



# **Report of the President's Task Force on Efficiency**

**Submitted to  
President Bruce Benson  
March 2009**

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March 4, 2009

Bruce D. Benson, President  
University of Colorado  
1800 Grant Street, Suite 800  
Denver, Colorado 80203

Dear President Benson:

We, the members of the President's Task Force on Efficiency, respectfully submit our final report.

In November 2008, we were appointed to the Task Force to find ways to improve the general efficiency and effectiveness of system operations and to provide guidance to the University Policy Office on the development of new policies and the University policy process. The Task Force maintained an ambitious schedule to complete this report by the February 2009 deadline.

In an effort to fully understand the issues surrounding the system policies, procedures, processes, and practices impacting the University community and how it relates to its charge, the Task Force held seven meetings, conducted five open forums, and completed over 30 campus outreach meetings throughout the University. In total, the Task Force engaged with several hundred faculty and staff and received over 700 comments from University stakeholders and subject matter experts.

In addition to the work on policies, the Task Force focused on the key issues raised by CU stakeholders and the specific items in your charge relating to improving communications, providing tools and training, and increasing the cooperation and coordination among System Administration and its operating units, the campuses, and affiliates.

The Task Force has made numerous recommendations in these areas that are listed in the *Summary of Recommendations*. A more detailed discussion is provided in the body of the report. Most of the recommendations can be implemented without additional resources or Regental or legislative action; however, some may require additional resources or Regental or legislative changes to implement. The last recommendation is for the Task Force on Efficiency to meet on at least a quarterly basis to continue this work and to review progress toward implementing the remaining recommendations outlined in the report.

We wish to express our appreciation to the entire University community for their engagement and participation in this process. Their participation in the open forums, campus outreach visits, and the website feedback was extremely important. We also would like to express our appreciation to the many subject matter experts that we've engaged during our work; they were instrumental in helping the Task Force formulate its recommendations. We also would also like to recognize the hard work of the staff that supported this project, especially Dan Montez, who was indispensable in guiding the

work of the Task Force and responding to the concerns of the faculty and staff. Finally, Dan's success was a direct result of the hard work of Sandy Tureson and Denise Sokol, who assisted Dan and the Task Force throughout the project. Although this report is the most obvious product of our efforts, we believe this intensive four-month process of review, outreach, and the Task Force engagement with key subject matter experts will yield benefits both now and in the future.

It was a pleasure for us to participate in this effort. Thank you for the opportunity.

Sincerely,

The Members of the President's Task Force on Efficiency

*Leonard Dinegar (Chair), Vice President for Administration and Chief of Staff*

*Rosemary Augustine, Senior Associate-  
University Counsel (UCCS)*

*Robert Fries, Associate Dean, Finance and  
Administration – School of Medicine (AMC)*

*Steve McNally, Associate Vice Chancellor for  
Budget and Finance/ Controller (UCB)*

*Jackie Berning, Chair/Associate Professor –  
Biology and Chair of UCCS Faculty Assembly  
(UCCS)*

*William H. Kaempfer, Associate Vice  
Chancellor/Vice Provost and Professor of  
Economics (UCB)*

*Dan Montez (Staff), Director, University  
Policy Office (System)*

*Roxanne Byrne, Associate Professor –  
Mathematical & Statistical Sciences and  
Chair of UCD Faculty Assembly (UCD)*

*Jane King, Accountant II (UCCS)*

*Uriel Nauenberg, Professor – Physics and  
Chair of Boulder Faculty Assembly (UCB)*

*Larry Drees, Program Director, Housing and  
Dining Services (UCB)*

*Lisa Landis, Director of Human Resources  
(System)*

*Jeff Parker, Associate Vice Chancellor  
Finance & Administration (UCD)*

*Kelly Fox, Interim Vice President, Budget and  
Finance (System)*

*John McDowell, Professor/Director, Oral  
Medicine & Forensic Sciences and Chair of the  
University of Colorado Faculty Council (UCD)*

*Kevin Sisemore (Ex Officio), Audit Manager-  
Internal Audit (System)*

## EXECUTIVE SUMMARY

After nearly four months of work, engaging hundreds of faculty and staff as part of over 35 meetings with constituency groups, and reviewing over 700 detailed comments, the Task Force on Efficiency has completed its initial work. The Task Force is making recommendations that will initiate much-needed change in how System Administration develops, revises, and rescinds its policies, as well as identifying and recommending needed changes to the procedures and practices that guide implementation of University-wide policies.

The Task Force accomplished three main objectives in keeping with President Benson's charge by working to:

1. Identify the major policies, practices and procedures developed by System Administration that exasperate faculty and staff. These concerns have all been prioritized in this report.
2. Create significant efficiencies and identify opportunities for savings by reviewing and recommending the revision or elimination of several of the more burdensome policies, practices and procedures. These will provide a starting point for longer-term change.
3. Recommend specific actions to reinvent the policy-making process, including ways to solicit significant campus and user input from the earliest stages of policy development through its implementation and outlining the role and mission of the University Policy Office.

The report makes many recommendations for quick action on several burdensome policies, practices and procedures. In addition, it recommends significant changes in other areas that may take slightly longer to implement. Further, it highlights many efforts by units within System Administration that are already underway and are designed to ease the burden on the campuses and respond to their concerns.

This was not a process designed to offer perfect solutions to a select number of issues. It was a process to solicit a large number of comments and feedback from our University community, to prioritize the issues, and to begin to engage the subject matter experts in a cooperative and collaborative process to find solutions. This report represents the beginning of the next phase of work ahead - not the end. Due to the accelerated nature of the process, the report is intended to be a living document that will be revisited by the Task Force and the University Policy Office in the weeks and months ahead. Comments and corrections are certainly welcome.

This report provides a road map to achieve the significant change that President Benson requested. The University Policy Office, with continued assistance from the Task Force and other campus representatives, will be responsible in large part for working with the campuses and System Administration to implement the report's recommendations.

The Task Force also acknowledged obstacles to addressing some of the problems identified by the campuses. For example, federal regulations or state laws can make it difficult to make some of the requested changes. Another significant obstacle may be a lack of available funding, especially during the current economic downturn. In such cases, it is important that we communicate to faculty and staff any limitations for making changes so that they understand that policy modifications may not always be possible.

That said, the Task Force believes great progress can be made in overcoming many of the obstacles and helping ease the administrative burdens on the campuses. By creating efficiencies in University-wide policies, processes and procedures, we can provide savings in faculty and staff time and effort as well as financial resources.

## THE TOP 10 AGGRAVATORS

(with faculty and staff comments)

**1. There are too many policies; they change too fast; they are difficult to understand; and they are not easy to find.**

*“Policies are written at a high, technical level and they are hard for end users to interpret. Often one policy leads to others and it gets confusing for end users to figure things out (i.e. Official Functions (OF)—sometimes you use regular OF form, sometimes the Alcohol, then Sensitive Expenditures might come into play).”*

*“Distinguish between policies, procedures, and practices. 50% of policies are not needed.”*

**2. The administrative burden on campuses is problematic. There are too many requirements for faculty to complete non-academic tasks and the burden placed on staff is unwieldy – we are not staffed to operate at a best-practice level in all areas.**

*“This is a list of the non-academic tasks I've been asked to do for CU during the past year or so. Each one, individually, has a reason to be done. But the total becomes very, very large and significantly reduces the main work I'm supposed to do as a faculty member. Performance management system training and use, FRPA, DISCLOSURE OF PROFESSIONAL ACTIVITY (DEPA), Sexual harassment training, Information Security Training, Sponsored Project management training, Diversity training, Read diversity newsletter every week?, WebCT training, WebCT upgrade training, Teaching with Technology Design Survey, Fire Prevention Week, University-wide risk assessment survey, University Facilities policy, Successful Supervision in the State System (on-line) U00058-0001, Performance Mgmt (on-line) U10010-0001, Discrimination and Harassment (Classroom), ePers, Oracle Financial Database upgrade and encryption, Committee Meetings, Faculty meetings, IT data security sweep, Key Authorization. Thank you for asking!”*

*“By my rough estimate, I complete at least 300 pages of administrative work each year and at least 50 hours of training.”*

**3. We are too reliant on paper and manual processes. A greater emphasis on electronic means of doing work should be considered, including electronic signatures, forms, routing, and processing, which also would be more environmentally friendly.**

*“Please institute the ability to sign our timesheets online. This process takes a surprising amount of time out of my schedule. But it seems so unnecessary when even the IRS will allow us to sign our tax returns electronically!”*

*“The use of workflow and electronic signatures for core processes such as procurement of goods/services, payroll changes, HR changes, approvals for finance changes, etc., will not only reduce paperwork (following the CU green initiative) but also reduce costs and streamline work making the business more efficient in responding to requests. ”*

*“The lack of an electronic, easy to use requisitioning system is a very costly endeavor to an organization the size of CU because the tracking of costs and vendor negotiations are severely limited.”*

**4. There is a perception of mistrust of employees and a low tolerance for mistakes. Don't punish everyone for the missteps by a few or even one person.**

*“I like the fact that the goal is to make everyone's job easier without fear of doing something wrong. We all want to do our job well with guidelines, but not too many policies to fear.”*

*“What happened to TRUST?”*

*“At times, it seems we are treated like crooks, with a whole slew of folks hired to find our errors and find ways to tighten the screws. It is a tough environment in which to build staff morale.”*

*“I would also advocate for more personal responsibility and authority in doing our work.”*

**5. Procurement and travel processes are too cumbersome, time consuming, and confusing.**

*“The current official travel policy is both cumbersome and wasteful. The requirement to use a designated travel agent to purchase tickets incurs a charge of \$26 per booking (not insignificant given the number of bookings involved system wide) and frequently prevents access to the cheapest web based fares.”*

*“Revise reimbursement policies. The requirement for ‘original itemized receipts’ cannot be met in some circumstances and is unnecessary under any circumstances.”*

**6. Hiring processes are too cumbersome, time consuming, and confusing.**

*“Streamline the process for hiring employees. Too many good and great potential employees are lost (hired by other employers) during the unbelievably long hiring process.”*

*“System for selection of classified staff is too rigid and frustrating – it sometimes takes several months to work through the process.”*

**7. Training – too much...not enough...not specific to job positions...more methods of delivery (i.e., on-demand, just-in-time, mentoring)...more tools like “step-by-steps,” and refresher sessions as requested, not mandatory.**

*“Faculty should not have to participate in excessive training and testing. They need to focus on their primary tasks of teaching and research.”*

*“As a Director of a department I received very little training that was specific to my job. I still continue to find out that I have filled out forms incorrectly or forgotten a form, etc. It is very frustrating to strive to be as efficient as possible when there has not been enough sufficient training to obtain that goal. While I do not feel that we need as much online training as is required, I do feel that employees, especially Directors, need more job specific training that will help them be more efficient in all of their required duties.”*

**8. The policy, procedures, and processes related to alcohol, cell phones, and special events need to be streamlined and simplified.**

*“Discontinue the alcohol purchase and provision policies. They are burdensome and do not achieve the goals they were intended to achieve.”*

*“The cell phone policy is obsolete with too many restrictions.”*

*“I suggest we refine and simplify the process for special events. I further suggest that there be a realistic template for doing special events. Many rules exist, little clarity.”*

**9. The new financial reporting system is difficult to use and doesn’t meet the department’s needs.**

*“The Fiscal Reports are useless; they are impossible to read. We now use workarounds to get reports.”*

*“The new monthly statements that are being used are hard to read. Many staff are using shadow systems to provide them with a report that meets their needs.”*

*“Go back to traditional accounting statements vs. normalized accounting statements. Why did we change? ”*

**10. Policies are written to cover every single possible situation that could arise.**

*“Don’t try to craft policies to cover every possible situation.”*

*“Policies are written to the minute detail to cover every potential situation. Write them to cover 80% of the situations and allow professional judgment and/or management discretion to handle the rest.”*

## **SOME QUICK SOLUTIONS**

1. Changes to policies, procedures, and forms – limit to two times per year. (Recommendation 1)
2. New University policy webpage with quick access to all policies and search engine. (Recommendation 5)
3. Redefine clear role and mission for University Policy Office. (Recommendation 8)
4. New University policy process, with campus and end-user involvement. (Recommendation 2)
5. New standardized policy template. (Recommendation 4)
6. Expedite review and elimination of nine administrative policy statements. (Recommendations 10, 26, 27 & 29)
7. Changes to dollar limits and thresholds:
  - a. Increase dollar threshold for official functions from \$100 to \$500. (Recommendation 12)
  - b. Eliminate controller sign off on undocumented ACARD receipts over \$100. (Recommendation 15)
  - c. Increase small dollar purchase limit from \$4,500 to \$5,000. (Recommendation 18)
  - d. Increase dollar threshold for contracts requiring presidential approval from \$1M to \$5M. (Recommendation 19)
8. Electronic leave and time entry. (In progress)
9. New cell phone procedures. (Recommendation 11)

## **LONGER-TERM RECOMMENDATIONS WITH SIGNIFICANT BENEFITS**

1. eProcurement System. (Recommendation 17)
2. More electronic means of carrying out administrative functions – including electronic signatures. (Recommendation 20)
3. Reporting system improvements. (Recommendation 14)
4. Document management system. (Recommendation 22)
5. Delegation of personnel actions for PRAs and instructors. (Recommendation 24)
6. Improved coordination and information on training. (Recommendation 32)
7. Review of alcohol policy and procedures. (Recommendation 13)

## SUMMARY OF RECOMMENDATIONS

This is a summary of the 36 recommendations made by the Task Force on Efficiency – all of which are discussed in more detail throughout the referenced chapters and subchapters of the report.

### REINVENTING THE POLICY PROCESS (See Chapter 2 – page 17)

**Recommendation 1:** Beginning July 1, 2009, *changes* to current forms, procedures, and policies will be implemented *no more than twice per year* (each January 1<sup>st</sup> and July 1<sup>st</sup>). Under special circumstances, it may be necessary to allow very limited exceptions to this rule.

**Recommendation 2:** Finalize and adopt a *single process* for developing administrative policy statements that includes campus and end-user input from the earliest stages of development, and that adheres to the guiding principles and elements.

**Recommendation 3:** The new policy process must provide a mechanism to ensure an *ongoing review and assessment* of all new and existing policies to determine if they are meeting the intended purpose and if modification or elimination is warranted.

**Recommendation 4:** Develop a new *policy template* (Appendix 2) that works toward simplifying and shortening all new and existing policies from System Administration.

**Recommendation 5:** Develop a new, user-friendly *University Policy Website* (Appendix 3) to provide a single location for faculty and staff to find all University policies and include a *search tool* to help find policies. It also should link with Regent and campus policies.

**Recommendation 6:** Develop and maintain consistent means of *communicating changes* in policies, recognizing that end-users (e.g., faculty and staff) may prefer various forms of communications.

**Recommendation 7:** Clarify *roles and responsibilities* of the Policy Coordination Committee (PCC) which is responsible for recommending and drafting policies to ensure campus involvement and consistency in developing policies.

**Recommendation 8:** Approve the recommended *role and mission* statement for the University Policy Office that ensures campus input and more clarity and brevity in drafting policies.

**Recommendation 9:** Support the establishment of a *policy network* that includes the appropriate staff from the campuses. The Director of the University Policy Office should begin attending the Regents Laws and Policies Committee meetings.

**Recommendation 10:** The University Policy Office should continue working to *eliminate any unnecessary policies and to streamline the policy process* by working with the appropriate policy owners.

### FISCAL (See Subchapter 3A – page 23)

**Recommendation 11:** The University should seek approval from the State Controller to allow the University to offer a stipend to certain staff members to purchase their own *cell phones* and eliminate much of the paperwork associated with this process.

**Recommendation 12:** Raise the dollar threshold for *official function* forms from the current \$100 amount to \$500. This will eliminate 8,000 forms per year.

**Recommendation 13:** While keeping the main tenets of not using state dollars and requiring the appropriate level of approval for purchasing alcohol for university events, the University Policy Office should immediately

begin a formal *review of the University alcohol policy and related processes and procedures* to determine their effectiveness and efficiency. This review should include consultation with the entities directly involved in the policy.

**Recommendation 14:** System Administration must find a *financial reporting solution* that meets the needs of the University end users, including consideration of the issues surrounding normalized accounting formats.

**Recommendation 15:** Eliminate the requirement that the controller sign off on *undocumented receipts* over \$100 for ACARDs.

**Recommendation 16:** The Task Force supports the Administration's goals and efforts toward dramatically reducing the paperwork and approvals associated with *fundraising/special events*, including the possibility of having the CU Foundation be responsible for these events.

## **PROCUREMENT** (See Subchapter 3B – page 27)

**Recommendation 17:** The University should pursue an *eProcurement solution* to provide an efficient and user friendly process for faculty and staff to order commonly required products and specific services from University contracts and preferred suppliers.

**Recommendation 18:** Raise the small dollar purchase limit from \$4,500 to \$5,000. This would reduce 1,300 approvals per year.

**Recommendation 19:** Raise the threshold for contracts requiring presidential approval from \$1M to \$5M for goods and services.

## **INFORMATION TECHNOLOGY** (See Subchapter 3C – page 32)

**Recommendation 20:** Serious consideration should be given to promote more electronic means of carrying out administrative functions throughout the University, including expanding the electronic signature capability of PeopleSoft.

**Recommendation 21:** Prioritization of eProcurement and financial reporting system improvements will be critical to increase efficiency, promote process effectiveness, provide financial savings, and reduce the administrative burden on faculty and staff in the months and years ahead.

**Recommendation 22:** An analysis and business case should be developed regarding a document management system which could improve the effectiveness of the new University Policy Webpage, work flow, and alignment of all University policies, procedures, and forms.

**Recommendation 23:** Awareness of existing directory tools should be made available to help faculty and staff more easily find directory information of other faculty and staff throughout the University, pending any longer-term solution to create a single directory for CU. (<https://www.cu.edu/content/campus-phone-directories>)

## **HUMAN RESOURCES** (See Subchapter 3D – page 34)

**Recommendation 24:** Pending a legal opinion, refine Regent Policy 2-K *Personnel Authority for Employees Exempt From the State Personnel System* regarding the requirement for the President's or Chancellor's signature on personnel actions for faculty, officers and exempt professionals to speak to tenured and tenure-track faculty only. Possible changes could include further delegation of responsibility for hiring PRAs, etc.

**Recommendation 25:** To more effectively and consistently utilize the hiring process of retirees the Senior Associate Vice President and Chief Human Resources Officer and the campuses' Human Resources Team should begin conversations designed to provide clear guidance on the practice of retirees returning to work.

**Recommendation 26:** The University Policy Office should promote an expedited review and possible elimination of the following human resource-related administrative policy statements (which have already been reviewed by the Human Resources officers), involving appropriate subject matter experts and campus representatives.

#### **ACADEMICS (See Subchapter 3E – page 37)**

**Recommendation 27:** Eliminate the Administration Policy Statement (APS) entitled - *Procedures for Offering Instructional Programs Outside the State of Colorado*.

#### **COMMUNICATIONS AND WEBSITE (See Subchapter 3F – page 39)**

**Recommendation 28:** When new policies are created, or existing ones are changed, the units and personnel in System Administration should strive to improve their communications with the campuses, staff, and faculty. Knowledge and use of communications' best practices should be a priority.

**Recommendation 29:** Eliminate the APS entitled *Establishment of University Graphics Standards Board*.

#### **TOOLS AND TRAINING (See Subchapter 3G – page 41)**

**Recommendation 30:** Explore effective and efficient ways to pursue mentoring or virtual networks to supplement current methods of training.

**Recommendation 31:** Explore ways to provide job-specific, role-specific training and professional development needs for those people new to the University or who are moving into higher level positions.

**Recommendation 32:** Improve coordination and information dissemination between system and the campus on what training is available and required via a predictable master schedule and effective communication process that allows adequate time for employees to complete the required training.

#### **OVERARCHING THEMES AND ISSUES (See Subchapter 3I – page 45)**

**Recommendation 33:** Ensure that all service centers (i.e., Payroll & Benefit Services, Procurement Service Center, the Office of the University Controller, and University Information Services) continue holding regular open meetings on the campuses to share information and updates and receive feedback on their operations.

#### **WHERE DO WE GO FROM HERE? (See Chapter 4 – page 47)**

**Recommendation 34:** The Task Force recommends that it offers to meet with the campus constituency groups who participated in the input process to report back on the findings and recommendations (during March and April).

**Recommendation 35:** The Task Force recommends that it continues to meet on a quarterly basis to review progress in implementing the recommendations of the report and make any additional recommendations relating to the original Task Force Charge.

**Recommendation 36:** The Task Force recommends that the President adopt all recommendations outlined in the report.

## Chapter 1: Introduction

### Acknowledgements

The Task Force wishes to acknowledge the willingness by the University community to meet with them, attend the open forums, and submit comments and suggestions through the Task Force website.

The Task Force also would like to acknowledge and thank the following individuals for their invaluable support to this project:

- Denise Sokol, Consultant and former Assistant Vice Chancellor for Institutional Research, Planning, and Analysis, UCD
- Sandy Tureson, Assistant to the Director of the University Policy Office
- Wynn Pericak, Special Assistant to the Vice President for Administration and Chief of Staff
- Kathy Roben, Assistant to the Director of Capital Assets and Assistant to the Director of the University Policy Office
- Leonid Balaban, IT Support – Office of the President
- Jon Arnold, IT Professional II, University Management Systems (UMS)
- System and campus subject matter experts (see pages 13-14)

### Background

In the spring of 2008, as a candidate for the presidency of the University of Colorado, Bruce Benson met with numerous campus groups to answer questions and listen to what they had to say. During those meetings he heard many concerns about policies, practices and procedures coming out of the president's office that drive faculty and staff crazy. Specific *examples* of what he heard include:

- Stop the proliferation of policies and administrative burden.
- Get rid of unnecessary policies; make remaining policies simple, understandable, and clear; simplify the entire policy process and structure; communicate policies well; and make them easy to find.
- Treat all employees with respect and as trusted and valuable members of the CU community. There is a sense that all processes and policies are developed from the standpoint that no one can be trusted and "everyone is a crook." The University should stop creating policies to address behaviors (don't punish or require everyone to be trained because someone or some department broke the rules – simply deal with that employee or department).
- Seek input from the campuses before policies are drafted and implemented.

With this in mind, President Benson created the Task Force on Efficiency to help address the concerns of the University community, how System Administration can support the campuses better, and identify specific ways to help ease the administrative burden placed on the campuses by System Administration. President Benson cited the following guidelines:

- He is not willing to spend \$1M to fix a \$10,000 problem;
- He doesn't want to create a new policy to address a problem caused by the mistake of one employee;
- Although he is willing to accept some risk because he understands that the University is not able to meet the goal of "best practice" in every area, the Task Force must balance any recommendations with acceptable levels of risk, accountability, and compliance.

The outstanding commitment of the Task Force members and subject matter experts and the significant and thoughtful input we received from the faculty and staff on the campuses and from System Administration helped this process succeed in this early stage of creating change.

## President's Charge:

1. Find ways to improve the general efficiency and effectiveness of System operations by identifying:
  - a. Policies, procedures, processes, and/or practices that could be revised, simplified, eliminated or created, if needed, to improve efficiencies/effectiveness or would better meet the needs of the University community; *(Any proposed actions must be balanced with acceptable levels of risk and maintain adequate compliance and accountability.)*
  - b. Ways of improving System Administration's communications regarding new policies, initiatives, and procedures with the entire University community;
  - c. Ways of providing the appropriate tools and training needed by staff and faculty to implement required policies and procedures; and
  - d. Ways of increasing the cooperation and coordination among System Administration and its operating units, campuses, and affiliates.
2. Provide feedback and guidance to the University Policy Office on the development of new policies and the University policy process.

## Task Force Members

NAME	TITLE	CAMPUS
<b>FACULTY:</b>		
Roxanne Byrne <sup>@</sup>	Associate Professor, Mathematical & Statistical Sciences and Chair, UCD Faculty Assembly	UCD
Uriel Nauenberg <sup>@</sup>	Professor, Physics and Chair of Boulder Faculty Assembly	UCB
John McDowell <sup>@</sup>	Professor/Director, Oral Medicine & Forensic Sciences and Chair of the University of Colorado Faculty Council	UCD
Jackie Berning <sup>@</sup>	Chair/Associate Professor, Biology and Chair of UCCS Faculty Assembly	UCCS
William H. Kaempfer *	Associate Vice Chancellor/Vice Provost and Professor of Economics	UCB
<b>STAFF:</b>		
Larry Drees <sup>+</sup>	Program Director, Housing and Dining Services	UCB
Steve McNally *	Associate Vice Chancellor for Budget and Finance/Controller	UCB
Jeff Parker *	Associate Vice Chancellor, Finance & Administration	UCD
Robert Fries *	Associate Dean, Finance and Administration – School of Medicine	UCD
Jane King *	Accountant II	UCCS
Rosemary Augustine *	Senior Associate, University Counsel	UCCS
Lisa Landis <sup>#</sup>	Director, Human Resources	System
<b>SYSTEM:</b>		
Leonard Dinegar (Chair)	Vice President for Administration and Chief of Staff, Office of the President	System
Kelly Fox	Interim Vice President, Budget and Finance	System
Dan Montez (Staff)	Director, University Policy Office	System
Kevin Sisemore, Ex Officio	Audit Manager-Internal Audit	System

\* Nominated by Campus Chancellor/VC

+ Nominated by Staff Council

@ Nominated by Faculty Council

# Nominated by System Administration Staff Council

## President's Expectations of the Task Force:

1. The charge shall be reviewed by the Task Force at each meeting to ensure continued focus of the role of this group.
2. Develop a structured approach that enables the Task Force to quickly identify, analyze, and recommend actions designed to meet the President's charge.
3. Meet as necessary and provide periodic updates to the President, through the Chair, on its progress, findings, and recommendations.
  - The Task Force may make recommendations at any time and does not have to wait for the final report to the President to forward any suggestions and/or recommendations.
  - If applicable and appropriate, ensure that recommendations are adequately cross-referenced to existing or prior audits (internal or external) and include information on the finding, the original University response, the Task Force recommendation, and the implication of implementing the recommendation.
4. In addition to meeting with faculty and staff governance groups, the Task Force should hold at least one open forum at the Boulder, Colorado Springs, downtown Denver, and Anschutz Medical campuses; ensuring that each is publicized and open to all members of the University community.
  - The Task Force should also seek other opportunities for feedback, including the use of e-mail and/or a dedicated website.
5. Engage with the subject matter experts as needed and appropriate.
6. Task Force to deliver a final report and final list of recommendations to the President in February 2009, including the status of any recommendations made during the course of their work.

## Subject Matter Experts

Subject matter experts (SMEs) are those individuals on the campuses or within System Administration who have an expertise in a given area, such as Human Resources or Information Technology. They were used as advisors to the Task Force on issues pertaining to their area.

NAME	TITLE	CAMPUS
<b>ACADEMIC:</b>		
Kathleen Bollard	Associate Vice President, Academic Affairs	System
Marguerite Childs	Associate Vice Chancellor, Academic Resources & Services	UCD-AMC
Jeff Cox	Professor of English & Comparative Literature & Humanities and Associate Vice Chancellor of Faculty Affairs	UCB
Laura Goodwin	Associate Vice Chancellor, Faculty Affairs & Undergraduate Enrichment	UCD-D
Steve Lowenstein	Assoc Dean for Faculty Affairs/ Professor of Surgery, Medicine	UCD-AMC
David Moon	Associate Vice Chancellor for Academic Affairs	UCCS
<b>COMMUNICATIONS:</b>		
Deborah Méndez-Wilson	Director, Communications, University Relations	System
Bronson Hilliard	Director, Media Relations and Spokesperson	UCB
Tom Hutton	Director, Office of University Relations	UCCS
Steve Krizman	Assoc Vice Chancellor, Integrated University Communications	UCD
Ken McConnellogue	Associate Vice President for University Relations	System
Jacque Montgomery	Director of PR, Media Relations	System
Marilyn Starrett	Manager, Communications and PR	CU Foundation
Michael Warden	Associate Vice Chancellor, University Communications	UCB
Danielle Zieg	Director, Internal Communications	UCD

NAME	TITLE	CAMPUS
<b>FISCAL:</b>		
Judy Ganschaw	Interim University Controller	System
Julie Brewster	Controller	UCCS
Roger A. Cusworth	University Deputy Controller	System
Kim Huber	Controller	UCD
Laura Ragin	Director, Accounting and Business Support	UCB
<b>HUMAN RESOURCES (HR):</b>		
E. Jill Pollock	Sr Associate Vice President & Chief Human Resources Officer	System
Candice Bowen	Executive Director, Human Resources	UCB
Cindy Corwin	Director, Human Resources	UCCS
Kevin Jacobs	Assistant Vice Chancellor, Human Resources	UCD
Mark Stanker	Assistant Vice President, Payroll and Benefit Services	System (PBS)
<b>INFORMATION TECHNOLOGY (IT):</b>		
John Cooney	Associate Vice President, System Operations	System
Jason Armbruster	Director, Computer Operations & Infrastructure	System
<b>POLICIES:</b>		
Tobin Bliss	Financial Analyst	System
Kathleen Bollard	Associate Vice President, Academic Affairs	System
Jeremy Hueth	Managing Associate, University Counsel	System
Janet Lowe	Director, Training and Development	System
Catherine Marquis	Director, Controller Operations	System
Jill Pollock	Sr, Associate Vice President and Chief Human Resources Officer	System
Millie Ramos	Assistant Vice President, Human Resources	System
Normandy Roden	Associate Director and Business Process/Policy Analyst	System
Linda Starkey	Assistant to Associate Vice President for Academic Affairs	System
Jennifer Watson	Assistant Counsel	System
<b>PROCUREMENT:</b>		
Sandy Hicks	Assistant Vice President & Chief Procurement Officer	System (PSC)
Judy Ganschaw	Interim University Controller	System
<b>TRAINING:</b>		
Janet Lowe	Director, Training and Development	System
Heather Hoyer	Specialist, Training and Documentation	System
Kathy Illian	Trainer, Financial Services	UCD
Jennifer Lahlou	Director, Learning and Development	System
Laura Ragin	Director, Accounting and Business Support	UCB
Normandy Roden	Associate Director and Business Process/Policy Analyst	System
David Sayers	Assistant Director, Accounting and Business Support	UCB
<b>OTHER:</b>		
Dan Palmquist	Vice President/Controller CU Foundation	CU Foundation
Jill Taylor	Director, Institutional Research	System
Catherine Shea	Assoc Counsel for Tech Transfer and Research Compliance	System

## Methods of Gathering Input and Task Force Activities

1. **Website** – the Task Force established a dedicated website [<https://www.cu.edu/efficiency>] to provide information on the project and to facilitate feedback from the University community by way of an easy-to-use feedback feature.



The website alone accounted for nearly 400 detailed comments from faculty and staff.

2. **Task Force Meetings** – the Task Force met nine times since November.

Task Force with President	11/12/08
Task Force	12/3/08
Task Force	12/17/08
Task Force	1/7/09
Task Force	1/21/09
Task Force	2/4/09
Task Force	2/18/09
Task Force with President	3/4/09
Task Force with Regents	3/12/09

3. **Campus Open Forums** – the Task Force held five campus open forums (Boulder, Colorado Springs, Denver-Downtown, Denver-AMC, and System Office).

UCB	11/18/08
UCCS	12/2/08
UCD-Downtown	12/3/08
UCD-AMC	12/4/08
System	12/8/08

4. **Campus Outreach Meetings** – the Task Force completed over 30 campus outreach meetings.

**UCB**

Associate Vice Chancellors	11/18/08
Chairs Breakfast	12/5/08
Academic Budget Officers	12/11/08
BFA Executive Committee	1/12/09
Staff Council	1/14/09
Assistant To's Group	1/28/09
Dean's Council	2/3/09
VC for Administration's Directors Meeting	2/10/09
Academic Budget Officers	2/12/09

**UCD-D**

Fiscal Manager's Group	12/12/08
Assoc Deans Academic Support	1/6/09
Faculty Budget Committee	1/22/09
Faculty Assembly	2/3/09

**SYSTEM**

Subject Matter Experts	11/18/08
University Staff Council	12/4/08
System-wide Controllers	1/12/09
Regents General Study Session	1/14/09
Policy Coordinating Committee	1/23/09
Policy Website Meeting	1/27/09
Procurement Center Staff	1/28/09
Policy Website Meeting	1/28/09
University Staff Council	2/5/09
Faculty Council	2/26/09

**UCCS**

UCCS Leadership Team	11/24/08
UCCS Strategy Team	12/9/08
Faculty Assembly	12/12/08
PESA	1/13/09
Staff Council	1/13/09

**UCD-AMC**

Academic & Student Affairs Leadership	12/17/08
SOM Administrators	1/8/09
Senior Administrators	1/9/09
AMC Faculty Assembly	2/24/09

In total, the Task Force received over 700 comments from all the sources (See Appendix 1).

## Chapter 2: Reinventing the Policy Process

The Task Force was charged to provide feedback and guidance to the University Policy Office on the development of new policies and the University policy-setting process. In doing so, it considered the following feedback from the University community relating to the University policy process.

### Summary of Feedback Received

Numerous comments were received concerning specific policies as well as the policy process overall. The specific policy issues are covered, for the most part, in subchapters 3A-3I. This section contains the feedback and recommendations regarding the overall policy process. There were 97 comments related to the policy category and they fall into the topic areas of communication, development and organization, number of policies, overall comments, process, and other. In general, the sense of the comments is that there are too many policies; the proliferation of policies has gotten out of hand; policies are poorly written, confusing, and not well organized; the development process needs more input by those who implement the policies and procedures; there is not enough information about why a specific policy is necessary or what the reasons are for a policy being rescinded; and that the tone of policies is “guilty until proven innocent.”

Some suggestions for improvement:

- Create a website where all policies are housed that is well organized and searchable and have links from policies to the related forms and procedural step-by-step guides where appropriate.
- Clearly articulate and communicate policies and policy changes to the University community.
- Policies should be reviewed during development to determine whether or not they are truly needed and that the analysis include a consideration of what the resulting policy and procedure will cost in faculty and staff time.
- Clearly articulate the hierarchy of policies from Regent to System to campus levels.
- Reduce the number of policies and streamline multiple policies on the same topic.
- Policies should never be established to address the behavior of a small group.
- Create a much more comprehensive vetting process for policies that includes those who will use and implement the policies.

### Recommendations

In response to the concerns listed above, the President’s Task Force on Efficiency recommends the following actions be taken by the University Policy Office to help improve the policy process; access to and understanding of administrative policy statements; the communications of policies; and the connection to the campuses.

**Recommendation 1: Beginning July 1, 2009, changes to current forms, procedures, and policies will be implemented no more than twice per year (January 1<sup>st</sup> and July 1<sup>st</sup>). Under special circumstances, it may be necessary to allow very limited exceptions to this rule.**

One of the most common comments has been how much policy, procedures, and forms change throughout the year, causing additional work, confusion, and frustration by the end users. In many instances, the changes are not critical and could be delayed without causing significant problems for the system or the end users.

From a campus perspective, we received the following examples of frustration relating to forms changing too frequently:

*“Organizational units use various forms for processing payments and reimbursements; however, multiple revisions of these forms make it difficult for front-line financial and accounting staff to stay current. Since December 2004, the Travel Voucher form has changed ten times and the Payment Voucher form has changed eight times. At one point, the Payment Voucher form was revised three times in three months. Some of the changes were minor, including voucher mailing address (which still has not been fixed on the current Travel Voucher form), deleting fund/org/program/sub class fields, adding employee ID field, and rewording the certification box slightly.”*

Each service center the Task Force met with provides a transition period when forms change. For example, they continue to accept the old forms for a period of time (i.e., 60 days). Despite these efforts, there are continued claims that the changes in forms result in forms having to be redone and reprinted; the payee must re-sign and make a copy before it can be resent to the service centers for processing.

**Recommendation 2: Finalize and adopt a *single process* for developing administrative policy statements that includes campus and end-user input from the earliest stages of development, and that adheres to the following *guiding principles and elements*:**

The University policy-setting process should:

- Be simple and understandable.
- Be transparent and predictable.
- Be collaborative and consultative.
  - It should ensure consultation with impacted groups, by providing consistent opportunities for review and comment at the earliest stages of development by the University community, including faculty and staff governance groups and end users.
  - Utilize existing University and campus channels to the extent possible.
- Include a review of legal and financial implications of the policy as early in the process as possible. Such review should include, to the extent possible, an analysis of the cost/benefit (including time) and potential risk implications of the proposed policy.
- Provide a fast-track process for dealing with emergencies and/or other extraordinary circumstances.
- Clearly outline the roles and responsibilities of each entity involved in the University policy-setting process, including the University Policy Office, Policy Coordination Committee, and University leadership groups.
- Ensure proper policy alignment with all levels of laws and policies, including Regent Laws and Policies, Administrative Policy Statements, and campus policies.
- Ensure that all new, rescinded, and revised Administrative Policy Statements are communicated to those responsible for implementing them and that records and web pages are updated and preserved.
- Ensure that consideration be given to the appropriate level of training or other educational tools needed for each new policy or policy revision and work with the appropriate training entities to help assess the needs.
- Allow for appropriate levels of discretion and seek to empower individual decision-making where possible and appropriate.

**Recommendation 3: The new policy process must provide a mechanism to ensure an *ongoing review and assessment* of all new policies to determine if they are meeting the intended purpose and if modification or elimination is warranted.**

The new policy process will include a policy maintenance mechanism to ensure that all existing and new policies will be reviewed on a regular basis. The specific dates of the reviews will be provided as policies begin to be migrated into the new standardized policy template. The University Policy Office will work with the policy owners on the regular review schedule but may accelerate such review, if warranted.

**Recommendation 4: Develop a new *policy template* (Appendix 2) that works toward simplifying and shortening all policies, emphasizing that University policies and administrative policy statements should be:**

- a. Mission-driven
  - Support the mission, values, initiatives, and strategic goals of the campuses and the CU System as a whole
  - Whenever possible, set expectations for faculty and staff rather than dictating specific rules that are inflexible
- b. User-friendly
  - Easy to find and understand
  - Written as succinctly as possible

- c. Consistently formatted and provide useful information, such as
- Reason for policy
  - Related policies, procedures, and forms
  - Related training and instructions
  - Who is the policy owner and responsible Vice President
  - Who the policy applies to
  - Who reviewed it and when
  - Who is responsible for each phase
  - Effective date, date last updated and/or reviewed, date of next scheduled review
  - Definitions
  - Frequently Asked Questions (FAQs)
  - History
  - Opportunity for feedback

**Recommendation 5: Develop a new, user-friendly *University Policy Website* to provide a single location for faculty and staff to find all University policies and include a search tool to help find policies. It also should link with Regent and campus policies.**

<https://www.cu.edu/policies/2009/>

(See Appendix 3 for screen shots.)

**Recommendation 6: Develop and maintain consistent means of *communicating changes* in policies, recognizing that end-users (e.g., faculty and staff) may prefer various forms of communications.**

(See Appendix 4)

**Recommendation 7: Clarify *roles and responsibilities* of the Policy Coordination Committee (PCC) which is responsible for recommending and drafting policies to ensure campus involvement and consistency in developing policies.**

- Include campus representation on System Policy Coordinating Committee.

**Recommendation 8: Approve the recommended *role and mission* statement for the University Policy Office that ensures campus input and more clarity and brevity in drafting policies.**

The President took the first step in improving the University policy process by establishing the University Policy Office (UPO). The President's Task Force on Efficiency recommends formalizing the role and mission of the UPO to clarify its responsibilities, including:

- Providing excellent customer service and policy support to the University community
- Continuing its campus outreach and communications efforts
- Cleaning up administrative policies and working with leadership to make recommendations to address opportunities to streamline and improve processes and procedures
- Being the official repository for all Administrative Policy Statements (APS)
- Striving to increase the general understanding of University policies and the linkages between the various levels of policies and regulations (campus-, system-, Regent-, State-, and Federal-levels)

See Appendix 5 for recommended University Policy Office role and mission.

**Recommendation 9: Support the establishment of a *policy network* that includes the appropriate staff from the campuses. The Director of the University Policy Office should begin attending the Regents Laws and Policies Committee meetings.**

**Recommendation 10: The University Policy Office should continue working to *eliminate any unnecessary policies and to streamline the policy process by working with the appropriate policy owners.***

The Task Force was charged to identify policies and procedures that could be revised, simplified, eliminated, or created, if needed, to improve efficiencies/effectiveness or would better meet the needs of the University community. The administrative policy statements (APSs) listed on the previous APS webpage have been reduced from 210 to 138 through the elimination of cross-listed policies and removing obsolete or previously rescinded policies. In addition to these, the Task Force has recommended the elimination of several policies in the subject matter areas. The University Policy Office, working with the Policy Coordination Committee and appropriate campus and subject matter personnel, should continue working to streamline and eliminate any unnecessary policies.

## Chapter 3: Responding to Campus Concerns

### Introduction

#### Areas of Focus and Review Methodology

The Task Force engaged the assistance of Denise Sokol, consultant and the former Assistant Vice Chancellor for Institutional Research, Planning, and Analysis at the University of Colorado Denver, to organize and distill the hundreds of comments into more manageable categories and summaries.

- Steps were taken to ensure the anonymity of the individuals submitting feedback and comments.
- Any comments which were deemed to be campus-specific were segregated and will be handed off to the campuses.
- Similar comments were grouped in the summaries presented to the Task Force.
- Summaries included any unique information, such as the responses which were in direct opposition to other comments.
- Due to the time restrictions, some issues and suggestions will be forwarded and discussed with the appropriate subject matter experts for further review and discussion. This will be noted within each section as appropriate.

The remaining comments and feedback were all reviewed and sorted for further action by the Task Force or will be handed off to the University Policy Office for resolution.

#### Task Force Subgroups

Task Force subgroups were formed that included Task Force members and system and campus subject matter experts to take a closer look at the subject-specific issues and suggestions gathered. The subject areas and associated subgroups included:

- Academic
- Administrative, General
- Communications
- Fiscal
- Human Resources (HR)
- Information Technology (IT)
- Policies
- Procurement
- Training

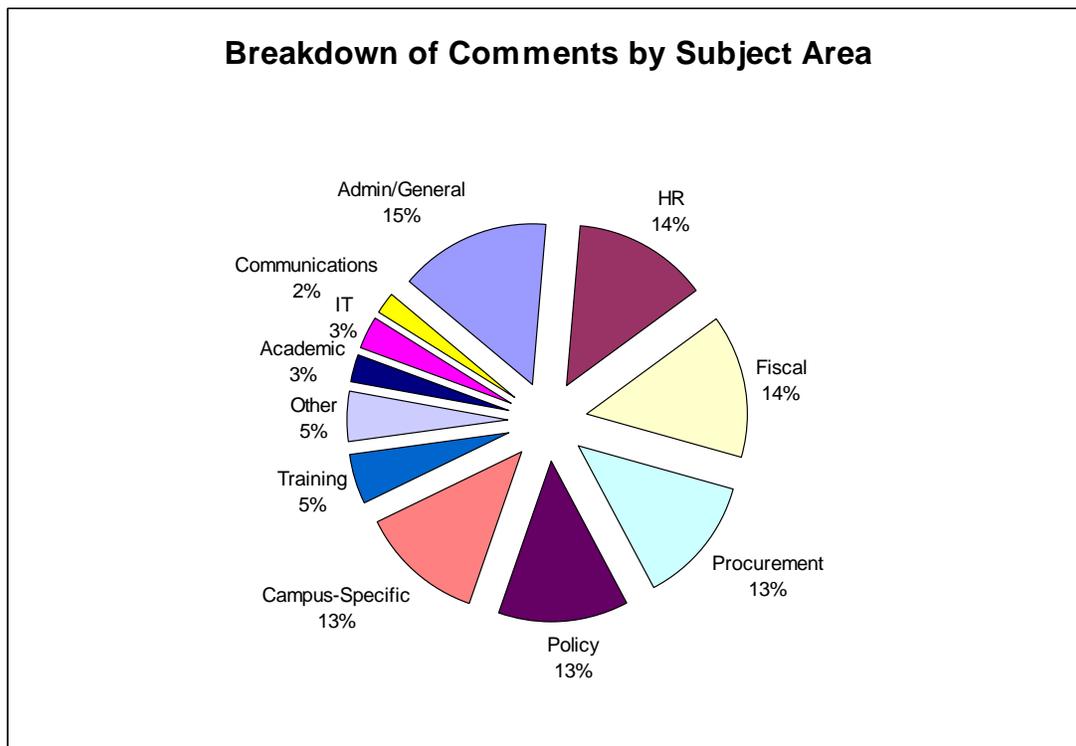
In addition, a variety of subject matter experts met with the full Task Force, as needed.

#### Subgroup Charge

Each subgroup was asked to:

- *Review* and *prioritize* all comments and feedback
- *Identify* any key issues and/or topics that need more explanation or clarification (see “Did You Know?” below)
- *Highlight* any issues where action could be taken by the Task Force; issues that would be addressed by actions or initiatives currently underway by the departments; any constraints or obstacles for either the Task Force or departments from taking action (i.e., state law or state fiscal rules); and any other information which should be included in the Task Force report
- *Report* back to the full Task Force

The results of the various subgroups, including recommendations, are provided in the proceeding subchapters. The comments are summarized in greater detail in the online report appendices located at: <https://www.cu.edu/content/taskforcereport>.



### Did You Know?

Wherever possible, this report will help clarify misconceptions or misunderstandings brought up in the feedback or any policy and procedures that might need further explanation or clarification. These highlighted items will be marked with the special “magnifying glass” symbol throughout the report.

## Sub-Chapter 3A: Fiscal

### Summary of Comments Received

There were 99 comments overall in the fiscal category that were then grouped further into a number of topic areas, including A-cards, alcohol, capital projects, cell phones, the fiscal code of ethics, reporting, special events, ePERS, journal entries, streamlining, and system financial services. In general, the comments relate to simplifying, clarifying, and streamlining policies, procedures, forms and processes with specific comments in some areas such as the alcohol policy, the cell phone policy, the official functions form and policy, employee appreciation and recognition events, financial reporting, special events, and the overall burden on faculty and staff created by policies and procedures that are too complicated, time-consuming, and restrictive.

Comments about A-cards include concerns related to the requirement that undocumented receipts and reimbursement forms over \$100 have to be routed to the campus Controller for approval causing additional work and delay in processing; and suggestions that the A-card and the travel card be combined. There were numerous concerns expressed about the alcohol policy, procedures, and forms being too restrictive, cumbersome, confusing, and punitive. The consensus is that the entire policy and all related forms and procedures should be reviewed, streamlined, and revised to provide more appropriate guidance to the University community. Several comments related to the capital process call for streamlining approvals and requesting changes to the dollar threshold for capitalization. There were a variety of comments about the cell phone policy, including that it is very difficult and time consuming to obtain a cell phone; that communication about proposed changes to the policy and procedures do not reach all employees; that the proposed changes would make it difficult for some departments to adequately deploy the technology needed by their employees (facilities management, for example); and that the policy is obsolete with too many restrictions.

A number of employees commented on the fiscal roles and responsibilities policy saying that while it provides important guidance concerning fiduciary responsibilities, it is very detailed and difficult for non-financial staff to understand and that it establishes procedures at a level of detail that is not appropriate to all departments. Concerns expressed about forms were mostly requests that forms and processes not be changed over and over and that there should be a standardized schedule on which forms are updated. There were comments expressed concerning the need to review and raise the dollar limit on official function forms and other comments related to the need to clarify and revise policies and procedures related to special events.

The topic of reporting received a lot of comments calling for revamping the entire financial reporting effort because the COGNOS reports do not provide information in a format that is useful for the intended audience (e.g. fiscal managers and principle investigators). The use of normalized accounting in the reports makes the information confusing and difficult to understand; departments must develop shadow systems or use other tools to get the information they need because COGNOS reports are not user friendly and don't provide the content and delivery format for effective and efficient financial management. Also, there is a need for a separate high level "dash board" report for principal investigators so they can quickly review the financial status of their sponsored projects.

There were other miscellaneous comments made, examples of which include streamlining processes overall; eliminating the requirement to do things that waste peoples' time; concerns that faculty are overburdened with financial accounting and reporting which takes them away from teaching and research duties; a few specific concerns about journal entries; and the need for better coordination and cooperation among the Office of the University Controller, University Information Systems, and the campus Information Technology offices.

## Recommendations

**Recommendation 11: The University should seek approval from the State Controller (SC) to allow the University to offer a stipend to certain staff members to purchase their own *cell phones* and eliminate much of the paperwork associated with this process.**

The Task Force received the following feedback from the Office of the Vice Chancellor for Administration at UC-Boulder, which was fairly representative of some of the other comments and issues relating to cell phones:

*“Use of personal technology requires close monitoring in order to prevent abuse. However, this policy is very complex and cumbersome to monitor. One provision in this five-page procedural statement that is particularly concerning is the requirement for obtaining Personal Technology Authorization (PTA) numbers.*

*Facilities Management has 300 employees with telecommunications equipment, and the average monthly cost is less than \$30. Three people are required to obtain (is this the right term?) a PTA number: the user; a person to enter the request for the PTA into PeopleSoft; and someone to approve the PTA request. Additional staff resources are required to manually maintain a list of PTA numbers, which must be submitted along with invoices for payment. The benefit of the PTA is not well understood.”*

The Office of the University Controller has already begun revising the current policy to streamline the cell phone policy, particularly regarding the Personal Technology Authorization (PTA) numbers. In addition, the University has approached the State Controller about a possible revised University cell phone policy which would have three options:

- A component in which the University would issue cell phones to specific groups of employees to be used in direct execution of their job responsibilities and where personal use would be minimal, if at all.
- A component in which the University would reimburse employees for business-related calls made on their personal cell phones.
- A component that provides an “allowance” for the business portion of a personal cell or personal digital assistants (PDA).

**Recommendation 12: Raise the dollar threshold for *official function* forms from the current \$100 amount to \$500.**

Currently, an official function form is required if an event costs \$100 or more. This limit was set in 1970 and remains the same today. Simply inflating the \$100 threshold from 1970 would equate to \$547 today. This issue has been discussed with the System and campus controllers, who recommend increasing the threshold to \$500 and are working on revising the policy language to accommodate this change. Increasing the threshold for an official function form from \$100 to \$500 would eliminate an estimated 8,000 forms each year, saving the campuses and system considerable time and effort.

**Recommendation 13: While keeping the main tenets of not using state dollars and requiring the appropriate level of approval for purchasing alcohol for university events, the University Policy Office should immediately begin a formal review of the University alcohol policy and related processes and procedures to determine their effectiveness and efficiency. This review should include consultation with the entities directly involved in the policy.**

There were numerous concerns expressed about the alcohol policy, procedures, and forms being too restrictive, cumbersome, confusing, and punitive. The consensus is that the entire policy and all related forms and procedures should be reviewed, streamlined, and revised to provide more appropriate guidance to the University community.

**Recommendation 14: System Administration must find a *financial reporting solution* that meets the needs of the University end users, including consideration of the issues surrounding normalized accounting formats.**

While a reporting oversight committee is working on improving the current reporting system, the Task Force believes it is imperative that a solution be found to provide a less cumbersome and more effective reporting tool for the campuses in which to help ensure appropriate financial review and compliance.

The COGNOS reporting tool was selected to replace the PeopleSoft (PS) financial reports because of its automatic on-line delivery functionality, which was not available in the prior reporting tool. In September 2006, COGNOS reports were introduced in a “normalized” (numbers are presented in the positive except for abnormal balances which would be shown in the negative) accounting presentation. From the campus perspective, while the normalized presentation works great for the annually published financial statements for the University, it is not an effective presentation for those individuals who need to work with the financial information on a daily basis or who are not formally trained in accounting.

Other issues reported to the Task Force relating to the COGNOS reports were: 1) the text is small; 2) the formatting is confusing; and 3) it is time-consuming running the reports. As a result, many on the campuses look for alternative ways to receive their financial information, including PeopleSoft Lite, Fishnet, UCD Website, and PeopleSoft. The feedback would seem to indicate that few individuals on the campuses actually use the COGNOS reports to reconcile their financial transactions.

**Recommendation 15: Eliminate the requirement that the controller sign off on *undocumented receipts* over \$100 for ACARDs.**

Currently, undocumented receipt/reimbursement forms are required to be routed to the campus Controller if over \$100 for reimbursements and ACARD receipts. This causes additional work and delay in processing. Consideration is currently being given to increasing this dollar threshold or removing the requirement entirely. Currently, the department’s Approving Official is responsible for ensuring the appropriate supporting documentation is maintained by the unit and the PSC conducts departmental audits to help ensure compliance.

**Recommendation 16: The Task Force supports the Administrations goals and efforts toward dramatically reducing the paperwork and approvals associated with *fundraising/special events*, including the possibility of having the CU Foundation be responsible for these events. The CU Foundation is undertaking a large fund raising event to determine whether it has the fiscal and human resources to assume all fund raising event responsibilities.**

**Other Considerations**

There are several other issues and suggestions the Task Force reviewed during this process relating to fiscal issues that were considered to be important, but not included in a specific recommendation because it was already in progress or scheduled to be worked on through other efforts, there were significant barriers to a solution, or it simply needed further clarification.

**Issues and Suggestions Being Actively Worked On or Considered**

Capital items:

- An examination of the capital project contract process and payment process is underway as well as looking at options to streamline the approval process and the number of copies that require original signatures.
- A review of all facilities APSs will begin in 2009.
- Improvements to streamline the approval process, implement concurrent reviews, provide increased flexibility and align meeting schedules with external calendars is under review.
- Efforts at improving the capital process are also tied with legislative flexibility efforts by the University.

Contracts and Grants Financial Reporting: A study is underway in the OUC to determine if the Accounts Receivable and Billing modules of PeopleSoft and be used to replace the aging Sponsored Programs Information System (SPINS). And, to also determine the requisite interfaces with InfoEd.

Semi-annual Issuance of Policies, Procedural Statements, and Forms: It has been recommended that a semi-annual issuance of policies, procedures and forms would best serve the University community. Effective immediately, the Office of the University Controller will work with the Policy Office to release changes on July 1 and January 1 of each year.

## **Obstacles to Issues and Suggestions**

The redesign of the reporting system and any modifications to the grant reporting tools must be supported by UIS resources.

### **Did You Know?**

- Combination of the ACard and the Travel Card - Travel cards and ACards are not under the University's control. The requirements and use of each of these cards is dictated by State Procurement and the State Controller via fiscal rules.
- "Temporary employees" certifying their effort in an ePERS report – If a "temporary" employee is an "hourly" employee (on the bi-weekly payroll) they are exempted from ePERS. A "temporary" staff person in a permanent position is required to use ePERS if there is not a time sheet to support his/her work.
- Change the capitalization threshold. The \$50,000 threshold is governed by the State Controller. The mandate is in Fiscal Procedures manual, Chapter 9. The State Controller's Office (SCO) was not amenable to a change to the Fiscal Procedures during the 2007-08 time period. The rationale is that the Fiscal Procedures are used by many municipalities and townships across the State and the SCO does not want to make changes that would cause problems. However, the Higher Education Accounting Standards Group has proposed to the SCO that this change be made when the Procedures are revised in 2009. The State Controller is currently considering this request.
- Do The Right Thing recognition awards. Spot awards are not "Comprised of gift cards". Gift cards are considered to be "Cash like" and therefore taxable. Per the IRS, cash and cash-like gets taxed. In reality, the spot award winners are directed to an on-line catalog where they can choose a gift/prize which is not taxable! The \$250 quarterly winners also receive a gift/prize - not taxable. The annual winner will receive a cash award; but, it will be adjusted so it will be \$1,000 after taxes.

## Sub-Chapter 3B: Procurement

### Summary of Comments Received

There were 90 comments overall that related to various areas within procurement. The comments were reviewed and categorized into seven topic areas, including contracts, official functions, purchasing, Procurement Service Center (PSC), travel, and other. In the contracts area, one of the main issues is the requirement that the President sign all contracts over \$1M. The limit has been raised at the campus level to \$5M for the chancellors but it has remained at \$1M for the PSC. Other examples of contract issues include concerns about the necessity for completing a Scope of Work form for small dollar contractor payments and the state of Colorado requirement that contracts include an indemnification clause, which some vendors will not accept and, in some cases, this prevents departments from obtaining materials they need.

Under the topic of official functions, there were issues raised about the rules and the need to clarify and streamline the policies and procedures. Various comments concerning the PSC include the need for improving customer service and ensuring that the PSC staff receive adequate training; the need for development of methods to ensure that paperwork is not lost; improvement in communications between the PSC and departments; revising the reimbursement rules concerning the necessity for submitting original itemized receipts; acceptance of PDF invoices; and the need to improve the website.

Comments about purchasing in general included dissatisfaction with the current limit of \$4,500 on purchasing cards; a sense that the Procurement Card after-purchase process is cumbersome and requires too many approvals and paperwork; dissatisfaction with the rules that limit purchasing to specific vendors; and the need for an electronic, easy-to-use requisitioning system to make it easy to track goods and services. The main issues in the travel area concern the requirements to obtain quotes on airfare from a state travel agency, the necessity to attach the travel authorization form to the travel voucher when requesting reimbursement, and suggestions to streamline and automate the entire process of travel planning and reimbursement. Other comments in the procurement area include the need for streamlining all processes regarding purchasing, payments and reimbursements; concerns about the requirement for a CU-designed W-9 form for contractors; and suggestions for eliminating requirements that have minimal risk and take too much time, such as initialing phone charges in the 22 cent range and obtaining both charge and itemized receipts from restaurants.

### Recommendations

**Recommendation 17: The University should pursue an *eProcurement solution* to provide an efficient and user friendly process for faculty and staff to order commonly required products and specific services from University contracts and preferred suppliers.**

The benefits of an eProcurement System could include:

#### Automation/Process Improvement

- Streamlined, consistent ordering process
- System governed approval process that adheres to University policy
- Increased order accuracy
- Quicker delivery of goods
- Integrated billing process

#### Cost Savings

- CU-defined prioritization of search results (i.e., preferred suppliers, lowest cost, etc.)
- Increased contract compliance by end users
- Detailed information to negotiate better contracts
- System directs end users to preferred vendors, which enables the Procurement Service Center (PSC) to negotiate better contracts
- Process automation (entire purchasing/payment cycle)
- Prompt payment discounts

This initiative would help address the following issues and suggestions received:

- Streamline all the processes for purchasing, payment, and reimbursements. Make these processes paperless, scan originals and keep them in a document. Management system, accept digital signatures.
- P-card “after purchase” process is cumbersome.
- Lost paperwork.
- Better contracts, ways to pay, invoicing, and bidding.

**Recommendation 18: Raise the small dollar purchase limit from \$4,500 to \$5,000.**

This would assist departments in procuring items faster and more efficiently at this dollar level. In FY08, 281 purchase orders were placed between \$4,500 and \$5,000. In addition, in FY08 there were 1,033 invoices in this dollar range that had to be approved by departments. Raising the small dollar limit to \$5,000 would alleviate the burden of the departments approving these invoices. Since the new federal procurement rules took effect on January 1, 2009, raising the threshold to \$5,000 would make it easier for departments using federal funds while still meeting the federal requirements.

**Recommendation 19: Raise the threshold for contracts requiring presidential approval from \$1M to \$5M for goods and services.**

Section III.A.3 of the “Contracting Authority” Administrative Policy dated February 19, 2001, states that Chancellors are delegated the authority to sign certain contracts and clarifies that the Director of Purchasing at the Procurement Service Center has certain authority as well, including the primary authority to select vendors pursuant to the University’s Procurement Rules. The Administrative Policy Statement entitled “Delegation of Authority to Chancellors to Execute Certain Contracts,” dated February 1, 2008, increases the authority of the Chancellors in certain situations from \$1M to \$5M. The authority of the Assistant Vice President and Chief Procurement Officer to select vendors to provide supplies, services and equipment, as well as to execute contracts and issue purchase orders should be increased from \$1M to \$5M.

**Other Considerations**

There are several other issues and suggestions the Task Force reviewed during this process relating to procurement that were considered to be important, but not included in a recommendation, either because it was already in progress or scheduled to be worked on through other efforts, there were significant barriers to a solution, or simply needed further clarification.

**Issues and Suggestions Being Actively Worked On or Considered**

- Eliminate the requirement for original itemized receipts; instead allow legible copies of the receipts to be used.
- Seeking Legislative Flexibility:
  - The University is working to obtain additional administrative/fiscal flexibility via the legislative process. The Task Force had received several comments regarding the lack of flexibility in purchasing and asked why the University hasn’t seen more flexibility in the procurement area as allowed by House Bill 04-1009. (See “Did You Know?” below.)
- Official Functions:
  - Raising the dollar threshold for official functions forms required for events of \$100 or more. This issue and the Task Force recommendation to increase the threshold are discussed in Subchapter 3A, page 24.
  - Official functions and reimbursement documentation – With the *new expense system*, there will no longer be a separate process to seek reimbursement for a “meal + parking” and “meal + mileage.”

- Expense system (procurement card reconciliation and employee reimbursements):
  - Travel Authorization Program – The Procurement Service Center will explore utilizing methods to allow the attachment of forms for the reimbursement of vouchers.
  - The process for requesting reimbursement for travel is too complex and has too many instances where forms are transferred from one office to another or one campus to another resulting in forms getting lost and delays in reimbursements.
- Establishing minimum thresholds for “scope of work” requirements. This will be forwarded and shared with human resources and legal staff to explore further.
- Procurement website improvements are underway.
- Streamline the processes for requesting reimbursements – complete everything electronically, if possible.
- PSC will look for additional opportunities to allow PDF’s sent electronically in lieu of paper sent through campus mail.

### Obstacles to Issues and Suggestions

- State law outlines the requirement that contracts specify Colorado jurisdiction in contracting.
- The Colorado State Fiscal Rules require that contracts include the indemnification clause.
- Obtaining a plane ticket for a visiting scholar traveling from another country to give a seminar is difficult because of the “Fly America Act” which stipulates that, if the ticket is charged through the CU-approved travel agency, the scholar must fly on a U.S. airline.
- The requirement that an employee must use a designated travel agent either to purchase a ticket and make travel plans or to get a comparison quote for an airline ticket to justify purchasing the ticket elsewhere, is set in state rules.

Wherever possible, the Task Force has communicated these concerns with the appropriate University officials working on achieving greater flexibility from several state laws and regulations.

### Did You Know?

#### Correctional Industries:

- **Concern:** Why can’t we buy furniture from other vendors besides Juniper Valley?
- **Response:** Colorado Correctional Industries Statute (CRS 17-21-111) – This statute mandates state agencies to purchase all office furniture, or receive a written waiver from Colorado Correctional Industries (i.e., Juniper Valley). Departments complain about this requirement more than any other procurement-related requirement. They complain about quality, service and pricing.

#### House Bill 04-1009:

- **Concern:** Why hasn’t the University provided more flexibility in the procurement area as allowed by House Bill 04-1009?
- **Response:** The procurement process at the University of Colorado follows the University of Colorado Procurement Rules as well as applicable State of Colorado and federal rules. The University of Colorado Procurement Rules are based upon sound procurement processes that are generally accepted in both public and private organizations. The Rules do allow more flexibility than the State of Colorado Procurement Code; for example, we may use consortium agreements; responses to solicitations may be accepted from all vendors not just those on the State bid list; and we are not obligated to use mandatory State agreements. Examples of rules outside of the State Procurement Code which may affect purchasing include:
  1. State Statutes – The Legislature passes laws that pertain to the procurement process. For example, as noted in the previous section, the most often heard complaint from our customers is the requirement to purchase office furniture from Colorado Correctional Industries (CCI – formerly known as Juniper Valley Products). Since this is a statutory requirement which is not addressed by HB 04-1009, the University must continue to comply with this statute.
  2. State Fiscal Rules – The State Controller is authorized through Statute to develop rules that deal with the business functions of the State. As a state agency, these rules apply to the University of

Colorado. Once again, the Fiscal Rules were not addressed by HB 04-1009 and the University must comply with all of these rules.

3. Federal Rules and Guidelines – The Federal Government promulgates rules and guidelines to be used in spending Federal Funds. These rules and guidelines essentially call for there to be a procurement process in place and for that process to be followed in procuring goods and services. No agency can have one set of rules for the expenditure of Federal Funds and another for the expenditure of non-Federal Funds. There are specific regulations that pertain to certain grants and contracts and to purchases using federal funds. The University’s procurement system (Rules, processes, bid thresholds, etc.) must be certified by a federal oversight agency.

As mentioned above, House Bill 04-1009 speaks only to the State of Colorado Procurement Code.

### State travel agency requirement

- **Concern:** Why can’t we purchase airfares on-line?
- **Response:** CU Travel Services is under the oversight of the State Travel Management Program, whose statutory authority exists in Colorado Revised Statutes, 24-30-202, 24-50.3 and 24-102-101. University travelers should work with an approved travel agency and use State contract airlines. (Exceptions to the use of contract airlines: Approved travel agency finds that a lower fare is offered to the general public that is not matched by awarded airline; or there is no contract for the city pair; or traveler is inconvenienced by three hours or more by using awarded airline.)

University travelers who wish to purchase airline tickets on the internet must first provide the internet fare quote to an approved travel agency for comparison. If approved travel agency cannot meet or beat the internet fare, travelers can proceed with the internet purchase. Travelers will not be reimbursed until trip completion and must include the original itemized receipt/proof of payment with their Travel Voucher and reference the travel agency quote in Explanations/Special Notes section of Travel Voucher.

Benefits of using an approved travel agency:

- Use of corporate liability card (traveler is not having to wait for completion of travel in order to obtain reimbursement)
- \$500,000 Travel Accident insurance
- Emergency support during bad weather to re-route travelers back to town
- Emergency reports to know where our travelers are in time of need
- \$1,250 Lost Luggage insurance
- Lost-Luggage Locator Service
- Detailed reports for volume based contract negotiations

### Corporate Express:

- **Concern:** The procurement rules that limit purchases to specific vendors wastes time and money.
- **Response:** The contract most frequently mentioned is the office supply contract. A strategic relationship with one office supply vendor has numerous advantages including customer service, delivery, online ordering and pricing.
  - *Customer Service:* as a large volume customer, CU has the advantage of having a team of customer service personnel dedicated to our account. This enables us to ensure consistent excellent service levels and fill rates as well as more easily solving those issues which do occur from time-to-time.
  - *Customer Care:* a dedicated Customer Care team who is familiar with the CU account.
  - *Sales Reps:* dedicated sales reps assigned to each of our campuses. The sales reps are the face-to-face contact with campus end users as well as purchasing staff.
  - *Delivery:* having one office supply vendor reduces the number of delivery trucks navigating our already crowded campuses. This has the further advantage of reducing our carbon-footprint by having

one truck making deliveries to multiple departments rather than multiple trucks making deliveries to one or two departments. Since the delivery personnel are the Corporate Express employees that our campus end users see most frequently, Corporate Express expends much effort in training and empowering their delivery personnel to handle returns and answer basic questions. This is another example of excellent customer service to a major account.

- *Online ordering*: Corporate Express has developed a state-of-the art online ordering tool.
- *E-way*: Any campus end user can easily register to use the system. E-way displays the CU contracted prices and is programmed to show the least expensive option at the top of the screen. Using an online ordering system enables quick and accurate ordering and reduces the amount of product returns, helping to keep our costs lower.
- *Pricing*: CU is able to obtain excellent pricing on office supplies. On our latest contract signed in July 2008, we estimated an annual savings of \$338,000; within the first six months of FY09, we have saved \$431,000 without any reduction in quality or service.
- *Price comparison*: on any given day, it is possible to find lower priced loss-leaders on any contract. However, having a strategic sourced contract is the proven way to obtain the best possible pricing on all office supply products over the long term. Additionally, campus end users spend valuable time searching out these lower prices which might be better spent on their core job responsibilities.
- *“Shopping”*: when department end users go to a brick-and-mortar office supply store to shop, not only are they spending valuable time away from their main responsibilities, there is the risk management issue of an employee incurring possible injuries in a traffic accident, in the parking lot or in the store itself. Further, these stores charge tax, which isn't the case for Corporate Express.

When the employee time spent on price comparisons and shopping is added into the price of the office supply, the cost is usually considerably higher than the contracted price.

CU Resources – all contracts require management and oversight. Purchasing Services has adequate personnel to manage one office supply contract; multiple contracts would require additional time and resources for which Purchasing Services is not currently staffed. Additionally, each office supplier would be calling on campus end users in order to increase their market share; this could potentially waste valuable time for these busy departments and become a vendor issue.

#### W-9s.

- **Suggestion:** Eliminate the PSC W-9 form and allow use of the Federal W-9 form.
- **Response:** CU uses a modified W-9 in order to ensure collection of business classifications including:
  - Large Business Concern (LBC)
  - Small Business Concern (SBC)
  - Women-Owned Business Concern (WOSB)
  - Women-Owned Business Enterprise (WOBE)
  - Small Disadvantaged Business Concern (SDB)
  - Historically Black Colleges and Minority Institutions (HBC/MI)
  - HUB Zone Small Business Concern (HUBZone)
  - Minority-Owned Business Enterprise (MBE)
  - Veteran-Owned Small Business Concern (VOSB)
  - Service-Disabled Veteran-Owned Business Concern (SD-VOSB)
  - Alaskan Native Corporations (ANCs) and Indian Tribes

This information is required to ensure accurate reporting to federal agencies on federal contracts, the State of Colorado, and CU administration. Combining the W-9 and the business classification requirements saves time and confusion for vendors. There is one form to complete with all required information rather than multiple pieces of documentation.

## Sub-Chapter 3C: Information Technology (IT)

### Summary of Comments Received

The feedback on Information Technology included 23 comments overall in the areas of systems and support, tools, and other. There were comments about the need for the University's systems to be up and running regularly and fixed promptly when they are not working, and also the need for better communication from IT offices concerning system availability and repair issues. There is a sense that the University should implement electronic signature functionality in PeopleSoft in order to reduce redundant paperwork and speed up approval processes; establish one directory for CU to make it simpler to find people at System and the campuses; review the issue of whether or not land lines are necessary for all faculty and staff (cell phones might be better for some employees); and consider whether the one-size-fits-all approach to IT security policies is appropriate.

Other comments include concerns about e-mail systems and the need to make systems of logins, passwords, and access to UIS systems (Student Information System, Central Information Warehouse, PeopleSoft General Ledger, PeopleSoft Human Resources, Dilbert, etc.) and associated campus systems tie to positions, with fewer, easier, faster avenues for approval. There also is a need to provide e-mail lists so that any employee can sign up for notification of changes to various systems such as the Central Information Warehouse (CIW).

### Recommendations

**Recommendation 20: Serious consideration should be given to promote more electronic means of carrying out administrative functions throughout the University, including expanding the electronic signature capability of PeopleSoft.**

- The item should be referred to the Information Security Principals for input.
- The existing APS Electronic Signatures and Records should address most concerns about what constitutes an electronic signature:
  - [https://www.cusys.edu/policies/General/ElectronicSig\\_APS.pdf](https://www.cusys.edu/policies/General/ElectronicSig_APS.pdf)
- Insofar as electronic signatures exist in many forms, the underlying issue may be more about electronic workflow and the routing of documents. This raises concerns about security and privacy of such documents. The ability to conduct certain types of transactions on the portal is constrained by policies on password strength and concerns about password sharing.

**Recommendation 21: Prioritization of eProcurement and financial reporting system improvements will be critical to increase efficiency, promote process effectiveness, provide financial savings, and reduce the administrative burden on faculty and staff in the months and years ahead.**

- **eProcurement**
  - Implementing an e-Procurement system will drive more traffic to negotiated price agreements.
  - This issue is related to supported platforms and needs to be addressed at each campus and system. System could put more narrow constraints on what is purchased.
- **Financial reporting system overhaul**
  - Need more detail to define the scope of work necessary to support PeopleSoft Lite.
  - Work with fiscal subgroup to bring business case proposal to the Strategy & Governance Group and then the Vice Presidents.

**Recommendation 22: An analysis and business case should be developed regarding a document management system which could improve the effectiveness of the new University Policy Webpage, work flow, and alignment of all University policies, procedures, and forms.**

**Recommendation 23:** Awareness of existing directory tools should be made available to help faculty and staff more easily find directory information of other faculty and staff throughout the University, pending any longer term solution to create a single directory for CU. (<https://www.cu.edu/content/campus-phone-directories>)

## Other Considerations

There are several other issues and suggestions the Task Force reviewed during this process relating to information technology that were considered to be important, but not included in a specific recommendation, either because it was already in progress or scheduled to be worked on through other efforts, there were significant barriers to a solution, or it simply needed further clarification.

## Issues and Suggestions Being Actively Worked On or Considered

- Need electronic signature capability in PeopleSoft.
- Move to eProcurement System (see recommendation in Subchapter 3B, page 27).
- The systems of the University need to be consistently up and running regularly fixing problems promptly and communicating with the University community when systems are undergoing repair or will be unavailable.
- The University should begin planning for implementation of a new software solution for sponsored programs billing.
- Need a cooperative team environment among University Information Systems, Office of University Controller and the campus IT offices, – this would result in greater efficiencies and savings.

## Did You Know?

### Mac PCs:

- **Comment:** Macintosh PCs are not supported by UMS/UIS.
- **Response:** It is a myth that Mac computers are not supported. The following operating systems are supported for CU's primary business systems.
  - a. MacOS 10.5.1
    - i. Safari 3.1x (recommend removal)
    - ii. Firefox 2.x
    - iii. Adobe Reader 8.0
    - iv. Microsoft Office 2004
  - b. MacOS 10.4
    - i. Firefox 2.0.0.16
    - ii. Adobe Reader 8.0
    - iii. Microsoft Office 2004

## Sub-Chapter 3D: Human Resources (HR)

### Summary of Comments Received

Ninety-five comments were submitted in the Human Resources category and were grouped into the topic areas of benefits, hiring, time and leave reporting, and other.

- Benefit issues include concerns about benefit booklets being only online for current employees; the concern that there are too many forms and the entire benefits process takes too long; Payroll/Benefits Services customer service; and the difficulty in finding information about short-term disability, FMLA, and parental leave.
- There were numerous comments about hiring, including concerns about the length of time and cumbersome processes required to hire employees in both faculty and staff positions; questions about the requirement that the chancellor sign off on appointments of various categories of employees, including research assistants, nurse coordinators, and other non-tenured job classes and the time-consuming process of completing the Chancellor's Report each month; the need for guidelines in the hiring of retirees; and an overall sense that hiring processes need streamlining.
- Comments in the area of time and leave reporting include concerns that the process is cumbersome, lengthy, and wasteful of paper and time resources. Suggestions were made to convert time and leave reporting to electronically based processes where workflow would provide the capability to request and report leave and record time while reducing the use of paper, printers, and ink.
- Other comments concerned background checks; issues about the state classified system; the need to streamline and implement electronic processes for all HR functions including electronic signatures; the need to clarify and simplify the currently confusing and complicated processes for one-time payments; and the need for effective training for HR staff.

### Recommendations

**Recommendation 24: Pending a legal opinion, refine Regent Policy 2-K *Personnel Authority for Employees Exempt From the State Personnel System* regarding the requirement for the President's or Chancellor's signature on personnel actions for faculty, officers and exempt professionals to speak to tenured and tenure-track faculty only. Possible changes could include further delegation of responsibility for hiring PRAs, etc.**

This requirement is particularly difficult for the hiring of instructors and professional research assistants (PRAs) at some campuses and providing some flexibility would reduce administrative effort in this area. It will be proposed to the Regents that each Chancellor could further delegate authority for specific job types, if they so choose.

**Recommendation 25: To more effectively and consistently utilize the hiring process of retirees the Senior Associate Vice President and Chief Human Resources Officer and the campuses' Human Resources Team should begin conversations designed to provide clear guidance on the practice of retirees returning to work.**

Currently, practices differ between the campuses (including System Administration) and it may be helpful to provide technical guidance regarding benefits, leave accruals, pay frequency, appointments, etc. The conversations also should include a discussion of the role of working retirees in succession planning, the philosophical practices of hiring retirees instead of promoting or hiring new staff, and the potential impacts on succession and transition planning. Such discussion and guidance must be advisory only and should not limit the legitimate hiring options available for managers to make efficient use of available short-term and long-term resources.

**Recommendation 26:** The University Policy Office should promote an expedited review and possible elimination of the following human resource-related administrative policy statements (which have already been reviewed by the Human Resources officers), involving appropriate subject matter experts and campus representatives.

- Procedures for COBRA Administration [www.cusys.edu/policies/Personnel/cobra.html](http://www.cusys.edu/policies/Personnel/cobra.html)
- University Policies on TIAA/CREF Long-Term Disability Insurance Eligibility [www.cusys.edu/policies/Personnel/tiaacref.html](http://www.cusys.edu/policies/Personnel/tiaacref.html)
- Verification of Vacation and Sick Leave Accrual for University Personnel [www.cusys.edu/policies/Personnel/verifyvacation.html](http://www.cusys.edu/policies/Personnel/verifyvacation.html)
- Vacation Policies for Unclassified Personnel [www.cusys.edu/policies/Personnel/vacation.html](http://www.cusys.edu/policies/Personnel/vacation.html)
- Implementation of Regent Actions Pertaining to Terms of Appointment and Review and Evaluation of Administrative Officers [www.cusys.edu/policies/Personnel/termappoint.html](http://www.cusys.edu/policies/Personnel/termappoint.html)
- Eligibility of Retired Officers and Other Exempt Personnel for University Health and Life and Insurance Programs [www.cusys.edu/policies/Personnel/retiredofficers.html](http://www.cusys.edu/policies/Personnel/retiredofficers.html)
- Providing Employment Assistance to Members of Dual Career Couples [www.cusys.edu/policies/Personnel/dual.html](http://www.cusys.edu/policies/Personnel/dual.html)

### **Other Considerations**

There are several other issues and suggestions the Task Force reviewed during this process relating to human resources that were considered to be important, but not included in a specific recommendation either because it was already in progress or scheduled to be worked on through other efforts, there were significant barriers to a solution, or it simply needed further clarification.

### **Issues and Suggestions Being Actively Worked On or Considered**

- Electronic Leave Tracking and Reporting. The lack of electronic tracking of vacation, sick, and other leaves creates a manual paper process requiring file maintenance and time resources.
- Electronic job descriptions that share information with postings and human resources management system (HRMS).
- Self-service for more employee-driven changes – addresses, emergency contacts, benefits, W4s, etc. *Address and emergency contact changes have been made available to employees.*
- Electronic performance management system for classified staff, faculty, and other exempt personnel.
- Streamlining one-time payment processes and forms: A system-wide committee was formed to determine consistent practices across the campuses, and to draft an APS on additional pay. In addition, that group is working with campus personnel to ensure that campuses are developing policies and processes to ensure appropriate payments and approvals. Payroll and Benefit Services (PBS) established payroll codes to distinguish among types of additional pay. The adhoc committee developed an online form to describe and request such pay. The process was written and is posted on the PBS website at <https://www.cu.edu/PBS/proceduresguide/1.2.04.html> for the procedures guide and <https://www.cusys.edu/PBS/forms/downloads/Additional-Pay.pdf> for the new form.
- Changes to the letter of offer templates for faculty and other exempt personnel. Feedback was that these were too lengthy and too negative and they should be revised to be more welcoming.

## Did You Know?

### Search Process – Interviewing Techniques:

**Concern:** Currently if one candidate has to be interviewed by phone, then all (candidates) must be, so that they are evaluated similarly. This does not make sense for local candidates because interviewing in person is better.

**Response:** This is not a requirement, but it is a best practice to interview everyone in the same manner. The campus HR offices provide best practice information on interviewing applicants, search committee composition, etc. The requirement of using the best practices varies between campuses.

### Search Process – Committee Makeup:

**Concern:** There is a requirement for a search committee to be constituted for all searches.

**Response:** This is not a system APS or directive, but is a campus practice. Each campus HR requires a search committee for different employment groups and varies between campuses.

## Sub-Chapter 3E: Academic

### Summary of Comments Received

There were 19 comments overall that were submitted concerning academic topics or issues. They fall into several categories, including faculty promotion, tenure, and review, research, and other. The issues raised about faculty promotion, tenure, and review include the difficulty of completing the Faculty Report of Professional Activities (FRPA); concerns about whether or not the Professional Plan for Faculty is necessary; the need to strengthen post-tenure review; and questions concerning the value of multiple levels of review in the promotion and tenure process. There were a number of comments concerning research activities at the University, including frustration due to the lack of good pre- and post- award financial accounting reports; the need for budget development tools to assist faculty members in assembling contract research proposals; the difficulty of navigating the CU contract research process; and the burden of required rules, reports and mandatory training sessions.

Other comments in the academic area concern the appropriate frequency of program review, service learning and student involvement in human subjects research, and the need to streamline the approval process for approving faculty to serve on dissertation committees for students at other CU campuses.

### Recommendations

#### **Recommendation 27: Eliminate the Administration Policy Statement (APS) entitled - *Procedures for Offering Instructional Programs Outside the State of Colorado.***

This administrative policy statement in the Academic Affairs area simply restates Regent and State policy.

### Other Considerations

There were several other issues and suggestions the Task Force reviewed during this process relating to academics that were considered to be important, but were not included in a specific recommendation, because it was already in progress or scheduled to be worked on through other efforts, there were significant barriers to a solution, or it simply needed further clarification.

Due to the time restrictions, some issues and suggestions from the academic area will be forwarded and discussed with the Senior Research Officers Group and/or the Vice President for Academic Affairs, as appropriate.

### Issues and Suggestions Being Actively Worked On or Considered

- The following issues were reviewed by the academic subgroup and the full Task Force and will be forwarded to the appropriate academic leadership groups for further discussion:
  - Searchable faculty database.
  - Lengthening the time between program reviews. Supporters of this believe that decreasing the frequency of program and departmental reviews to once every 10 years would have the largest and most immediate impact in saving money for schools and saving time for department faculty and department and school administrators. Others felt this is a very important exercise and there is limited flexibility to decreasing the frequency of the reviews.
  - Improving and redesigning parts of the FRPA.
- The administrative policy statement regarding the Professional Plan.

## Did You Know?

### Promotion and Tenure:

- **Suggestion:** Streamline the promotion and tenure process overall and review whether or not the multiple levels of review are necessary.
- **Response:** Multiple levels of review are necessary to assure a fair and thorough process. The process used at the University of Colorado is comparable to that used at major universities across the country.

### Post-Tenure Review:

- **Suggestion:** Strengthen post-tenure review.
- **Response:** Post-tenure review was strengthened significantly by an APS that became effective November 1, 2006. (<https://www.cusys.edu/policies/Personnel/Post-Tenure-Review-APS.pdf>) In August, 2008, campuses reported to the Board of Regents on their progress in implementing that APS.

### Post-Tenure Review:

- **Suggestion:** Discontinue post-tenure review.
- **Response:** Post-tenure review is a standard process for tenured faculty at major universities. It provides an overview of five years' work, offering a perspective that is different than that of the annual FRPA. It is also helpful in dispelling public perceptions that tenure assures a "job for life." Public accountability, especially in the current fiscal situation, is critical.

## Sub-Chapter 3F: Communications and Website

### Summary of Comments Received

Comments regarding communication efforts totaled 15 overall and included items concerning strategic branding, broadcast e-mails, newsletters, the need for two-way communication, and University websites. The sentiment expressed about strategic branding is that the University should not change the CU logo, especially the “Ralphie” image that includes CU in the logo. Students and alumni are attached to the logo as part of the CU “brand” and it should be maintained. There were a number of comments regarding the issue of too much e-mail, too many newsletters, and what is the best method for delivering information to departments. Another issue raised in the feedback concerns the need for more two-way communication, that is, in addition to communication coming from the administration, there needs to be a way to send communication back upstream to System from the people who implement the policies and procedures. Lastly, concerns were expressed about the CU System and campus websites being ineffective and difficult to navigate; the need to create one website for all of CU that can be used to search for any information needed by employees, prospective students, donors and community members; the need for one website that lists all class registration schedules for all campuses; and the need to keep items current on the Regents website.

### Recommendations

**Recommendation 28: When new policies are created, or existing ones are changed, the units and personnel in System Administration should strive to improve their communications with the campuses, staff, and faculty. Knowledge and use of communications’ best practices should be a priority.**

For example, communications should:

- Be timely and relevant.
- Utilize available technology to help raise awareness and communicate better.
  - Utilize the webpage whenever possible.
  - Provide helpful links in e-mails.
- Be broad and targeted.
  - Target communications to specific audiences when possible and appropriate.
- Focus on simplicity, consistency, and awareness.
  - Who needs to know?
  - What is the most effective way to communicate?
- Stress coordinated communications whenever possible.
- Well-written e-mails can save countless person-minutes at the University. Best practices such as including a clear subject line and, if sending broadcast e-mails, clearly communicate within the first two sentences what, where, when, why, and who it impacts.

**Recommendation 29: Eliminate the APS entitled *Establishment of University Graphics Standards Board*.**

This policy is obsolete.

### Other Considerations

There were several issues and suggestions the Task Force reviewed during this process relating to communications and websites that were considered to be of high importance, but were not included in a specific recommendation because it was already in progress or scheduled to be worked on through other efforts, there were significant barriers to a solution, or it simply needed further clarification.

## **Issues and Suggestions Being Actively Worked On or Considered**

- Many issues and suggestions related to the communications of new and revised policies. This is being addressed in detail in *Chapter 2: Reinventing the Policy Process*.
- Strategic branding and a coordinated and consistent image of the University are important and are being worked on by the strategic branding effort.
- Keeping websites up-to-date and informative, including Regents' webpage is important and is being worked on. Specific feedback will be shared regarding the web pages with the appropriate people.
- Improving the CU Portal, Student Information System project will help address how we can improve this to provide a more unified look and feel.
- Two-way communications. Feedback forms provided by the Task Force on Efficiency project and on the new University Policy Website will provide another vehicle to communicate with System Administration.

## **Obstacles to Issues and Suggestions**

Resources are a challenge in updating the websites.

## **Sub-Chapter 3G: Tools and Training**

### **Summary of Comments Received**

There are 35 comments overall related to training that cover the topic areas of delivery mechanisms, job-specific training, and amount of training required, tracking of training, and other. Specific concerns about methods of delivery include the need for more and varied forms of training, including just-in-time, in person, online training, step-by-step materials, refresher courses and yearly reminders, mentoring, and different forms of training for faculty and staff. There were a number of issues raised about the need for more job-specific training, especially in the areas of human resources, finance, and policy implementation for all levels of staff positions from directors to human resources and finance liaisons. Comments were made about the amount of training that has been added in recent years being overwhelming and burdensome and that multiple mandatory trainings and certifications are a drain on time with minimal positive impact, especially for faculty. There were a number of specific comments concerning the need to decrease the frequency of certain types of training. Other comments concerned using PeopleSoft to notify faculty and staff about what training activities they are required to attend and tracking the attendance; the need to improve the quality of training, ensuring that training software works properly, establishing incentives for attending training, and creating a master schedule and planning for training to ensure that System-required training does not conflict with campus level training.

### **Recommendations:**

**Recommendation 30: Explore effective and efficient ways to pursue mentoring or virtual networks to supplement current methods of training.**

**Recommendation 31: Explore ways to provide job-specific, role-specific training and professional development needs for those people new to the University or who are moving into higher level positions.**

**Recommendation 32: Improve coordination and information dissemination between system and the campus on what training is available and required via a predictable master schedule and effective communication process that allows adequate time for employees to complete the required training.**

### **Other Considerations**

There are several other issues and suggestions the Task Force reviewed during this process relating to tools and training technology that were considered to be important, but not included in a specific recommendation, either because it was already in progress or scheduled to be worked on through other efforts, there were significant barriers to a solution, or it simply needed further clarification.

### **Issues and Suggestions Being Actively Worked On or Considered**

- Improve the reminder process for all required training.
- Provide more effective refresher training.
- Evaluate the effectiveness of using mentoring programs.
- More tools and training for managers using a “manager’s tool box.”

Consideration should be given to evaluate a comprehensive training management system with provides consistent reporting and tracking.

## Did You Know?

### *SkillPort*

- **Suggestion:** More online training.
- **Response:** The University of Colorado's new online training system *SkillPort* is live and ready to offer employees an expanded array of learning opportunities. This new web-based training tool replaces *Blackboard* and offers CU employees a more comprehensive online system for compliance training and professional development courses. *SkillPort* will allow the largest number of employees to access the system in the most efficient and effective way possible. Courses available through *SkillPort* will cover topics such as supervision, discrimination and harassment, finance and procurement, IT security, lab safety, HIPAA and HRMS PeopleSoft.

## **Sub-Chapter 3H: Administrative and General**

### **Summary of Comments Received**

There were a total of 106 comments submitted in the category of administrative and general. These comments were organized and summarized into the topic areas of general comments on reducing burden and improving morale; comments about operations such as the need for electronic processes; comments about strategic issues such as the structure of CU and the System office, and the consolidation of UCD and HSC; and comments about the composition of the Task Force.

In the area of reducing burden and improving morale, there were comments about the lack of trust in employees and the resulting drop in morale; the sense that auditors have too much power in dictating sweeping changes to business practices, the reporting system, finance system, and travel because of the mistakes a handful of employees; too much focus on avoiding errors and not enough focus on the value of supporting and doing good work; the use of complex rules in place of giving employees responsibility and accountability; and too many requirements for faculty to complete non-academic tasks, significantly reducing the amount of time available for the main work of faculty.

In the operations area the comments relate to the need for implementing electronic processes and signatures, eliminating unnecessary signature requirements, providing e-commerce solutions for school/college needs such as registering for events and paying for cap and gown, and submitting grades online. Comments concerning strategic issues include a variety of concerns about too many layers of vice presidents, associate and assistant vice presidents at the System level and similar positions at the campus level; lack of clarity in the roles of System and the campuses; a lack of communication between the campus and System administrative offices; and too many levels of review and unnecessary bureaucracy in processes. There also are a number of comments about the structure of the CU System and the campuses. Concerns were expressed about the need for System to recreate its role to be more of a customer-service oriented organization to the campuses; to be more empathetic to the campuses in terms of the timing of changes to processes; and to stop micromanaging processes and procedures at the campuses.

The final comments in the administrative and general area include concerns about composition of the Task Force being too heavily weighted with administrators and lacking end-user representation; and other miscellaneous comments about items such as gifts-in-kind and parking at Regents meetings.

### **Other Considerations**

There are several issues and suggestions the Task Force reviewed during this process relating to administrative and general that were considered to be important, but not included in a specific recommendation because it was already in progress or scheduled to be worked on through other efforts, there were significant barriers to a solution, or it simply needed further clarification.

### **Issues and Suggestions Being Actively Worked On or Considered**

- Submit grades online and eliminate the bubble sheets (Oracle Campus Solutions).
- Revisit the consolidation of UCD/AMC - make each a separate campus again (a study to review consolidation is being considered by the Board of Regents).
- Clarify who is responsible for special events, simplify and refine the process, and create a realistic template for doing the events. (This item is discussed in more detail in subchapter 3A, page 25.)
- Keep the Task Force website up to date on decisions. (UPO will continue to maintain the Task Force website.)
- Include end-user input in the Task Force and in the creation of policies and procedures. (See Chapter 2, page 19)
- CU should review how other higher education institutions and other organizations have implemented efficiency measures.

High priority items identified by the subgroup that are either addressed in other sections of the report or will require consideration by the University Policy Office and/or the campuses in the future.

- Too many requirements for faculty to complete non-academic tasks, which significantly reduce the amount of time faculty have to do their main work.
- Implement electronic processes, eliminate unnecessary signature requirements, and use electronic signatures wherever possible (See IT Subchapter 3C, page 32).
- Provide e-commerce solutions for school/college needs (such as registering for events and paying for cap and gown), in addition to what exists now at higher levels (like registration).
- Operations could be improved through peer reviews or "audited" by another employee with the same job code or by a supervisor from related departments (i.e., someone from PBS could review PBS-related records and practices within departments).
- Need a hotline phone number on each campus to help solve problems; get answers; get answers in writing and provide a way for employees to get information in a quick and easy fashion.
- Board of Regents webpage improvements (see Communications Subchapter 3F, page 39).

### **Did You Know?**

There was a suggestion to create a lab school for tutoring students who come in unprepared and need tutoring in skills they should have learned before entering the University. Current state requirements call for these activities to be handled by the community colleges only.

### Sub-Chapter 3I: Overarching Themes and Issues

The Task Force identified some overarching themes and issues during its work that cut across subject matter areas. These are included for discussion here, rather than repeating these in each subject area.

**Reduce the administrative burden.** A commonly stated concern in most of the subject areas is the administrative burden being felt by faculty and staff due to administrative policies, cumbersome processes, and training. The President's focus on administrative policy and process simplification and streamlining is a step in the right direction.

**More electronic means of doing work.** A common theme is finding more ways of reducing paperwork and doing more electronically, whether in timekeeping, grading, purchasing, etc.

Feedback received from the UCB Academic Affairs Budget Officers Group was illustrative of many comments on this issue:

*“Many University processes require multiple levels of signature authority. Examples include payroll, procurement and recruitment/hiring. Currently, paper forms are either routed through campus mail or faxed between offices and signed by the required persons. This process is inefficient, time intensive and subject to breakdowns. It lends itself to the creation of shadow systems such as work logs to track these forms as they move back and forth across campus. One high volume example is the One-Time Payment form. The newest version of this form requires a minimum of three approval signatures plus the employee's signature. At the various points, there is currently either no tracking or a manual log.*

*The University should embrace technology to streamline and enhance these processes. The system created would ideally be web-based and include automatic routing and electronic signatures. It should include the ability to access the system and know the status of the form at any point along the way.”*

**Customer Service.** There were concerns about the level of customer service provided by System Administration and the overall commitment to customer service in some areas. While this needs to be a priority, there were some good practices displayed in areas of System Administration. One example is the customer service survey and training we learned about in the Procurement Service Center. The more each person and unit at System Administration can do to improve its customer service to our campuses' faculty and staff, the better. Of particular note is the effort by the PSC to provide a high level of consistency in service to our campuses.

**Communications.** We have devoted an entire subchapter (subchapter 3F, page 39) to this commonly heard issue of how communications need to be improved and where communications may be lacking. Of particular concern to the President is how System Administration can improve in its communications with University faculty.

**Cooperation and Coordination.** System Administration must continue to look for ways to increase the cooperation and coordination among its units and with the campuses and affiliates. This report highlights some efforts which will begin to emphasize this core value.

- Two lessons learned from the Task Force's work have been the success of the campus outreach efforts and the engagement with the system and campus subject matter experts as part of the subgroup efforts. These should be a model for stressing a coordinated approach and a cooperative spirit in solving University problems.
- The establishment of a more formal policy network of the system and campus personnel who focus on policies will provide an opportunity to discuss issues and share information.
- The enhanced University Policy Website and new process will provide a more coordinated approach to University-wide policies and include campus representation on discussions of University-wide policies and related issues.
- Upcoming discussions involving a document management system, with applications for system and the campuses, will stress cooperation and coordination of resources and efforts.

**Culture and Community.** The Task Force has expressed its desire to be more user-friendly in developing new policies and to engage the campuses and end-users more in the policy development process. It recognizes the University community is comprised of outstanding faculty and staff who believe in its mission and are committed to excellence in their work. It supports, where possible and appropriate, developing policies in a more positive tone, recognizing our faculty and staff as trusted and valued members of the University.

**Legislative Relief Sought.** The University is actively working on ways to reduce some of the administrative and legislative requirements, which could provide more flexibility and reduce administrative requirements in several areas. The Task Force has provided input into the effort and supports the University's efforts in seeking legislative relief wherever possible.

**Recommendation 33: Ensure that all service centers (i.e., Payroll & Benefit Services, Procurement Service Center, the Office of the University Controller, and University Information Services) continue holding regular open meetings on the campuses to share information and updates and receive feedback on their operations.**

As the Task Force has learned, campus outreach is critical. While our service centers routinely do this now (i.e., the Procurement Service Center conducted 51 department visits between April 2007 and March 2008 and have already completed 49 since April 2008), the Task Force urges all service centers to continue their outreach efforts.

## Chapter 4: Where Do We Go From Here?

Many reports developed by task forces tend to only survive as long as the task force is in existence or the chief executive officer is in office. Oftentimes, recommendations sit on the shelf and are not implemented. It is imperative that any recommendations in this report that are adopted by the President are not only implemented with ongoing input from the campuses, but are reviewed after a period of time to see if they have had the desired effect.

This was not a process designed to offer perfect solutions to a select number of issues. It was a process to solicit a large number of comments and feedback from our University community, to prioritize issues, and begin to engage the subject matter experts in a cooperative and collaborative process to find solutions. This report represents the beginning of the next phase of work ahead - not the end. Due to the accelerated nature of the process, the report is intended to be a dynamic document, which will be revisited by the Task Force and the University Policy Office in the weeks and months ahead. Comments and corrections are certainly welcome.

This report provides a road map to achieve the significant change that President Benson requested. The University Policy Office, with continued assistance from the Task Force, and other campus representatives, will be responsible in large part for working with the campuses and System Administration to implement the report's recommendations.

We encourage the University community to continue to provide feedback via the Task Force website, the University Policy Office website, and through continuing outreach from the Task Force and the University Policy Office.

**Recommendation 34: The Task Force recommends that it offers to meet with the campus constituency groups who participated in the input process to report back on the findings and recommendations (during March and April).**

**Recommendation 35: The Task Force recommends that it continues to meet on a quarterly basis to review progress in implementing the recommendations of the report and make any additional recommendations relating to the original Task Force Charge.**

**Recommendation 36: The Task Force recommends that the President adopt all recommendations outlined in the report.**

## **Appendix 1: Summary of Task Force Input**

*(To limit the paper used in producing this report, the appendices are only available in the online version found at <https://www.cu.edu/content/taskforcereport> )*

## Appendix 2: Recommended Policy Template

	<b>Administrative Policy Statement</b>
<b>Category</b> – [Select Category (from dropdown list)]	
<b>[Insert Title]</b>	
<b>FULL POLICY CONTENTS</b>	
Policy Statement Reason for Policy Questions and Comments Related Information and Links  <b>ADDITIONAL INFORMATION:</b> Additional Contacts Definitions Appendices FAQs History <ul style="list-style-type: none"> <li>▪ Who initiated and reviewed.</li> <li>▪ Description of revisions.</li> <li>▪ Chronological history of policy.</li> </ul>	<b>Effective:</b> [Date the policy is effective] <b>Last Reviewed/Updated:</b> [Date policy was last reviewed/revised] <b>Scheduled for Review:</b> [Date of the next scheduled review]  <b>Supersedes:</b> [Insert title(s), date(s), and ref number(s) of superseded policies or state “Not Applicable” (n/a)]  <b>Responsible University Officer:</b> [Insert title of responsible vice president(s) rather than name]  <b>Policy Owner (Responsible Unit):</b> [Insert name or organizational unit or, if individual, reference by position title rather than name]  <b>Policy Contact:</b> [Enter Policy Contact – Subject Matter Expert (SME)]
<b>Brief Description:</b> [Brief statement describing general policy content /purpose]	
<h3>Reason for Policy</h3> <p>[Succinctly describe the reason(s) for adopting the administrative policy statement (APS), including any legal, regulatory or other authority for the policy; to mitigate audit or institutional risk; or supports institutional mission and values.]</p>	
<h3>Policy Statement</h3> <p>[Insert the Policy Statement here.]</p> <p>NOTE: An effective APS provides the basis for decision-making that is consistent with state and federal laws and regulations and Regent Laws and Policies. The policy statement describes what the policy is (i.e., purpose, core provisions, or requirements). Ideally, a policy statement should include information on who, what, and why, but not how.</p> <p><b>Scope of Policy (To Whom Policy Applies)</b>          List to whom the APS applies.          List the specific functions or subject matter to which the APS applies.</p> <p><b>Roles and Responsibilities</b>          Provide a clear statement about the roles, responsibility and authority of individuals and groups involved in the APS.</p> <p><b>Special Situations</b>          Provide a clear statement about any special situations relating to the application of the APS.</p> <p><b>Exclusions</b>          Provide a clear statement about any matters that are excluded from coverage under the APS.</p> <p><b>Communications and Training</b>          Provide a clear statement about any communication and/or training requirements.</p>	

## Questions/Comments

Was this policy clear and concise?

Yes  No

If no, please explain:

Do you have any suggested improvements to this policy?

Yes  No

If yes, please describe:

Additional Questions/Comments

Email Address (So we can get back to you if we have questions about your comments.)

Questions concerning use of this form or the policy development process generally may be addressed to the University Policy Office [dan.montez@cu.edu](mailto:dan.montez@cu.edu) or 303-860-5711 or [sandy.tureson@cu.edu](mailto:sandy.tureson@cu.edu) or 303-860-5638.

## Related Information and Links

- Procedures (linked)
  - Procedures are a series of consecutive action steps related to a policy that specifies how a particular process should be completed.
  - If applicable, insert link to whatever may exist.
- Forms and Instructions (linked)
- Other APSs (linked)
  - If applicable, consider adding references to key related APSs, especially if this APS is part of a “suite” of policies.
- Training or Educational Resources
  - Insert links to online training courses or other materials, such as FAQs.
- External References
  - Insert links to external references/resources, e.g., link to statute, regulations, enforcement authority web site, published official guidance, etc.

**Additional Information:**

*Policy Contacts*

<b>Subject Matter</b>	<b>Contact Title</b>	<b>Contact Name</b>	<b>Phone</b>	<b>E-mail</b>
Policy Process	Director, University Policy Office	Dan Montez	303-837-2116	<a href="mailto:dan.montez@cu.edu">dan.montez@cu.edu</a>
Policy Website	Assistant to Director, UPO	Sandy Tureson	303-860-5638	<a href="mailto:sandy.tureson@cu.edu">sandy.tureson@cu.edu</a>

NOTE: The Responsible Office will generally respond to questions and provide guidance regarding interpretation of this policy.

- If appropriate, insert additional/preferred contact information such as general office number(s) and/or e-mail addresses.
- Insert additional contact information for specific types of issues or questions, as may be appropriate.

*Definitions*

*Italicized terms* used in this Administrative Policy Statement are defined in the Administrative Policy Statement Glossary. A summary of the key terms and hyperlinks specific to this policy are listed below:

**Defined Term** – [hyperlink]

**Defined Term**– [hyperlink]

*Appendices*

- Appendix Title (linked)
- Appendix Title (linked)
- Appendix Title (linked)

*Frequently Asked Questions*

**Question**  
Answer

**Question**  
Answer

**Question**  
Answer

## *History*

[If applicable, insert “The historical information for this policy is not available as policy was created before a history requirement was created.” or insert the following, as appropriate:]

**Initial Policy Effective:** [Insert original effective date]

**Supersedes:** [Insert name(s), date(s), and reference number(s) of superseded policies. Information also appears in the APS header at the beginning of the APS.]

**Last Amended:** [Insert effective date(s) of revisions and brief description of changes made.]

**Reviewed By:** [Provide a summary of the University entities who reviewed the original policy or the last revision, as appropriate.]

# Appendix 3: New University Policy Webpage

[Screen Shot #1 – University Policy Office]



## University of Colorado

Boulder • Colorado Springs • Denver

Boulder Campus

Colorado Springs Campus

Downtown Denver Campus

Anschutz Medical Campus

### UNIVERSITY POLICY OFFICE

#### POLICY RESOURCES

**NEED POLICY HELP?**  
(QUESTIONS/FEEDBACK)

#### POLICY USER RESOURCES

*Latest Policy News and Updates*

- Policies Under Review
- Latest Policy Additions
- Latest Policy Revisions
- Latest Policy Rescissions

- List of Policies (A-Z)
- Policy Hierarchy
- Policy Glossary
- Policy FAQ's
- Send Feedback

#### POLICY OWNERS RESOURCES

- Policy Process (Overview/Flowchart)
- Policy Template
- University Policy Office
- Association of College & University Policy Administrators (ACUPA)

#### University Policy Office

Welcome to the University Policy Office web site, which coordinates the editing, review, issuance, and archiving of all University Administrative Policy Statements (APS). Our office is eager to help you with your policy-related needs.

- For information about policies, please look at the policy users resources on this page or visit the University Policy Library.
- Form information about the policy development and/or approval process or the University Policy Office please contact the University Policy Director at 303-860-5711 or email dan.montez@cu.edu.

#### UPO Mission

The University Policy Office - with input from policy owners - develops, oversees and maintains the University's system wide policy-making process; facilitates the development, review, approval, and maintenance of University-wide policies by partnering with University policy owners to create, revise, and distribute University-wide policies; and acts as the official repository and point-of-contact regarding University-wide policies.

#### UPO Goals and Responsibilities

Blurb taken from goals and responsibilities document. Lorem ipsum dolor sit amet, consectetur adipiscing elit. Ut rutrum iaculis diam. Nulla facilisi. Suspendisse tristique. Sed mauris. Vestibulum dictum vulputate sapien. *continue reading>>>*

#### Contact Us

Dan Montez, Director  
dan.montez@cu.edu  
303-860-5711

Sandy Tureson, Assistant to the Director  
sandy.tureson@cu.edu  
303-860-5638

#### FIND A POLICY

▶

#### ADMINISTRATIVE POLICY STATEMENTS

Alphabetical List of Policies

**Browse by Category:**

- Academic/Research
- Fiscal
- General
- Human Resources
- Information Technology
- Operations
- Property/Facilities

#### OTHER CU-RELATED LAWS AND POLICIES

**CU Board of Regents**

- Laws
- Policies

**Campus Policies**

- Boulder
- Colorado Springs
- Denver

**Faculty and Staff Governance**

- Faculty Council
- Staff Council

#### OTHER HIGHER EDUCATION RELATED LAWS AND POLICIES

- Federal Laws and Regulations
- State Laws and Regulations
- Colorado Commission on Higher Education (CICHE) Policies
- State Fiscal Policies

Office of the President | University of Colorado  
1800 Grant Street, Suite 800 | Denver, CO 80203  
General number: (303) 860-5600 | Fax: (303) 860-5610 | Media inquiries: (303) 860-5627  
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**University of Colorado**  
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## UNIVERSITY POLICIES

**POLICY RESOURCES**

**NEED POLICY HELP?**  
(QUESTIONS/FEEDBACK)

**POLICY USER RESOURCES**  
[Latest Policy News and Updates](#)  
[Policies Under Review](#)  
[Latest Policy Additions](#)  
[Latest Policy Revisions](#)  
[Latest Policy Rescissions](#)

[List of Policies \(A-Z\)](#)  
[Policy Hierarchy](#)  
[Policy Glossary](#)  
[Policy FAQ's](#)  
[Send Feedback](#)

**POLICY OWNERS RESOURCES**

[Policy Process \(Overview/Flowchart\)](#)  
[Policy Template](#)  
[University Policy Office](#)  
[Association of College & University Policy Administrators \(ACUPA\)](#)

**University Policy Library**

 <b>ACADEMIC/ RESEARCH</b>	 <b>FISCAL</b>
 <b>GENERAL</b>	 <b>HUMAN RESOURCES</b>
 <b>INFORMATION TECHNOLOGY</b>	 <b>OPERATIONS</b>
 <b>PROPERTY/ FACILITIES</b>	

**CU Board of Regents**

- Laws
- Policies

**Procedures**

- Procurement Service Center Procedures
- Payroll and Benefit Services Procedures Guide

**Forms**

- Finance Forms (Office of the University Controller)
- Procurement Service Center Forms
- Payroll and Benefit Services Forms

**FIND A POLICY**

Policy Search (Full Text) ▶

**ADMINISTRATIVE  
POLICY STATEMENTS**

Alphabetical List of Policies

**Browse by Category:**

- Academic/Research
- Fiscal
- General
- Human Resources
- Information Technology
- Operations
- Property/Facilities

**OTHER CU-RELATED  
LAWS AND POLICES**

**CU Board of Regents**

- Laws
- Policies

**Campus Policies**

- Boulder
- Colorado Springs
- Denver

**Faculty and Staff Governance**

- Faculty Council
- Staff Council

**OTHER HIGHER  
EDUCATION RELATED  
LAWS AND POLICES**

- Federal Laws and Regulations
- State Laws and Regulations
- Colorado Commission on Higher Education (CCHE) Policies
- State Fiscal Policies

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## Appendix 4: New University Policy Office Communications Plan

### University Policy Office Communications Plan

#### Goals

- Build a communications model to keep University of Colorado employees informed of all relevant changes in system policies which is timely and accurate
- Provide feedback from the University community to policy owners and administration regarding issues and suggestions on all administrative policy statements
- Increase the general understanding of University policies and procedures and awareness of where to find policies or get help with policy questions

#### Strategies

- Collaborate with campuses to improve communication and the understanding of policies
- One-stop University Policy Office (UPO) Web site that delivers information in an easy-to-read, easy-to-navigate, searchable format
- Provide immediate and consistent opportunities for questions and feedback
- Targeted e-mail alerts with simple policy summaries and a link to the UPO Web site
- Coordinated communication from policy owners and the UPO regarding changes in system policies
- Focusing on the basics
  - WHO – does the policy impact
  - WHAT – has changed in the policy revision; what is the reason for eliminating the policy
  - WHEN – is the policy effective and when will it be reviewed again
  - WHERE – can policies and related procedures and forms be found
  - WHY – is the policy needed
  - HOW – can I get help or more information on a policy
- Internal publications, e-newsletters with link to the UPO Web site
- *Silver & Gold Record* ads/public service announcements with links to the UPO Web site

#### Key Stakeholder Audiences

- University faculty and staff, policy owners

#### Tactics

- Drive all policy-related traffic to new and improved UPO Web site
- Send e-mail alerts to targeted stakeholder audiences
- Announce policy changes through the UPO Web site, e-newsletters, internal publications and *Silver & Gold Record* ads

## Appendix 5: University Policy Office Role and Mission

### University Policy Office

#### Mission Statement

The University Policy Office - with input from policy owners - will develop, oversee and maintain the University's system wide policy-making process; facilitate the development, review, approval, and maintenance of University-wide policies by partnering with University policy owners to create, revise, and distribute University-wide policies; and act as the official repository and point-of-contact regarding University-wide policies.

#### Goals

1. Increase organizational *efficiency and effectiveness*.
  - Seek policy simplification and streamlining, where feasible and appropriate.
  - Improve communications and enhance system webpage.
  - Maintain current and accurate policy statements.
2. *Increase understanding* of policies and *provide the tools* to more easily access policies in order to help increase compliance, lower costs of compliance, and reduce risk.
  - Improve organization of policies.
  - Increase customer service to the University community.
3. Establish a University-wide policy setting *process* and clarify the *roles and responsibilities* of the appropriate entities.
  - Reduce the silos of policy ownership.
  - Get the right people at the table, including representation from the campuses.
  - Increase discussion of policy concepts earlier in the process.
4. Provide a mechanism for *continual monitoring, review, and evaluation* of all policies.
5. *Timely dissemination* of policy statements issued, revised, and rescinded.

#### Key Roles and Responsibilities

1. Develop, oversee and maintain the University policy-making process (see guiding principles on page 19).
2. Coordinate with those involved in the policy-setting process, including policy owners, a central Policy Coordination Committee (PCC), campus representatives, end users, the Vice President's group, and other responsible officers - throughout the full policy lifecycle - from initiation; to development; to implementation; to policy management.
  - Responsibility for policy content resides with the responsible office and/or policy owner.
3. Manage the policy review and development process, including leading the Policy Coordination Committee and work with the appropriate executive-level review committee and campus representatives.
  - Establish a rigorous process for reviewing policy drafts that involves affected stakeholders at all levels of the University, and across all functions and campuses.
  - Establish adequate and appropriate review by the campuses and end users, General Counsel, Budget and Finance, and other officers of the University, as well as the appropriate functional areas under the Vice Presidents.
4. Work with leadership to make recommendations to address opportunities to streamline and improve processes and procedures to create efficiencies in how System Administration serves the campuses.

5. Support those involved in the policy-setting process, including:
  - Provide research on proposed policies or policy revisions, as needed
    - Check the appropriate source documents to ascertain what policies and related documents exist on the subject, assure that the proposed policy does not conflict with current policies, and research whether the proposal affects other existing policies.
    - Research the history of issues connected to the policy, and reconcile these with the policy owners.
    - Research available information on best practices.
  - Assist with policy formatting and editing, as needed
    - Provide editing and policy coordinating services, including establishing a policy template that offers an easy-to-read document that is consistent with other University policy documents and assist with writing and editing policies as required.
    - As appropriate, the University Policy Office may suggest a revision in a proposed policy or suggest different language to clarify the intent of the policy.
  - Work with the appropriate training units, as needed, regarding any specific training issues identified during the policy-setting process.
6. Index, archive, and record all historical, current, and new policies by maintaining a central repository and official web site for all historical, current, and future University-wide administrative policies.
  - Maintain the University Policy Office Web site, to include
    - All current policies and updates on policies being considered, revised, and/or rescinded.
    - Establish an easily accessible, user-friendly Web site for posting and finding University-wide policies, which would help build awareness and increase compliance.
7. Communicate timely and relevant information regarding new and amended policies to the broader University community.
  - The University of Colorado policy process will involve broad consultation with diverse University constituencies on each of the campuses.
  - A broad announcement of new policies to the University community will help build awareness and compliance.
  - Target communications of new policies to groups specifically affected by policy changes.
8. Provide policy interpretation and help (i.e., answering general inquiries) – a one-stop shop for general policy questions.
9. Provide for the regular review of all existing and any new policies
  - Maintain a review schedule for all administrative policy statements and ensure that each posted policy has the next scheduled review date clearly identified.
  - Communicate with the policy owners to advise on the status of all policies within their jurisdiction.
  - Assist the policy owners in the review of their existing policies, according to the review schedule.
10. Work with the appropriate entities to continue making progress on the remaining priorities established by the President's Task Force on Efficiency.