doing this we continue to update our knowledge of how current operations effect continuing requirements of the bond agreements and ensure that the University has complied with legal requirements.	Lori Johnson Jimmy Dodd
Annual reviews and evaluations of internal control questionnaires	The Internal Auditor All divisions in the Controller's Office	Each year	This self-assessment is required by the State and coordinated under the supervision of the	Internal Auditor Cliff Flood

Assessment Initiative	**Target Audience**	**Where/When/How Often?**	**Result Usage/ Outcome**	**Owner**
			Internal Auditor. Doing this we continue to update our knowledge of our internal control policies and procedures as well as the control environment. It provides us with a tool to evaluate whether we have control issues and ensures that we address areas of concern.	
Semi-annual review and evaluation of security profiles.	University Security Officer All division of the Controllers Office	Twice a year	This self-assessment is required by university policy and assists users in knowing what security rights have been granted to their areas and demands action be taken to address any security access that is not appropriate.	Dick White Heidi Kozlowski
Review and evaluation of communications relating to non-reportable items with State Auditors	University Controller All division of the Controller's Office University Business Offices	Each Year Auditors highlight areas while minor where attention and/or improvement are suggested.	This initiative provides for the development of action to address areas of minor audit interest that improves the control and performance of the financial system.	Cliff Flood HR Director

Assessment Initiative	**Target Audience**	**Where/When/How Often?**	**Result Usage/ Outcome**	**Owner**
Pre-audit of vendor invoices and travel reimbursements	Accounts Payable Division University Business Officers Vendors Travelers	Daily	This initiative is required by University policy. Procedures are performed on vendor invoices and travel reimbursements to ensure that State and University expenditure policies and procedures are adhered to before payments are made.	Kim Kelley
Provide training and Questions and Answers on the WEB for Travel Processors and Campus Travelers.	Director of Accounts Payable University Business Offices Travel Processors Campus Travelers	Training provided once a quarter Questions & Answers provided as needed	This initiative provides for improved knowledge of required policies and procedures and dissemination of information that serves to reinforce required actions and due dates.	Kim Kelley Barbara Dupree
Participant evaluations are collected from training sessions on travel, as well as, comments from participants to the Director.	University Business Officers Travel Processors	Training evaluations distributed and collected at each travel training session.	This initiative provides for feedback that assists in determining the adequacy of training and communications, identifying user concerns, and assessing the need for changes and/or improvements to training sessions.	Kim Kelley Barbara Dupree

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Review and reconcile checks written to cash requisitions	Director of Accounts Payable Cash Management Section	Daily	This initiative ensures that cash requisitions have been made for all checks written before release and that bank transfers have been made to cover checks presented for payment.	Kim Kelley
Participation in meetings with stakeholders (central offices, EIS, ACS, campus business offices).	All divisions in the Controller's Office Campus Customers	Participate in general campus meetings such as the University Business Officers meeting (monthly), the Financial Systems Assessment Meeting (twice a month or as needed), the Financial and HR Coordination Meeting (weekly), and the Steering Team Meeting (monthly or as needed). Presentations to campus customers improve campus knowledge of current developments and changes in requirements that will effect them and provides for discussion.	This initiative provides for interaction, discussion and communication with campus customers, EIS and ACS. Participation improves knowledge of campus concerns and needs. Provides for direct input and status updates regarding system changes and upgrades. Acts as a forum for direction and guidance as well as a chance to have questions answered and for us to understand what campus customers prefer,	Cliff Flood Milburn Holbrook Kim Kelley Paige Bates
Establishment of divisional goals within the Controller's Office and the monitoring	All divisions in the Controller's Office	Monthly Status Updates	This initiative establishes a list by division of areas needing attention and	Cliff Flood All Directors

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
of activity to meet those goals			action by the directors and provides for follow-up to determine the progress of meeting those goals.	
Establishment of an outreach program to improve the accounting and collection of non-student charges and most recently to review and evaluate compliance with the daily deposit act.	The Director of Receivables The Non-Student Receivables Section McKimmon Center Other University Business Offices	The initial outreach efforts for non-student accounts receivable centered on McKimmon Center during fy03. Based on the study and evaluation of McKimmon Center procedures, improvements where suggested and accepted to improve accounting for and collection of non-student accounts receivable. New draft policies and procedures are currently being reviewed to improve university performance in this area. New procedures have been developed and implemented to assess compliance with the daily deposit act.	This initiative provides for the monitoring and evaluation of accounting and collection of non-student accounts receivable. It provides for improvements to be determined through study and evaluation of performance. Interaction with the campus business offices makes the departments more aware of the importance of collection efforts and making daily deposits.	Milburn Holbrook
Review and evaluate cash receipts controls in the Controller's Office.	Non-Student Accounts Receivable Section	July 2003	This initiative provided for improved controls by changing how cash receipts were handled in the Controller's Office.	Milburn Holbrook

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Review and Evaluate all request for new trust funds	All campus business offices	Daily	This initiative provides for the review of supporting documentation before a new trust fund is authorized. The action ensures that the proposed activity is one that is permitted and that the appropriate fund classification is established for the activity.	Cliff Flood
Review and Evaluate all journal entries that cross OUC's that are not system approved or part of foundations accounting	All campus business offices	Daily	This initiative provides for the review of proposed journal entries to ensure that the entry is appropriate and that the accounting classification is proper	Heidi Kozlowski
Reconcile and evaluate bank accounts to the accounting records	Director of General Accounting Reconciliation Services Section	Monthly	This initiative provides for an independent monthly review of activity recorded on the books as compared to the bank. This independent review detects errors that require follow up and correction.	Amanda Richardson

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Reconcile cash receipts and deposits to the bank account	Director of General Accounting Cash Management Section	Daily	This initiative provides for a daily reconciliation to ensure that the cash deposit activity per the bank agrees to the books.	Maria Brown
Review and evaluate University Cashier trust funds	Reconciliation Services Section University Cashiers Office	This review and evaluation was in response to internal audit concerns to clean up trust fund at the Cashier's Office. The timing of this effort was Spring, Summer, Fall 03. The effort included development of reconciliation procedures including description of what activity would be reasonable for the various funds.	This initiative provided audit assistance to the University Cashier's Office to analyze and correct balances in the various trust fund accounts. The Trust funds are now cleaned up and are functioning properly. Documentation was developed to aid in the understanding of these funds.	Cliff Flood
Review and evaluate imprest bank accounts at the University Cashier's Office	Director of General Accounting Cash Management Section University Cashier's Office	This review and evaluation was based on internal discussion in the Financial Services Division. Elimination of the imprest bank accounts at the Cashier's Office was deemed necessary to improve operational efficiencies and to reduce potential for errors.	This initiative provided an exchange of ideas as to how to make the processes required by the University Cashier more efficient and less prone to error in regards to writing checks to us and to students. Currently one account has been closed and	Cliff Flood

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
			procedures developed for recording transactions without writing checks to us.	
Review and evaluate reconciliation issues with the sales tax refund account	Director of Reporting Contracts and Grants Office Campus Business Offices	This review and evaluation began as a result of problems noted in the FY 02 claim for refund. Based on detection, the procedures utilized were re-evaluated and revised to more accurately determine the claim for refund and to determine the specific transactions that caused the receivable account to be out of balance.	This initiative provided for the study and evaluation of error causing problems. Solutions were developed and new procedures put into place to identify and make corrections monthly.	Lori Johnson
Review and evaluate activity including payroll and non-payroll activities posted to each budget and trust fund	All University Business Units	This reconciliation process is required monthly by University policy.	This initiative provides for the self-review of activities posted to university funds to ensure charges and accounting classifications postings are accurate.	Cliff Flood
Review and evaluate the utilization of the wolfcopy machine, FED Ex mailings, postage, and telephones.	Controller’s Office staff	Monthly	This initiative provides for the self review of activity to ensure that the cost associated are reasonable and are for business purposes.	Marianne Jankowski

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Participant in a workgroup assessing the effect of proposed changes to current payroll business practices.	Select workgroup members HR All University Business Offices	Winter 2003	This initiative provides for review and evaluation of proposed changes to determine risk of change and to identify controls needed to reduce those risk if change is made. Recommendation was forwarded to Steering Team Committee in January.	Cliff Flood

Division: Financial Services
Department: Materials Management
Name: Bob Wood

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Evaluate purchasing services provided to campus and vendor community	Departmental purchasers, bookkeepers and vendors	Ongoing review in Materials Management based on feedback from campus, vendors and state agencies	Feedback is used to improve training to departmental agents and campus users, and to improve policies, procedures and published information	Bob Wood
Review small purchase and purchasing transactions to ensure compliance with university policies and procedures and state statutes	Departmental purchasers	Materials Management staff performs daily audits	Findings reported to individual and dept. bookkeeper. Serious or continuing findings handled on case-by-case basis with higher level reporting and possible punitive action	Bob Wood
Monitor HUB (Historically Underutilized Business) purchases	Campus decision makers, departmental purchasers and vendors	HUB purchasing activity reviewed quarterly by Materials Management staff	Results compared to state goals and reported to state HUB office. As they are identified, vendors are directed to state HUB program	Bob Wood
Evaluate contract management services provided to campus	Departmental users of contracts, administrative approvers and vendors	Contract management and management reviews comments and issues involving contracts and associated services on a daily basis.	Feedback is used to modify internal procedures, improve campus training and develop additional standard contracts	Bob Wood

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Assess effectiveness of the surplus disposal process	Departmental users and general public (customers)	Continuing review of daily pickups, storage/handling and weekly sale	Feedback from employees and public used to improve disposal process, policies and documentation as needed	Bob Wood
Monitor centralized copy machine program which places and services copiers in decentralized locations	Departmental users	Monthly tracking of pricing, usage, costs, repairs, and other indices used to run program consisting of almost 900 copiers and printers	Adjust copier features to meet specific needs of individual programs and departments	Bob Wood

Division: F&B
Department: Benefits
Name: Ray Scerri

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
NEO Evaluation (survey implemented at end of NEO)	All new employee (SPA/EPA)	Twice per week/all day/one time event for each participant.	Review participant feedback	Carina Lockley
GIBC	Employees	On campus/Monthly/1 hour/	Feedback from committee on benefits impacts offering.	Elected President of Committee (Sue Klien)
Communication/Education/ Counseling	Employees	On Campus/daily/each day	Feedback from Compass plan tracking system	Ray Scerri

Division: Human Resources
Department: Classification and Organizational Services (Position Management)
Name: Deborah Wright

Assessment Initiative	**Target Audience**	**Where/When/How Often?**	**Result Usage/ Outcome**	**Owner**
Calculate and analyze turnaround time for completing the review of a (re) classification request/action	Campus customers (administrators, managers, supervisors, and respective employees)	Statistics are compiled and averaged weekly, quarterly, and annually	Assess the rate of responsiveness in completing a position classification review	Deborah Wright and Classification Staff
Compile Performance Measures	Campus customers (administrators, managers, supervisors and respective employees)	Statistics of position classification activity are compiled quarterly	Evaluate how the campus has benefited from classification services by assessing the approval rate of classification decisions and salary increases for job changes as well as the race and gender profile for classifications and salary increase requests submitted for employees.	Deborah Wright and Classification Staff
Track and compile number of consultations conducted and identify if consultation was conducted prior to official position classification review	Same as above	Statistics compiled weekly, quarterly and annually. Identification of consultation prior to the official review is documented with each classification request	Assess the utilization and effectiveness of providing consultation to managers and supervisors during the initial or preliminary stage of the process.	Deborah Wright and Classification Staff

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Review Customer Service Surveys	Same as above	Each time a position review is conducted, the customer is asked to complete a survey	Statistics and information is summarized to evaluate the quality of service and identify areas of concern and/or improvement	Deborah Wright and Classification Staff
Compile Annual Report	Human Resources Management	Annually develop a report that documents and summarizes (re)classification activity, projects and accomplishments.	Evaluate completion and progress of Compact Plan initiatives. Compare performance measures/statistics with previous year. Develop new initiatives.	Deborah Wright and Classification Staff

Division: HR
Department: E&OD
Name: Kevin Rice

Assessment Initiative	**Target Audience**	**Where/When/How Often?**	**Result Usage/ Outcome**	**Owner**
E&OD Compact Plan	E&OD Organization	Annual Goal Setting	Set Strategic Direction for Unit. All tasks should address Compact Plan Initiatives	Kevin Rice
E&OD Staff Work Plans	Individual Employees	Annual and Bi-Annual Reviews	Individual Key Responsibilities Established w/ Expected Level of Performance and Method(s) of Evaluation.	Kevin Rice & Staff
End of Course Evaluations-Survey	Class Participants	End of Course Delivered	Review immediate perception of class participants on effectiveness of training, quality of materials, quality of instruction, knowledge of subject matter, comfort level.	Individual Facilitators
Mid-Year Evaluation and On-Site Interviews (Pathways Leadership Development Program)	Pathways Program Participants and participants' immediate supervisor	Mid-Year (November/December)	Review status of participant's progression through program and work on project. Confirm on track to obtain development goals and graduate. Confirm value added to the sending	Program Manager-Lead/ EOD Staff Support

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
			department.	
End of Program Evaluations- Leadership Programs (Supervisory Series, Pathways, Performance Leadership)-Survey	Program Participants (Supervisory Series, Pathways, Performance Leadership). Pathways also surveys participants' immediate supervisor.	End of Program Survey (Biannual or Annual)	End of Program Survey to Assess satisfaction with overall program and capture ranking of most beneficial to least beneficial course offerings. Information used to continually improve programs.	Program Managers
End of Program Focus Groups	Program Participants	End of Program (Semester- Performance Leadership and Supervisory Series/Annually- Pathways)	End of Program Evaluation to Assess impact of overall program, suggestions for improvement, ranking of courses.	Program Managers
Pathways Advisory Board	Program Manager, Program Advisors, Advisory Board.	Once a year; usually scheduled for summer or early fall to allow time to changes to be made prior to next year's startup.	To capture input and information from key customers and other learning professionals on: -overall program, -campus business and educational needs, -suggestions for improvement.	Program Manager
Share Our *Learning* Meetings	Internal EOD Consultants	As needed	To improve our organizational development skills. Learn from each other's	Team Play

Assessment Initiative	**Target Audience**	**Where/When/How Often?**	**Result Usage/ Outcome**	**Owner**
			successes' and failures.	
Contract Closing (review measurements incorporated into Statement – of – Work , SOW)	Internal EOD Consultants	Upon completion of intervention plan	To ensure that the client's needs were addressed To provide feedback to the consultant on how we managed process	Individual Facilitators

Division: University Payroll Office
Department: Human Resources
Name: Franki Senter

Assessment Initiative	**Target Audience**	**Where/When/How Often?**	**Result Usage/ Outcome**	**Owner**
Production - Develop and publish operating calendars to ensure planning and dedication of adequate resources to ensure monthly processing deadlines are met.	Departmental Payroll Coordinators, Departmental Personnel Representatives, Central Administrative Offices, Technical Support Units [Administrative Computing (ACS), Data Processing (DP), Enterprise Information Systems (EIS)], and outside vendors	Biweekly and Monthly Payroll Schedules are published via online list serves at the beginning of each fiscal year and also posted on website. Internal operating calendars are published quarterly to central office users. Vendor tape due date calendar is published on a calendar year basis and sent to vendors who submit billing information electronically or via tape/cartridge.	Job, tax withholding, deduction, and benefit data is entered timely, resulting in the timely and accurate payment to employees, tax withholding agencies, garnishment agencies, and deduction/benefit plan vendors.	Franki Senter, Lisa Bledsoe
Compliance - Monitor, implement and test University's compliance for: - Tax withholding and reporting compliance to federal, state and local governmental agencies - IRS Section 125 pre-tax/tax deferral of	University employees, Office of University Internal Audit, State Of NC Office of State Controller, all payroll tax and deduction vendors	Have 26 biweekly regular payrolls/year, 12 monthly regular payrolls/year, 2 Summer Session payrolls/year, and approximately 36 off-cycle manual payrolls/year. Taxes withheld on each payroll are deposited based on federal and individual state's guidelines	Deposit and payment deadlines are met; business processes and accounting practices are reviewed, endorsed, or improved based on annual audit findings.	Brian Simet, Franki Senter, Ray Burke

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
certain deductions - Garnishment agencies (tax levies, child support orders, Chapter 13 Bankruptcy, defaulted Student Loans, etc.) - State of NC and University accounting practices		(registered in 26 states); deductions withheld on each payroll are reconciled and paid to vendors at month-end. Undergo annual internal audit and external audit (Office of State Controller).		
Assessment Initiative	**Target Audience**	**Where/When/How Often?**	**Result Usage/ Outcome**	**Owner**
Quality Control and Problem Resolution – Constantly patrol and screen the HR/Payroll system's normal output for potential problems; develop or implement improvements to reports, processes or queries that ferret out/forecast problems and scenarios not captured in regular system output; and conduct quarterly meetings with other central offices to discuss an resolve issues.	University employees, central administrative offices, all payroll tax and deduction vendors, DP, and EIS.	**Reports, processes and queries - daily (one standard report), biweekly payroll cycles (multiple standard reports), monthly payroll cycles (multiple standard reports), emergency basis, as needed.** Meetings – quarterly on a formal basis; as needed, otherwise.	Research and troubleshoot source of problem, determine if isolated or pervasive, recruit technical assistance if needed to rectify problem, alert affected parties, and make corrections to affected records.	Brian Simet, Franki Senter, Ray Burke

Division: HUMAN RESOURCES
Department: Transportation
Name: Greg Cain

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Seek Community Input: Public Forums, Advisory team, customer surveys	Transportation philosophy, policies and system structure	Advisory team meets monthly; forums are held periodically as needed (four held in fall of 2003). An online customer feedback capability is utilized; customers receive a response within two business days; periodic user surveys done, generally on an annual basis.	Used to glean thematic issues/problems that need high priority focus; these themes are the core of annually developed changes to the parking inventory mgmt. System	Tom Kendig
Communications: Presentations to Senate groups, personal responses, mass targeted e-mails, listserves	Transportation philosophy, policies and system structure	Targeted e-mails are sent with specific information on projects, permit availability, etc. when warranted, All incoming E-mail correspondence receives a reply within two business days, Listserves targeting parking system users and Wolfline users are utilized regular to provide up to date information, Presentations are made to Faculty, Staff and Student Senates annually for feedback on recommended system changes.	Intent is to keep the campus community very well informed on Transportation's efforts to consistently improve and to provide tangible evidence of feedback being utilized. List serves are used to provide timely information regarding temporary changes to Wolfline, traffic flows and/or parking inventories	Tom Kendig
Internal process review	Customer service processes and procedures	Internal teams charged to review specific areas of concern to refine and improve processes and procedures. Typically 1-2 teams	Drawing upon staff knowledge, experience base and expertise allows best case scenario	Greg Cain

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
		going at any given time with 4-8 per year.	problems resolution and process improvements	
Technology review	Ability to utilize and take advantage of technological opportunities and capability	Processes for students to request parking permits, pay for permit assignments, and to receive the permit are reviewed annually to determine if existing and/or breaking technology in the parking industry can be utilized to improve efficiency and/or effectiveness of service delivery.	Improvements to customer service, increase of transactions completed online (as opposed to in person), improved and expanded data tracking, reduction of foot traffic at the Transportation office	Ronnie Wright
Performance measures	Individual employees within the planning units	Monthly reports track specific activities that aim for improvement and better service	Enables systematic and timely review of progress and prioritization of projects	Slade McCalip
Review committees: Transportation Subcommittee of the Physical Environment Committee, full Physical Environment committee	Major activities and system changes	Meet with subcommittee on monthly basis to discuss activities and potential system changes. Present to full PEC on an as needed basis, typically 3-4 times year.	Provides a solid sounding board for ideas on system changes and/or improvements to develop the best product prior to public exposure; allows for representation of various campus sub communities	Tom Kendig

Division: Human Resources
Department: Employee Relations
Name: Galen Jones

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Administer Safety Hotline (Receive and process concerns about safety hazards on campus)	Entire campus community	Calls and emails are received daily; are logged into a database and referred to campus contacts to resolve problems. Issues and resolutions are tracked and posted on the ER/Safety Hotline website on a periodic basis.	Safety hazards are reported and addressed timely in order to prevent accidents, injuries or more costly repairs at a later date. Helps keep the campus physical environment safe for use.	Rob Stevenson, Employee Relations
Evaluate Personnel Consulting (Track nature and frequency of personnel consultations)	All EPA and SPA employees	ER staff tracks daily and compiles monthly statistics on numbers and purpose of consultations with clients about employee relations concerns.	Statistics are used to identify themes of concerns, and to determine need-for-future/ effectiveness-of-current consultation and training efforts. Themes drive unit's intervention activities, policy training, new program development.	Galen Jones, Employee Relations
Evaluate Employee Recognition Programs (Evaluate programs and events for lessons learned, improvement opportunities)	Planning Committee, Event staff, Employee Participants	Following implementation of each program and/or event, the Program Coordinator conducts a 'lessons learned' brainstorming session with event planners, and/or requests feedback from event staff or unit	Information gathered is evaluated for application opportunities and fed into project plans for next events. Efforts result in greater cost	Rob Stevenson, Employee Relations

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
		coordinators, collates feedback provided by participants, and identifies opportunities for improvements.	effectiveness of future programs/efforts, and greater participant satisfaction and organizational impact of future events.	
Administer Exit Interview Program (Collect and process information from employees leaving the university)	Exiting SPA and EPA-Professional employees, Unit administrators	On an ongoing basis, employees who leave the university are solicited to complete an exit questionnaire providing information on job satisfiers and dissatisfiers. Questionnaires are grouped and provided to unit heads on a monthly basis. Additionally, personnel reps (and/or exiting employees) may schedule an exit interview for the exiting employee with ER staff. Information from the interviews is reviewed for improvement ideas and opportunities and passed on to responsible parties on a timely basis. Statistics are gathered on participation rates, and the program is marketed to departments and personnel staff at periodic campus-wide personnel meetings.	Information gleaned from the forms and from interviews is used by unit administrators to address supervisory skill needs and unit programs, and by HR to assess university programs' and policies' effectiveness so as to implement improvements and new initiatives to improve the work environment.	Galen Jones, Employee Relations
Evaluate Customized Training (Provide customized (policy and skills) training on	Administrators through supervisors of SPA employees, and SPA	Upon request, standard supervisory training on subjects is customized to meet department needs through consultation with management, then	Feedback results are used to identify training improvements, additional training	Vickie Porter & Alison Henderson, Employee

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Performance Management and Successive Discipline)	employees	provided by ER staff at the department's location to appropriate management/supervisors and/or staff. At the close of the training, feedback forms are distributed to participants; one-on-one consultation is conducted following the training and follow-up is conducted at a later date with the management to determine training effectiveness and the need for additional training.	needs, and new training opportunities, and to influence consulting approaches for coming year.	Relations
Analyze SPA Performance Ratings Collection Process (Advise on, collect and collate ratings on all SPA university employees, and forward to Office of State Personnel)	Unit administrators, contacts, and supervisors of SPA employees; Office of State Personnel staff	On an ongoing basis, consult on related regulations and procedures; review annual ratings input for compliance. Annually, collect/collate/forward ratings; solicit feedback (via email and phone consultations) from participants on process improvement opportunities and incorporate into next annual process.	Feedback is used to identify improvement / efficiency opportunities for the next annual process.	Alison Henderson, Employee Relations
Compile Annual Report (Identify and evaluate results of workgroup efforts.)	HR management	Annually develop a report on accomplishment of ER compact and other plans to evaluate progress toward ER mission and goals. Include performance statistics in comparison to previous year.	Results drive renewal of efforts, development of new initiatives, decisions on application of resources.	Galen Jones, Employee Relations

Division: Human Resources
Department: Employment and Compensation
Name: Kathy Lambert, Assistant Director

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Evaluate Temporary Employee Performance	Hiring Officers Who Employ Temporary Employees through University Temporary Service (UTS)	UTS sends an employee performance evaluation to the supervisor at the conclusion of each temporary assignment	Feedback is used to determine if appropriate match/hire was made and if employee should be placed again.	Janny Flynt, UTS Manager
Evaluate Customer Service Provided to SPA Hiring Officers	Hiring Officers Who Fill SPA Positions	Employment Services sends a survey to each hiring officer at the conclusion of each search.	Feedback is used to evaluate service provided by staff members, provide praise, correct deficiencies, and enhance processes.	Rick Williams, Employment Manager
Evaluate Customer Service Provided to EPA Hiring Officers	Hiring Officers Who Fill EPA Positions (Search Committee Chairs)	Employment Services sends a survey to each hiring officer at the conclusion of each search.	Feedback is used to evaluate service provided by staff members, provide praise, correct deficiencies, and enhance processes.	Rick Williams, Employment Manager
Assess Applicant Satisfaction with Customer Service	Applicants For SPA Positions	Employment Services gives each applicant who visits the Employment Office or is mailed an application a survey for completion.	Feedback is used to evaluate service provided by staff members, provide praise, correct deficiencies, and enhance processes.	Rick Williams, Employment Manager

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Measure Performance/Results Related to SPA and EPA Hiring Activity	Human Resources Management	Each quarter, many measures (including the number of hires, number of transfers, response time, retention rates, etc.) are compiled and compared to previous activity.	The data is used to track responsiveness, workload problems, market problems, and to identify improvement/efficiency opportunities for the next quarter.	Kathy Lambert, Asst. Director of Employment and Compensation
Compile Annual Report (Identify and evaluate results of workgroup efforts.)	Human Resources Management	Annually, a report on the activity and accomplishments of Employment and Compensation is compiled. Performance Measures are included. Progress towards mission and goals are evaluated.	Results drive renewal of efforts, development of goals/Compact Plan initiatives, assign resources, etc.	Kathy Lambert, Asst. Director of Employment and Compensation

Division: Finance & Business
Department: Human Resources – Salary Administration and HRIS
Name: Wanda Karangelen

Assessment Initiative	**Target Audience**	**Where/When/How Often?**	**Result Usage/ Outcome**	**Owner**
Staff Development: conduct interim and final appraisals during the year.	Departmental staff	Interim appraisals are conducted in December and the final appraisal is conducted in May.	Supervisor and employee evaluate how much progress was made towards established goals during the preceding period. Goals are then modified or new goals are set once previous goals are met.	Wanda Karangelen
Compact Plan: departmental compact plan is created to ensure goals of department support university goals.	Departmental employees, central administrative offices, and technical support offices.	Compact plan is created for each fiscal year. Compact plan is updated every quarter.	Goals are reviewed to ensure adequate progress is being made towards meeting each goal.	Wanda Karangelen
Education: staff members teach classes each month.	University employees	Our unit teaches an average of 2 PeopleSoft processing classes, 1 query class and 1 EPA/SPA policy class each month. Staff members also offer training on Family Medical Leave, FLSA and other on demand classes as requested.	Class evaluations are reviewed and class structure/content is modified if appropriate.	Wanda Karangelen

Division: RMIS
Department: ACS, Budget, ComTech, EIS, NCS, Trademark Licensing
Name: Mardecia Bell, Lisa Clough, Gwen Hazlehurst, Steve Keto, Cindy Sears, Greg Sparks, Jennifer Van Horn

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Executive Project Summary	Finance and Business Management, RMIS Management	A monthly report is compiled by the RMIS directors and submitted to the Vice Chancellor for Finance and Business by the Associate Vice Chancellor for RMIS	The report tracks our division's success in completing projects. It also allows senior management the opportunity to prioritize projects should resource shortages lead to delays in certain efforts.	Steve Keto, Associate Vice Chancellor for RMIS with input from RMIS Directors
Test of mainframe disaster recovery solutions	University Administrative Offices that perform critical student administration functions.	Annual testing in October of every year.	Measurement of success for the annual test is the review of test results and successful completion in accordance with established procedures. Annual tests have been successfully conducted since 1999 in order to prove recovery of mainframe system. Testing information has been used to improve and refine our recovery processes.	Monica Mauk, Disaster Recovery Coordinator
Business Risk Assessment	University Administrative Offices that perform critical business functions.	Reviewed annually	Measurement of success for review consists of customer sign-off and feedback and is used to support business continuity planning. The assessment will identify each business unit's	Monica Mauk, Disaster Recovery Coordinator

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
			primary areas of risk and will ensure the business continuity plan accounts for those risks.	

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Disaster Recovery and Business Continuity Plans	University Administrative Offices that perform critical business functions.	Reviewed semi-annually with customers the spring and fall of each year. Tested annually.	Measurement of success for reviews and tests of plans is customer sign-off and feedback. The purpose of the annual review is to make sure business continuity plans are updated with the most current and accurate information. The test ensures the plan can be executed in the event of a disaster and the administrative computing environment is unavailable.	Monica Mauk, Disaster Recovery Coordinator
State-Conducted Information Systems (IS) Audit	NC State (all of the other items say "University")Administrative Computing Environment	The State Auditor's Office completed an IS Audit in November 2002. The IS Audit was an extensive review of the administrative computing environment and included focus on several components such as general controls, system development/project management, program management/change control, disaster recovery, help desk support, physical security, and operation procedures State Audit usually conducted every 3-5 years.	The latest IS audit resulted in a total of nine findings, seven of which were resolved prior to the audit conclusion via system configuration/process changes. The remaining two findings dealt with identified weaknesses in the University's help desk environment for addressing IT issues for campus faculty/staff (resolved November 17, 2003) and identified open server ports in the administrative client/server environment (completed January 14, 2004). Checklists and procedures for routine processes were established as a result of the audit	Mardecia Bell, ACS Director

External security vulnerability scan and risk assessment	Administrative computing environments in ACS and NCS.	TruSecure, Inc (third-party company) performs the scans and risk assessments twice yearly.	Scans and assessments result in a report that identifies vulnerabilities and risks such as open server ports. The results are reviewed and resolved where appropriate.	Joseph Cosgriff, Assistant Director of Information Security, ACS

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Capacity Plan	RMIS Computing Environments (ACS, ComTech, NCS EIS participates in developing estimates of environment needs and depends on this information in planning upgrade cycles so we should probably be included)	Produced annually by RMIS staff. Report usually produced in April of every year.	The Capacity Plan measures and quantifies the remaining capacity available to the servers and environments before an upgrade is required. The study takes into account the current requirements of the existing workloads, and additional workload requirements; due to the normal growth of existing systems, and demand requirements of new systems as they are brought on-board. The study gives a comprehensive review of all relative facets of the hardware; and indicates where critical shortages exist and are likely to degrade throughput. Suggestions for circumvention or techniques to increase the longevity of the existing hardware are offered. These recommendations are made from both knowledge of the past growth of computing resource requirements, knowledge of expected growth; and also knowledge of the nature of the new systems to be installed during the current and subsequent calendar years.	Gary Li, ACS Assistant Director of Technical Support, with input from managers in ACS, ComTech, EIS,and NCS

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
System availability usage reports for administrative applications/services	Campus community with access to administrative applications/services	Administrative applications and services will be available at a minimum from 7:15 am until 6:00 pm Monday through Friday and designated hours on Saturday and Sunday except for publicized maintenance “downtimes.” Usage statistics for the mainframe, HR and Financials systems are published in the division’s quarterly newsletter “Keeping Up” which is distributed to over 3500 users. Usage statistics (number hits, number of accessed files, pages, visits) for administrative web applications are produced on a monthly basis via a web page.	Administrative applications and services should perform at consistently efficient levels and will be available at least 99% of the scheduled uptime. Results are used to measure the availability of applications as well as the volume to ensure adequate performance and capacity.	Gary Li, ACS Assistant Director for Technical Support
Help Desk Report/Satisfaction Survey	NC State Campus Community	Produced monthly	Report and survey are used to measure the success of the Help Desk. Report shows the total number of calls received along with totals in status category (waiting, resolved, assigned, etc) and type of calls (password resets, application, security, etc). The results of the client satisfaction survey for the month are also shown. Report is used to show	Ann Harris, Solutions Center Manager, ACS

			volume of requests, trends, peak periods as well as identification of areas for customer focus/training. The satisfaction survey is sent to all customers when a call is closed and is used to improve customer service.	
Assessment Initiative	**Target Audience**	**Where/When/How Often?**	**Result Usage/ Outcome**	**Owner**
Statistical Report for access requests to administrative applications	Campus community users with access to administrative applications	Monthly	Report shows the following for categories of administrative systems (Mainframe, HR, Financials, Other): number of processed requests, number of rejected requests, number of associated Remedy calls, and number of processed data compliance statements. The results are compared with previous months to show the volume of transactions, trends and peak processing periods.	Dick White, ACS Security Unit Manager
Feedback from Showcase/Expo of available administrative applications	NC State Campus Community	Held bi-annually usually during the Fall semester break	Customer feedback should indicate that event was helpful in utilizing the administrative applications/services and increasing awareness of available administrative applications. Feedback is used to improve subsequent events.	Ann Harris, RMIS Expo Coordinator

Service Level Agreements (SLAs)	University Receipt-Supported Units (ACS) Units utilizing Hosted Server service (ACS) HR/FIN Functional Offices	ACS reviews customer SLAs annually usually at the beginning of fiscal year The HR/FIN SLA between ACS/EIS and HR/Financial functional offices is reviewed every 3 years	Development/support as well as identified roles/responsibilities will be provided as defined in the appropriate SLA. Customer agrees with the terms and signs the SLA. Success is measured by the implementation of SLA as defined and agreed upon with the customer.	Mardecia Bell, ACS Director, in conjunction with staff from ACS, ComTech, EIS, and NCS

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Project Assessment Forms/Status Report	Primary customers of HR, Financials, and Student applications	Monthly	Primary customers of the major administrative systems (Financials, HR, and Student Administration) establish goals for ACS and EIS staffs by determining those projects most deserving of resources and establishing project priorities via the Management, Steering, and Assessment Teams. Projects are usually submitted by the functional offices and receive appropriate approval and signatures. ACS and EIS then track their abilities to meet those goals according to schedule via the RMIS Major Project Update. EIS also uses customer satisfaction surveys for major Financials and HR projects to assess the effectiveness of the delivered functionality and related training/communication as well as the acceptability of system performance. To assess the effectiveness of the Steering and Assessment Teams in allocating resources and setting priorities for the development of the Financials, HR, and Student Administration systems, RMIS surveyed the team members and will adjust procedures as indicated by the feedback.	Mardecia Bell, ACS Director, and Gwen Hazlehurst, EIS Director

Annual Customer Survey/Poll	University Business Officers	Annually in third quarter of the fiscal year via the web.	To identify customer service satisfaction and determine improvements based on a review of survey results.	Lisa Clough, Budget Director

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Monthly Reports: BD701, BD702, BD802, BD805, BD725(CI), BD802(CI), BD805(CI)	Office of State Controller, Office of State Budget and Management, Fiscal Research and UNC Office of the President	Monthly Reports required as part of the certification process	Monthly certification is required to continue business for all state agencies	Lisa Clough, Budget Director and Joy Martin, Assoc Budget Director
LAN Admin Meetings	Campus LAN Administrators	Quarterly	Used to communicate directly with LAN Admins concerning technical directions, procedural changes, and overall network status. These meetings are also utilized to get feedback from the campus IT community on the level of service being provided and guidance on desired networking technologies	Greg James, Network Operations Manager, ComTech
Change Management Process Metrics	All campus IT groups and upper management	Quarterly and yearly	Used to determine how well we plan network activities to minimize downtimes and back-outs	Greg James, Network Operations Manager, ComTech
Remedy Call Summary – Network	NC State campus community and upper management	Monthly and yearly	Analyze types of calls to determine trends, issues, and staffing needs	Greg James, Network Operations Manager, ComTech
Remedy Call Summary – Telecommunications	NC State campus community and upper management	Quarterly and yearly	Analyze problem areas and look for proactive ways to reduce the volume of calls. An example is the blue light phone bulbs were replaced with florescent bulbs to reduce the incidence of failure.	Mack Stiles, Assistant Director for Operations, ComTech

Customer Satisfaction Surveys – Customer Service	NC State campus community and upper management	A survey is sent to each customer that orders certain services after the order is complete. Statistics are pulled monthly and combined yearly.	Used as performance measure for the Customer Service staff. Also used to determine deficiencies in our work order process.	Mack Stiles, Assistant Director for Operations, ComTech
Customer Satisfaction Surveys – Installation and Maintenance Technicians	NC State campus community and upper management	Customers are left a card to fill out and return after a technician has performed an installation or repair.	Used as performance measure for technicians.	Mack Stiles, Assistant Director for Operations, ComTech

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Work Order Reports	NC State campus community and upper management	Report is created from the MySoft.net billing system quarterly and yearly.	Used to analyze workload on the Customer Service staff to determine appropriate staffing level.	Mack Stiles, Assistant Director for Operatons, ComTech
Callers Menu Report	ComTech management	A report is generated from the Centrex PBX monthly and yearly.	Analyzes the volume of calls to the telephone repair desk and the customer service group and is used to determine staffing and coverage needs.	Mack Stiles, Assistant Director for Operatons, ComTech
Internal Audit Report	Upper management	Our last full audit was done in 1999 and runs on a 5 or 6 year cycle. An audit was done in 2002 to review the billing process and warehouse and inventory processes.	All findings from the audits were addressed and resolved.	Phyllis Carpenter, Business Manager, ComTech
Track Trademark Licensing Revenue	Trademark Licensing and the Vice Chancellor for Finance and Business	Internally review quarterly and annual revenue reports supplied by licensing agent.	Possible adjustment to annual scholarship distributions if warranted by significant increase in revenue	Cindy Sears, Director of Trademark Licensing
Track Trademark Licensing's royalty ranking among our agent's member institutions	The Collegiate Licensing Company (CLC) and its member institutions	Rankings are released quarterly by CLC and posted on their web site	CLC ranks its 50 top- selling member institutions. Rankings used to gauge NC State's progress in royalty growth compared to other institutions.	Cindy Sears, Director of Trademark Licensing, in conjunction with CLC
Customer Surveys	NCS management & staff	Consultants leave hardcopy surveys with customers anytime an "in-person" visit is made to the desktop.	Identify weaknesses in customer service, identify gaps in skillsets of individual consultants. These surveys are also reviewed and summary content utilized during twice-yearly performance reviews with the consultants.	Keith Boswell, Client Services Manager, NCS

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Help Desk Call Report	NCS and RMIS management	Monthly statistics are collected and presented in a formal report. The report consists of the number of calls by category.	Allows us to shape the call times and staffing to ensure reasonable wait times on the help desk. Also allows us to look for trends in types of issues and identify issues related to either systemic problems or gaps in customer education related to products. We can then develop action plans accordingly	Keith Boswell, Client Services Manager, NCS
Server Downtime Reports	NCS staff and management – a summary to RMIS management	Anytime a server experiences a performance degradation, a form is completed on the web and automatically sent to all NCS staff members. On a monthly basis, a formal report is reviewed by NCS management and forwarded to RMIS management.	Allows the group to identify trends in hardware or software abnormalities and develop action plans accordingly. Also instrumental in guiding priorities of tactical work.	Tony Strother, Network Services Manager, NCS
LAN Tech Meetings	Departmental LAN Techs (NCS customers)	Monthly meetings	Allows NCS to communicate with customers and solicit feedback on a variety of issues. Information derived from these meetings guides the content and frequency of communication to all customers. Feedback also plays a role in shaping our overall technical priorities	Keith Boswell, Client Services Manager, NCS
Technology Forum	Departmental Directors (NCS customers)	Annual	Allows NCS Management to interact with our customers to discuss business needs for technology. These discussions allow us to communicate with the respective managers of our	Greg Sparks, NCS Director

			customer departments while soliciting their input into shaping which technologies we focus on implementing for the future	

Division: Finance & Business
Department: Foundations Accounting & Investments (FAI)
Name: Jill Tasaico

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
FAI Compact Plan	FAI organization; Finance & Business division	Annual goal setting	Sets strategic direction for unit. All tasks roll-up to address Compact Plan initiatives	Jill Tasaico
FAI Staff Work Plans	Individual employees	Annual and bi-annual reviews	Individual key responsibilities are established w/ expected level of performance and method(s) of evaluation.	Jill Tasaico & Staff
Independent Audits	Foundation boards, The Endowment Fund of NC State University board, the NC State Investment Fund board, Treasurer, Assistant Treasurer, donors	Annual - nine FASB (Financial Accounting Standards Board) and one annual GASB (Governmental Accounting Standards Board)	Board members aided in meeting fiduciary responsibilities. If audit findings were to occur (none to date), these would be used to evaluate and revise internal processes.	Jill Tasaico
Annual NACUBO Endowment Survey and Common Fund Benchmarks Study	Foundation boards, The Endowment Fund of NC State University board, the NC State Investment Fund board, Treasurer and Assistant Treasurer, donors	Annual	Provides a comparison of investment results, endowment market values and asset allocations to other educational institutions that can be used for effective decision-making.	Libby George & Susan Holton

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
Investment performance returns	Foundation boards, The Endowment Fund of NC State University board, the NC State Investment Fund board, donors	Quarterly comparison to established benchmarks	Part of board members' fiduciary responsibility. Review of performance returns can result in reallocation of funds among managers, the dismissal of under-performing managers, or maintaining the current allocation among managers and funds.	Jill Tasaico & Libby George
Follow-up notes from committee and board meetings	Foundation boards, The Endowment Fund of NC State University board, the NC State Investment Fund board	Depending on entity, meetings can be quarterly, semi-annual or as needed.	Identifies matters requiring further research or action by FAI; documents important board decisions (e.g., acceptance of gifts) requiring further action by FAI; documents significant points that could affect future decisions/actions. All follow-up notes are resolved before the next meeting.	Jill Tasaico & Libby George
Customer feedback	Customers (e.g., Advancement Services, Development Officers, College Business Officers) and FAI	Informal customer surveys are taken every 2 to 3 years. The Director of FAI meets with each development officer at least once a year. Quarterly meetings	Feedback and comments are used by FAI to set goals and to identify needed process improvements.	Jill Tasaico and FAI Staff

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
	organization	are held with Advancement Services. An FAI representative attends Scholarship and Student Aid Committee meetings.		
Process Improvements	FAI organization	Annual via staff work plans and exit meetings with auditors.	Identification of inefficient and/or ineffective processes and recommendations for improvement devised and implemented.	Jill Tasaico & Staff

Division: Treasurer's Division
Department: N C State University Bookstores
Name: Richard Hayes

Assessment Initiative	**Target Audience**	**Where/When/How Often?**	**Result Usage/ Outcome**	**Owner**
Bookstore Operations – Comparative financial results.	Bookstore personnel goals that ensure the operation meets or exceeds customer expectations while maintaining a strong financial result.	Net sales, gross profit percentage, GMROI, inventory turns and net income percentage are consistent or exceeding prior year store results and other university bookstore results serving similar institutions. Annual comparisons to prior year and budgeted projections. Annual comparisons will be compared on a monthly and year-to-date basis. Benchmarked institution results derived from the National Association of College Stores (NACS), the Large Stores Group (LSG), and/or the Independent College Bookstore Association (ICBA) published financial results.	Monthly and year-to-date results will be compared to prior year and to projections. Results will indicate performance goals that need to be modified to enhance overall performance. Any major variations from peer institutions will be explained, and if necessary, actions taken to resolve these variations in the upcoming year.	Bookstore management and purchasing team.
Bookstore services and products. Bookstore staff responsiveness to the customer.	Bookstore customers.	Annually compare the results of the North Carolina State University *Graduating Senior Surveys* for customer perceptions pertaining to bookstore services/products and	Results of the *Graduating Senior Survey*, over time, should indicate steady growth towards customer satisfaction	Bookstore Director and Associate Director.

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
		staff responsiveness. Utilize the Bookstore Advisory Committee, which is comprised of students, faculty, and staff, to assess the bookstore operations on an annual basis.	and staff responsiveness. If the survey or advisory committee reveal indications other than an increase in satisfaction with the bookstore, then management will reassess weaknesses and create target goals to strive towards improving those weaknesses in the upcoming year.	
Customer delivery systems - University bookstore internet sales.	University customers.	Define, develop, and implement a functional internet web-site that meets the needs of the University customer without negatively impacting North Carolina law governing this operation.	Revenue generated results in both unit and dollar sales. Results to be compared to similar semesters current and previous years. If available, online results will be compared to peer institutions. Results, including customer surveys, will indicate modifications for the upcoming year.	Bookstore management, marketing, and purchasing team.
Distance education (DE) services	Distance education video and internet customers.	By July 2004, provide web access to academic course materials necessary for video and internet distance learning	DE students utilization of the web-site and the subsequent survey analysis will reveal site	Bookstore Director and Marketing team.

Assessment Initiative	Target Audience	Where/When/How Often?	Result Usage/ Outcome	Owner
		students. Internet access site should be utilized as a customer ordering vehicle, a link to campus DE web-sites, and as a survey tool.	weaknesses and customer satisfaction. Modifications to the site will be a result of survey analysis on an annual basis.	

Formatted: Bullets and Numbering