

**Division of
Finance and University Services**

Self-Study

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Self Study

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Finance and University Services Self-Study

I. Introduction

The Division of Finance and University Services (FUS) encompasses the business and financial infrastructure of the University. It is responsible for development and oversight of collective budgets in excess of \$1.4 billion dollars, for employment policies covering over 11,000 permanent staff employees as well as for a payroll and benefits system which serves all of the University's approximately 13,000 permanent faculty and staff. The Division provides some services, such as utilities, for all University buildings with a replacement value of \$2.4 billion, containing over 13 million sq. ft. It has primary responsibility for care and maintenance of buildings supported by the General Fund, approximately half of the total. It maintains and improves grounds covering 1,900 acres. Moreover, it operates a wide variety of business service units such as a laundry and a printing operation which provide necessary support to the campus.

The Division has undergone a fairly dramatic change in its organization and approach to its mission since it was last reviewed by the Faculty Senate in 1985. For many years prior to and immediately following the 1985 review, FUS was a stable (some might even say stodgy) organization with little change in its organizational structure or its senior administrative staff other than the Division's Vice President. In contrast to the stability of its other senior administrators, FUS experienced a fairly steady turnover in the vice presidency (Ed Jennings from 1977 to 1979, Randy Bezansen from 1979 to 1983, Dan Ellis from 1984 to 1987, and Susan Phillips from 1987 to 1991). During this period, the vice presidents devoted most of their energy to the University's general governance and budget, and to representing the University in its business dealings with the state government and the Regents. Less attention was paid to oversight of the many operating units reporting to the Vice President. This style of leadership was only practical because of the stability of the organization for which the VPFUS was responsible.

Following the appointment of Doug True to the vice presidency on an interim basis in 1991 and permanently in 1993, the leadership of Finance and University Services began to pay more attention to examining the way FUS units deliver services to the University. Part of the inspiration for this intense examination of the Division's structure and procedures came from interest within the Division in the work of Dr. W. Edwards Deming and others both in academe and the private sector who were advocating that organizations commit themselves to a continuous examination of the quality of their operations. After studying this approach to work and organization, the leadership of FUS became convinced that too many of the Division's units were focused on maintaining the status quo rather than on finding the best way to deliver services. The

conclusion drawn was that too many FUS procedures were designed for the administrative convenience of the FUS staff rather than for meeting the needs of those being served.

As a consequence of this effort to focus all of the Division's energies on providing the most responsive services possible without diverting resources from the academic enterprise, Finance and University Services has undergone more organizational change in the last three years than it had in decades. For instance, the unit which was responsible for facility operations and maintenance (the Physical Plant), had for many years been in a different organizational unit than the unit (Planning and Administrative Services) responsible for facility development and construction. In 1996, a decision was made to merge the two functions into a new organization, the Facilities Services Group. As a consequence that organization has reexamined how it operates and has undergone a complete restructuring within the last year. Another example of an organizational change which is resulting in improved services is the effort to consolidate a number of business services functions (General Stores, Mailing Services, Printing Services, Publications Order, Rental Pool) into one physical location. This reorganization permits consolidated deliveries and pick ups which has led to a lessening of the vehicular traffic on campus. Almost as important to this reorganization is the opportunity to combine technical and administrative support personnel, thus devoting a greater share of the resources to services.

In addition to implementing this and other similar organizational reforms, the Division addressed itself to the need to provide an infusion of new leadership. In the early 1990s, most of the unit leaders in FUS had worked for the University for at least two decades and many had been in their current roles for over a decade. Moreover, those holding senior staff positions had comparable longevity. By taking advantage of early retirements and other vacancies which have occurred in recent years, Vice President True has been able to pursue a conscious policy of leadership recruitment and development for the Division without adding additional positions. New leaders such as Mary Jane Beach (Florida State University), Drew Ives (University of Arizona), and Bob Foldesi (Illinois State University) bring with them valuable experience gained at other institutions. Their addition to the talented cadre of leaders who remain in FUS, such as Dick Gibson, Doug Young, and Mike Finnegan, has created an administrative team which demonstrates a willingness to try new approaches coupled with a respect for institutional traditions.

In addition to new unit heads brought in from outside the University, the Division leadership has become more self-conscious about identifying talented staff members within the Division and providing them with the opportunity to grow and serve in available leadership positions. For instance, the early retirement of the Assistant University Treasurer, provided an opportunity for Diana Cook, the University's Risk Manager, to add his duties to her portfolio. Likewise, the departure of Dick Scharff, head of the newly developed Business Services

organization, provided an opportunity for University Controller Mary Jane Beach to take on a wider array of responsibilities. Her transfer to Business Services opened the way for Terry Johnson, then head of Accounting Services, to compete for and be selected to serve as the Controller. Mr. Johnson had been recruited from the private sector in 1992. Organizational changes in Grant Accounting and Accounting Services freed two senior FUS staff members (Chuck Wolfe and Pete Husak) to spend a substantial portion of their time providing the value of their substantial expertise to campus units in a quasi-consulting capacity.

In fact, the pace of structural and personnel changes has been so constant and extensive that the organizational structure described in the FUS Strategic Plan found in Appendix A is already at considerable variance with the most recent organizational chart which is included as Appendix B. Concurrent with these changes in organizational structure have been efforts to involve both Division staff and those FUS serves (its "customers" in Quality movement terminology) in looking intensely at the methods by which service is rendered. A number of "teams" have been formed to look at specific procedures. These teams have included both the staff responsible for the procedure and those who are affected by it, thus embodying the values of: (1) empowerment of staff and (2) commitment to placing priority on the needs and desires of those being served. Although much of what the Division does may not appear directly related to the academic efforts of the individual faculty member, all of it is necessary to maintain the environment which enables the faculty to work productively. It is with the goal of better supporting that work that the Division has undertaken those changes and others yet to be determined.

What has not changed for the Division is the central role played by charter, advisory, and ad hoc faculty and staff committees in its activities. The University did not need Deming and other leaders of the "Quality" movement to teach it the value of involving constituent groups in its efforts. Thus, for FUS the Quality focus on team efforts has been a natural outgrowth of the University's normal mode of operation.

Another element of FUS activity which has not changed, except perhaps to intensify, is the demand placed on the Division to respond to external reporting demands. Both federal and state agencies appear to have increased the emphasis they place on University accountability. As Terry Hartle of the American Council on Education (ACE) points out in the March 6, 1998 Chronicle of Higher Education, in the two decades following a 1977 ACE report on the effect of governmental regulations on colleges and universities, "the number of federal and state rules, their intrusiveness, and their costs to institutions all have greatly increased." Since these external bodies focus most often on stewardship of financial, human, and physical resources, FUS is most often responsible for responding to their requests.

II. **Mission and Goals**

The mission statement of the Division of Finance and University Services (FUS) encapsulates its commitment to service and stewardship:

Finance and University Services is an administrative division of the University of Iowa, which is governed by the Iowa State Board of Regents. The division is principally responsible for the stewardship of the University's resources – financial, physical and human. Our mission is to improve continuously the services we provide to meet the needs of the other divisions and the colleges of the University, allowing the University to flourish as an institution of higher education and to have the financial, physical, and human resources necessary to provide the people of Iowa with teaching, research, and services of the highest quality.

The goals of the Division are laid out in the FUS Strategic Plan, a copy of which is attached as Appendix A. These goals flow from the Division's Mission Statement and are organized around the four major areas of service (financial, facility, human resources and business services) through which the Division supports the University's mission of teaching, research and service. They were developed in 1995 at the request of the UI Strategic Planning Committee and in response to the initial draft of the University Strategic Plan. After the first draft of the FUS goals was completed, the four major functional areas described above used the University and division goals to each develop its own unit goals. Following this work, the Division's goals were reviewed and revised in light of the work of the sub-units. The final draft was then submitted to the UI Strategic Planning Committee which suggested some further modification. The goals finally included in the FUS Strategic Plan reflect all of that consultation.

For the most part, the role of the faculty in setting these goals was indirect but nevertheless substantial. Not only does the final product reflect the review by the faculty-dominated Strategic Planning Committee, but also many of the individual goals result from continuing consultation with faculty, staff, and students through University Charter Committees. These include the Campus Planning, Family Issues, Funded Retirement and Insurance, Parking, Recreation, and Safety and Security Committees.

III. **Rationale**

As the Mission statement quoted above indicates, the Division of Finance and University Services exists to provide the financial, physical and human infrastructure necessary for the University and its faculty to fulfill the institution's mission. The final paragraph of the guidelines for preparing this Self-Study urge that the report should "to the extent possible, emphasize academically related as opposed to purely housekeeping activities." It is, however, the role of the FUS to devote itself to activities, many of which are mundane and unglamorous, that

free the faculty to be productive teachers and scholars. Indeed, FUS is literally responsible for housekeeping in the University's academic buildings. More globally, the Division is responsible to the University's faculty, staff, students, and the State Board of Regents to see that money is properly spent, buildings properly maintained and creatively improved, people properly supported, and services effectively provided. In particular, the Division plays a principal role in documenting the efficiency and propriety of the University's practices to those whom the institution is particularly accountable (Regents, Governor, General Assembly and numerous federal agencies).

In carrying out its stewardship function, Finance and University Services must coordinate its activities with and be responsive to the other divisions and colleges around which the University is structured and to faculty, staff, and students. Mechanisms at a number of levels exist to ensure this coordination. On the one hand, the Vice President meets frequently with the President, the Provost, and the other VPs. He consults periodically with the collegiate deans, both individually, and as well as a group. Moreover, he meets regularly with both the Faculty Senate and the Staff Council Budget Committees to ensure direct constituent input into the University's major budgetary decisions. Consultation by other FUS Senior Staff with constituent representatives takes place primarily through the deliberations of the six Charter Committees listed earlier. In addition, there are a number of channels for consultation with representatives of major administrative units. For instance, the Controller and other FUS budget and financial officers meet regularly with the Collegiate Budget Officers. The Facilities Renewal and Equipment Committee (FREC) includes representatives of the Offices of the Provost and the VP for Research in making collective decisions on the distribution of General Funds for both the purchase of equipment and the repair and renovation of facilities.

While the Division relies heavily on the extensive system of consultation with faculty, staff, and student groups described above, it must be acknowledged that no formal method exists for soliciting advice on FUS operations from individual faculty members. Development of an effective mechanism for doing so remains a challenge for the Division.

IV. **Programs and Services**

The Division is organized around the major responsibilities for service to the University as described earlier. (See Appendix B for the FUS organization chart.) These are:

- A. Financial Services
- B. Facilities Services
- C. Business and Compliance Services
- D. Human Resource Services

In this report, the description of the Programs and Services undertaken by FUS that follows below is organized around these four major functions. Because it is organized by function, this description does not adequately reflect, however, a new approach to providing service to the campus which has recently been developed. In order to provide consulting services to individual operating units, selected senior FUS staff have been relieved of all or part of their operating responsibilities to free them to assist departments and colleges who need expert advice. Although this new effort creates organizational complexity, it also takes advantage of the talents and years of University experience possessed by these senior FUS staff members. This approach assists units in responding to the increased complexity of grantor requirements, IRS rules and the like. One example of this approach is the reassignment of George Klein, Associate Director of the Facilities Services Group, to permit him to devote a portion of his time to assisting ITS with improving their business and financial operations. A second example is the work Chuck Wolfe of Grant Accounting and Pete Husak of Accounting Services have been doing to help auxiliary enterprises, cash handling operations and recharge units, such as Electron Microscopy and the Engineering Mechanical Shop, improve their business practices.

The organization of the description of FUS by functional areas also tends to mask the central role played by the Division in representing the University in external venues where successful representation is crucial to the institution. Most faculty are aware that the VPFUS is called upon regularly to testify in support of the University's appropriation requests before the Regents, the Governor and Legislative committees. What may not be as well known is the value to the University of his service on the Board of the Council on Governmental Relations (COGR), the voice of higher education in influencing the development of federal regulations that govern the relationship between the US government and universities and their research enterprises. Also valuable is the role the Associate Vice President has played in testifying to the Joint Legislative Committee on Pensions in support of retaining access to TIAA/CREF for University faculty and staff. The faculty and staff also benefit because the Associate Director of Human Resources for University Benefits serves on TIAA/CREF's national Advisory Committee. Moreover, FUS representatives tend to function as the principal interface between the University and representatives of state government on a variety of matters.

A. Financial Services

Financial Services is committed to serving the strategic planning objectives of the division of Finance and University Services and the University as a whole by playing a central role in exercising stewardship over University resources. Inherent in this commitment is the responsibility for promoting the use of sound business practices. It also calls for staying abreast of ever changing external requirements while at the same time minimizing the impediments these requirements might present to achieving excellence in teaching, research and

public service. Also inherent in this commitment is the responsibility for continuously striving to improve the quality of financial services by maintaining a competent, well trained staff and encouraging that staff to work with other UI operating units in utilizing the best technological tools.

The functional units within Financial Services include: Accounting Services, Financial Systems Support Team, Grant Accounting, Cashier's Office, Treasurer's Office, Budget Office, Financial Analysis, Student Loan Accounting and Property Management. These units provide a wide variety of direct services to faculty, staff, students and the UI's financial sponsors. These responsibilities also require FUS to represent the University in many external relationships such as those with bond rating agencies, bondholders, investment managers, auditors, and State and Federal agencies. Examples of the services provided which have the most direct effect on faculty and academic units are listed below. (Examples of other Financial Services may be found in Appendix C).

Providing fiscal oversight for all sponsored grants and contracts and, in collaboration with Sponsored Programs, providing advice and assistance to research faculty, DEOs, and central administration in administering grants and contracts.

Assisting faculty and staff in the interpretation and implementation of the requirements of external sponsors.

Developing funding plans for major projects that cannot be accomplished with current operating funds, e.g., equipment and buildings.

Maintaining a close interaction with the University of Iowa Foundation on joint projects and the coordination of complex financial relationships.

Helping to generate additional resources for teaching, research and public service through the prudent investment of funds.

Representing the University in the calculation, negotiation and implementation of the Facilities and Administrative Indirect Cost Rate for sponsored activities.

Administering the personnel effort reporting system which helps assure compliance with federal regulations and continued federal support.

Maintaining the University's central accounting system and providing regular and periodic management and financial information to colleges, departments, and centers.

Responding to comments and recommendations from State, Federal, external and internal auditors and maintaining a system of internal controls to safeguard University resources.

Providing tuition and other revenue estimates to facilitate the budgeting process.

Assisting colleges and administrative units in developing and monitoring operating and capital budgets.

Supplying information to collegiate offices regarding student loan fund financial reports, the availability of student loan funds and borrower status.

Maintaining a campus-wide equipment inventory system to assist collegiate and departmental units with stewardship over University assets and help assure compliance with external requirements.

Providing accurate and persuasive responses to the state in support of full salary funding and program initiatives.

B. Facilities Services Group

The Facilities Services Group (FSG) is responsible for the planning, construction, maintenance and operations of the facilities of the University supported by the General Education Fund and much of the remainder of the campus. This responsibility was extended to the Oakdale Campus in July of 1997. This unit is responsible for operation of the campus-wide utility system. FSG was formed as an organization in 1997, when the former Physical Plant, Architectural Engineering Services, and Planning and Administrative Services were reorganized into one unit. These units had been placed under the administrative responsibility of the present director in August 1996.

The major operational units of FSG include Operations and Maintenance, Utilities, Design and Construction Services, and Administrative Support Services. The Office of the Associate Vice President includes Space Planning and Utilization, Campus Planning and Project Management functions. FSG is administered by a leadership team consisting of the managers of the major operational units and key staff personnel.

The Associate Vice President and Director of FSG provides leadership for the entire organization. His responsibilities also include the implementation of diverse initiatives that affect the entire organization. Examples include the development of major campus projects, coordination of the efforts of FSG units, and the removal of fire and environmental safety deficiencies in campus buildings. As a result of fire safety efforts, 72% of General fund space will be in structural compliance by July of 1998.

Operations and Maintenance (O&M)

The majority of the personnel in FSG are committed to Operations and Maintenance. O&M has responsibility for the operation and maintenance of over six million gross square feet of General Fund supported buildings. Operations and Maintenance responsibilities include custodial services, maintenance of the buildings and grounds of the campus, and rubbish and trash removal and recycling. It also provides specialized services such as carpentry, keys, and building controls through its central shops. In the fall of 1997 additional services were transferred to the decentralized area maintenance organizations and the remaining services were consolidated into the three central units. This reorganization is intended to place more of the Operations and Maintenance staff in areas based close to the customers they serve and to decrease layers of supervision where it is not required.

Utilities

The Utilities division is responsible for the generation, purchase and distribution of all utility services required on campus including UIHC. Utilities provided include steam, electricity, chilled and potable water. The division is responsible for the operation of the central power plant (steam and electric generation), two central chilled water plants, the water purification plant and the connecting distribution systems. Electricity is both generated and purchased. The Interim Associate Director of Utilities is responsible for the utilities function. The Utilities Division is organized as an enterprise which is entirely self-supporting, i.e., the rates it charges to all units must cover its cost.

Design and Construction Services (DCS)

Design and Construction Services is responsible for the planning and construction of all non-hospital capital projects on campus, including buildings, site improvements and utilities. UIHC engages these services on many of its projects as well. Services are provided both by staff professionals and by consultant designers whose services are coordinated by the professional staff. The Director of Design and Construction is responsible for the division.

Other FSG Responsibilities

Campus Planning is the responsibility of the Campus Planner. His responsibilities include maintenance of the Campus Planning Framework, project planning for campus site development projects, and participation in the planning processes involving new construction and routine grounds maintenance and improvement. The Campus Planning Charter Committee is actively involved in this process.

Space Planning and Utilization (SPU) is the responsibility of the Assistant Director for Space Planning and Utilization. Her responsibilities include consultation with academic departments concerning facilities needs, the

provision of planning assistance for space assignment decisions, the assignment and management of the 200 classroom pool of general assignment classrooms and the provision of guidance in developing the scope of remodeling and new construction projects.

The leadership of the Facilities Services Group works continuously with the Board of Regents Office to shepherd capital projects through the Board's procedures and to develop specific capital initiatives for the Board's consideration. This effort includes the development of institutional and Regent capital requests. The University has been quite successful in recent years in obtaining support for capital projects. It has received funding to help reduce deferred maintenance and to remedy fire safety problems, funding for the Pharmacy Addition, the Pappajohn Business Administration Building, the Schaeffer Hall Renovation, the Biology complex addition and renovation, the Engineering Modernization Project and the Health Sciences Campus capital expansion program, which includes partial funding for the Medical Education and Biomedical Research Facility. Vice President True has been instrumental in the development of funding strategies for capital projects that include state support, debt financing, fund-raising, and a variety of complementary financial support. These strategies have augmented the financial capability of the state to fund these projects on an accelerated schedule. They have increasingly required FUS to work with the colleges and departments and the University of Iowa Foundation to develop support and materials for private fund raising campaigns. In FY97, the Board of Regents approved capital projects valued at \$164 million, a listing of which is found in Appendix D.

C. Business Services

The business services team represents a diverse group of units within Finance and University Services. These units include Purchasing, Accounts Payable and Travel, Mailing Services, Printing Services, Laundry Services, Materials Management, Public Safety, Parking & Transportation, Risk Management and Recreational Services. Each of the units is dedicated to providing quality services to support the University's mission of teaching, research and service. Those units having the most direct effect on faculty and academic units are described briefly below. Others are included in Appendix E.

Risk Management

The Risk Management and Insurance Department is responsible for administering risk management and insurance programs in compliance with the University of Iowa and State Board of Regents' risk management policies and procedures, and state and federal laws. At the time of the 1985 review, Risk Management was handled as one of many duties of the Associate Business Manager. There was no insurance protection against casualty losses for the UI's academic buildings, equipment or other contents of these buildings. The

University was entirely dependent on the State of Iowa's Executive Council and the Iowa General Assembly to reimburse losses. In the period since 1988, the University has appointed a Risk Manager and has reaped the benefit of concentrated, professional attention to this function. The University of Iowa's Risk Manager has provided leadership for the Regents in the development of a risk management capability. A significant example of the benefits the University has gained from this increased attention to risk management is the institution's experience with the flood of 1993. The Risk Manager had purchased coverage which, taken together with funds granted by the Federal Emergency Management Agency, protected the University against loss from the flood. The University's use of reserves and insurance to protect against losses makes replacement of facilities and equipment a less political process and one which is determined by the University's academic priorities.

Environmental Services

The University has established an Environmental Policy Committee at the request of the Vice President for Research and the Vice President for Finance and University Services. The committee is chaired by Drew Ives, Senior Associate Counsel and Director, University Regulatory Compliance and includes a number of faculty and staff with expert knowledge. The committee was established to foster an active approach to campus environmental issues, to address the increasingly complex regulatory environment under which the University must operate, and to formulate University policies to protect the environment. The Committee will be working to formulate a statement of environmental policy for the University.

The committee has formed three subcommittees to assist it. Subcommittees on waste management, environmental regulation, and occupational health and safety are currently reviewing the University's involvement in and structure for managing activities under regulatory requirements in those areas. The subcommittees' charge is to identify University activities and constituencies subject to regulatory requirements, and the persons responsible for related compliance. The subcommittees are also asked to recommend plans to ensure that future applicable requirements are proactively identified and addressed.

Recreational Services

Recreational Services Program provides many opportunities for physical, mental, and social growth. The Recreational Services staff seeks to provide the opportunity for participation in a wide variety of recreational activities at convenient times for every student, staff, and faculty member, regardless of skill level or past experience. The most recent demonstration of this unit's commitment to faculty, staff and students has been the addition of an east side fitness area that will be located in Halsey Hall. This facility will complement and provide relief for the west side Field House facility which has had to turn

interested parties away for the last several years. Another major project being planned is the Hawkeye Area Athletic/Recreation Complex, the first stage of which added twelve soccer and flag football fields in 1996/97.

Purchasing, Accounts Payable and Travel

Over the last several years units have been reorganized to provide more efficient and cost effective service to the University community. These three functions work closely together to provide procurement and payment services on behalf of the University. Originally there were two separate accounts payable offices (one in the Business Office and one in Purchasing) which have been combined into one. Most recently Purchasing and Accounts Payable/Travel have been merged and assigned to the Business Services unit of the Division. These organizational moves were made to recognize the close working relationship of these three areas and to enable the integration which the new management information system described below will require. Through this reorganization, the travel center has been eliminated as a separate unit.

Purchasing and Accounts Payable are in the midst of implementing new software that will allow on-line, electronic requisitioning. This new system will eliminate much of the paperwork currently passing back and forth between central administrative and departmental offices. It is expected to increase productivity at all levels of the University.

Travel has made many changes to their processes in recent years that have directly benefited faculty and staff. Effective October 1, the campus is in a twelve month trial period using six travel agencies to provide faculty and staff travel arrangements. This multi-agency agreement provides faculty and staff with a choice in making travel plans and ultimately will provide the University with a small group of dedicated agencies who can serve the faculty and staff's travel needs best. Travel has eliminated the "Request for Permission to Travel" form completely as a central administration requirement and has made many other process improvements, including electronic funds transfer of payments to ensure timely and accurate reimbursement for faculty and staff travelers.

Printing Services

The Printing Department is the University's official purchasing agent for printing, as specified in the Code of Iowa and The University of Iowa Operations Manual. The charge to the Printing Department is to manage each printing project with the best interests of the entire University as the primary goal. Its mission is to provide complete graphic support by providing or procuring cost-effective, aesthetically pleasing, and timely printed material for the University community. Most orders are produced in-house; others are put out for bid in the private sector. Printing offers design, editing, and composition services; desktop publishing support; and a full range of printing, duplicating, and bindery services.

It also provides centralized copy center operations at eight locations on the campus. All of these operations are self-supporting.

Parking and Transportation

This unit provides and manages a parking system for faculty, staff, students and visitors throughout the University campus. Parking is responsible for 47 surface lots and seven ramps which provide 11,593 spaces for faculty, staff, and visitors. An eighth ramp is planned in conjunction with the College of Medicine Capital project. The Parking operation is entirely self-supporting and has an annual budget of \$7,410,000. The funds needed to provide capital improvements are generated from parking revenues. Parking and Transportation also manages the Cambus program, employee van pool program, and the University motor pool. It also provides the enforcement of University parking rules and regulations. Cambus is a UI service conceived, supervised and operated by students. Serving students, faculty, staff and the general public, Cambus has developed into a vital service providing nearly 4 million rides per year. Cambus is a vivid example of a student initiated project which has had lasting value. Appendix F provides information on cambus routes and ridership.

Cambus also operates a specialized transportation service known as the Bionic Bus for students, faculty and staff with disabilities. It is a demand-response, curb-to-curb service provided with lift-equipped mini-buses. In addition, Cambus has acquired a number of buses for general use equipped with front step wheelchair lifts, thereby making them accessible to persons with disabilities. These vehicles allow Cambus to provide a limited level of accessible service on its general routes. Currently this service is available on the Red, Blue and Hawkeye/Interdorm routes. In addition, Cambus is undergoing a project to equip the remainder of its vehicles with wheelchair lifts which will provide for nearly 100% accessible service within a year.

Public Safety

The responsibility for the protection of the University community and more than 1,900 acres of University property rests with the Department of Public Safety. Maintenance and provision of a safe and peaceful environment is accomplished by 24 hour patrols, emergency response and additional services. All criminal complaints reported are investigated and media releases and crime awareness bulletins are used to make the community aware of criminal activities on campus. Public Safety officers patrol the campus using squad cars, bicycles and occasional foot patrols. During nighttime hours the coverage is increased through the use of security guards trained by the department.

D. Human Resource Services

The Division of Finance and University Services is responsible for all employment related services which affect Professional and Scientific and Merit staff. In addition to providing services to University staff, Human Resources also supports faculty and, in some cases, students with a variety of services. These include fringe benefit and payroll administration, child care and family policy support, immigration services, Faculty and Staff Services (the University's Employee Assistance Program), and Faculty and Staff Disability Services. In providing these services, Human Resources consults regularly with representatives of staff and faculty, through the relevant Charter Committees (FRIC and Family Issues) and through the Staff Council. Human Resources delivers its services through a number of programs, some of which existed prior to the 1985 review and some of which are new since then.

The listing of individual functions which follows below would present an incomplete picture of the work of Human Resources if this report were not to describe the important role Human Resource leadership plays in developing University policy. The Associate Vice President and key Human Resource professionals serve as administrative liaison to a number of groups involved in policy development such as the Staff Council, the Funded Retirement and Insurance and the Family Issues Committees. In addition, from time to time the Associate Vice President may serve on University-wide task forces addressing specific policy questions such as parenting policies and faculty dispute procedures. Moreover, the AVP and other key Human Resource professionals periodically convene ad hoc groups to review or develop policies governing staff employment.

Professional and Scientific Employment

Human Resources is responsible for administration of and policy development for all aspects of Professional and Scientific (P&S) Employment for 5,000+ P&S staff members and those who employ them. These responsibilities include the classification of all P&S positions, development of the annual compensation plan covering these positions and administration of Professional and Scientific Staff appointment policies. The Assistant Director of Human Resources for P&S Employment has primary responsibilities for these activities which provide direct support to the academic enterprise, and in particular, to the University's funded research efforts. In administering her responsibilities, the Assistant Director makes every effort to be responsive to the needs of colleges and departments. She also devotes a considerable amount of time to assisting P&S staff who have been furloughed due to loss of funding or reorganization.

Employee and Labor Relations

Human Resources is responsible for representing the University in its role as employer in the collective bargaining process. This role requires the Director of Employee and Labor Relations to represent the University on the statewide

bargaining team which negotiates with the American Federation of State, County and Municipal Employees (AFSCME) for the contract covering non-supervisory Merit System Staff. With the advent of collective bargaining for Graduate Students, the Director also participates on the Regents/University team which negotiates with UE/COGS. In addition, the Director is responsible for day-to-day relations with both Unions, for overseeing the contractual grievance processes and for assisting in the resolution of employment-related disputes between P&S staff and the University. In carrying out these responsibilities, the Director is called upon to work with academic departments to resolve disputes in ways which respect the needs of faculty and departments as well as the rights of staff members.

University Benefits

The University Benefits Office serves all of those holding faculty, staff, or graduate assistant appointments. It also serves students by administering the UI Student Insurance Program. The Assistant Director of Human Resources for University Benefits oversees retirement and insurance (health, disability, and life) programs covering 13,000+ faculty, staff and graduate students. This office works closely with the leadership of the Funded Retirement and Insurance Committee (FRIC) to ensure that the University's benefit programs are fully competitive and, on occasion, innovative. Examples of the leadership provided by this office and FRIC include the development of a flexible benefits plan for Faculty and P&S staff and of a policy permitting health insurance participation for domestic partners of University faculty and staff. Iowa was the first US university which permitted such participation and is still one of few public institutions which does so.

Payroll

Though it might be considered to engage only in mundane housekeeping functions, in fact the Payroll Office directly benefits all faculty, staff, and student employees because of its efficient and effective operation. As we all know, Payroll is a critical service that must be completed accurately and promptly. This is no easy task given the thousands of salary changes which occur annually and the effect of errors on an individual's financial and tax status. To highlight the challenge of their task, it is well to note that Payroll processes approximately 6,000 appointments and 15,000 change of status forms in addition to July salary changes every year. Each month it issues more than 20,000 pay checks. Since the early 1970s, Payroll has reported to the Controller's Office. In anticipation of the integration of the payroll system into a new Human Resource Information System (HRIS), the Department was transferred to Human Resources on July 1, 1997. The new HRIS will mean introduction of a completely new payroll system before the year 2000 and Payroll is expending every effort to make sure that the new system represents an improvement for faculty and staff and employing departments.

Merit Employment

A principal responsibility of Human Resources is to administer the Regents Merit System which governs the employment of 5,000+ non-professional staff members. The Merit System is a civil service system and like all such systems is designed to prevent favoritism by removing authority for many employment related decisions from the immediate employing unit or supervisor. The challenge for those responsible for Merit Employment is to do everything possible to meet the needs of employing faculty and departments while complying with the Regents requirements. This is no easy challenge; the Regents rules often cause frustration for those who must employ Merit staff. Human Resources is committed to working within this system to meet institutional needs.

Immigration

Human Resource responsibility which is of direct value to faculty and academic units is the support given to individuals and units who seek to employ a non-citizen as a faculty or staff member. When the last review of Finance and University Services was conducted in 1985, employment-related Immigration assistance was provided by the Office of International Educational Services (OIES). As more and more academic units sought the services of talented non-citizens and the OIES load became greater, they asked Human Resources to take over this responsibility. Through internal reallocation, Human Resources was able to fund a permanent position to provide this service. This office has assisted in the employment of approximately 350 faculty and staff over the last five years.

Faculty-Staff Disability Services

This program was also established in response to the need to meet new federal requirements. Passage of the Americans With Disabilities Act required the University to provide greater support to faculty and staff members with disabilities and to the units in which they were or wished to be employed. The ADA is built around the notion of "reasonable accommodation" and this new service helps all concerned parties to identify the need for accommodation and to fashion reasonable responses to such needs. It was established in 1993 by reallocating an existing Human Resources position. The need for services has grown since then and an existing Human Resources professional has been reassigned to improve the office's responsiveness.

Wellness Promotion

In 1998, Faculty-Staff Services, Training and Development, Pre-Vocational Training, and Family Issues will become part of a new sub-unit whose leader will have a special charge to coordinate and promote wellness for faculty and staff.

Family Issues

Another service to faculty, staff, and students which wasn't provided by FUS at the time of the last review has to do with support for programs and policies intended to assist students, faculty, and staff with family responsibilities. In 1985 the University's child care support was centered in student government and the Division of Student Services. During that period student government arranged for several University owned houses on or near Melrose Avenue to be rented to student initiated non-profit organizations which operated child care centers. In the years since the 1985 review, responsibility for relations with these centers and for other family support services has been transferred to Human Resources. Since the transfer to Human Resources, the University sought and received an appropriation of \$58,500 to provide modest support for the centers. Through internal reallocation and selective use of additional non-state revenues, the University has been able to redirect an additional \$227,500 to add to support for the centers, to fund a variety of child care assistance programs through the local child care resource and referral agency (4Cs), to provide direct assistance to parents who are graduate students, and to establish a half-time position for a Family Issues Coordinator. The University has also made funds available to upgrade the Melrose Avenue centers to ensure they are free of lead-based paint and has participated in the development of the UIHC sponsored child care center in Westlawn.

Faculty-Staff Services

Faculty-Staff Services, the University's Employee Assistance Program (EAP) has also been established since the last Faculty Senate review. This office provides referral services and some direct counseling to faculty and staff who seek assistance with personal problems which interfere with their work. Such problems might range from emotional illness and/or substance abuse (their own or a family member's) to debt management difficulties. The principal function of the office is to help the faculty or staff member to obtain appropriate help from community resources. Direct counseling of up to four sessions can be provided in emergencies or for cases in which a short course of counseling can provide valuable support for a faculty or staff member. This office provides an example of a University program whose development was dictated by a federal requirement. The Drug Free Workplace Act requires all covered employers to provide EAP services to employees.

Training and Development

Another Human Resource function which is of direct service to staff, faculty, and academic departments is Training and Development. This office sponsors a number of employment-related training courses for staff. These courses support continued growth for the individual staff member which it is hoped will lead to an

improved contribution to the employing department. Some of these courses are also of value to faculty members who assume administrative responsibilities either for departmental leadership or as Principal Investigator on a research project. Indeed, some programs sponsored by Training and Development, such as the Administrative Institute, are designed to be of direct assistance to newly appointed departmental leaders. Besides sponsoring formal training programs, this office also supports a staff internship program through which staff members obtain on the job experience in other roles, usually outside their own department. A revamped Employee Orientation program is a recent effort by this office to make sure that all faculty and staff are properly welcomed to the University.

Pre-Vocational Training

This innovative program is of indirect value to the University. It is designed to prepare women for employment in the skilled trades. Supported by several federal and state funding sources, it enrolls four groups of up to 15 women a year. It provides them with formal training in mathematics, physical education, and the demeanor needed to be successful in a non-traditional employment role. The trainees spend the most time, however, in shadowing University staff working in the craft which they wish to follow.

Dual Career Network

Responsibility for the Dual Career Network is shared with the Office of the Provost. This program was established at the urging of the Faculty Senate. It assists spouses and partners of newly hired faculty and staff to obtain employment within the University, Iowa City, or other surrounding communities.

V. Staffing and Resources

The Division of Finance and University Services employs Professional and Scientific and Merit staff with a wide range of skills and abilities which they contribute to the University. The P&S staff includes highly skilled professionals in engineering, architecture, accounting, human resources, employee benefits, criminology, laundry and printing management and many other fields as well. Merit staff include those who provide administrative and clerical support, journey level craft workers and the several hundred workers devoted to keeping buildings clean and grounds attractive. Compared with levels of staffing found at other CIC institutions for similar functions, FUS has a lean staff. When benchmarking studies have been conducted which look at staffing levels in functions for which FUS is responsible, the levels at Iowa have been found to be lower than those at other comparable research institutions. For example, the University has participated in several studies which compare the ratio of Human Resource staff per employee at CIC institutions. In such studies, Iowa has always been found to have the leanest staffing level in the Big Ten.

The level of budgetary and staffing resources provided to the Division reflect the longstanding University expectation that FUS should provide quality service at the lowest feasible cost. That budgetary policy, in turn, makes available the highest level of funding possible for the academic functions of the University. This expectation presents several challenges to the Division. Since the responsibility for compliance with external requirements such as governmental regulations falls heavily upon FUS, new staffing needs arise on a regular basis. For instance, when the federal government passed the Drug Free Workplace Act, it required employers to establish Employee Assistance Programs. Environmental regulations are constantly revised to require the addition of engineering and legal professionals to ensure University compliance. For the most part, FUS has met these added responsibilities by reallocation within existing resources. This reallocation has sometimes resulted in a reduced number of staff available to provide traditional services to the University community and in an inability to establish new services which constituent groups would like to see offered.

Nevertheless, FUS remains committed to providing the best service possible within the resources it has been given. It is for this reason the Division has established a process for regularly reviewing its procedures and organization. Basing its work on the principles of Continuous Quality Improvement, the Division has committed itself to providing excellent service to faculty, staff, and students as noted in the Introduction. This approach places great value on the insights of the staff who deliver services to improve them and FUS has involved many of its staff in teams designed to review and improve existing procedures. Representatives of academic units also participated on these teams. The Division has been less successful in involving individual faculty or Faculty Senate representatives in this review process.

Not only are the staffing levels in FUS units lower than those of our peer institutions, salary levels are also in many cases lower than is true not only for our peers but also for those doing comparable work elsewhere in the University. This has meant that FUS staff are often recruited to work in other units, and in particular, in collegiate units. In the new department, the staff member often receives a substantial increase for work done in a position in the same pay grade and, in a few cases, for a position in a lower pay grade.

This phenomenon has been a particular problem for the Business Office and Human Resources. In the period since the last FUS review, six members of the Business Office staff received salary increases when transferring even though their new position was less responsible. On the one hand, it means that FUS has sometimes had a hard time retaining its most talented staff members to the detriment of its ability to provide good service to the rest of the University. On the other hand, it has meant that academic departments and colleges have had the services of skilled professionals who are well versed in

University policies and procedures. On balance, the effect on faculty and academic units is probably neither positive nor negative.

The foregoing creates a picture of general staffing and resource issues for FUS. What follows provides a more detailed picture of the situation in the Division's major functional areas.

A. Financial Services

Financial Services has an ongoing practice of reallocation to meet its highest priority needs in an effort to limit, to the extent possible, the University resources devoted to administrative and financial responsibilities. This can, at times, represent a challenge given the numerous mandates and requirements that are imposed by external sponsors and supporters.

To this end, Financial Services continues to review the way it is structured, to seize opportunities for the more effective allocation and use of resources, and to reallocate to highest priority needs. Examples of this restructuring and reallocation can be seen in budget documentation provided to the Board each year over the last several years. Very recent examples include:

1. With the retirement of the Assistant Treasurer, The Director of Risk Management has assumed the Assistant Director's responsibilities generating salary savings which were reallocated.
2. The position vacated by the retirement of the Director of Financial Analysis has not been filled and the responsibilities of this position have been absorbed through restructuring the responsibilities of existing staff.
3. The operating and capital budgeting functions have been combined providing opportunities for cross-training and back-up and making possible the elimination of one position.
4. Two senior Financial Services employees have been reassigned to provide much needed oversight, consultation, and support for University recharge centers, bonded enterprises, and a variety of self-supporting units.
5. The duties of the position vacated due to the retirement of the University Cashier have been reassigned and the position of University Cashier left vacant.

B. Facilities Services

The FSG is presently involved in a long term reorganization with the object of configuring the Group to provide services in a more efficient and responsive manner. This reorganization is guided by the concepts of continuous quality improvement and features better organization of functional resources and thinner management structures. These changes should improve communication and the ability of individual service providers to understand and meet the needs of faculty, staff, and students of the University. The reorganization is built around the concepts of improved service to University customers. The emphasis is on the increased use of teams for process review and for management of the workplace environment. This FSG effort is guided by the assumption that additional funding will not be available for staff expansion.

One FSG area which needs additional staff is space planning and management. This function falls to only one person. The present level of staffing makes responsive service to the faculty very difficult.

For the most part, salary levels in FSG are adequate and competitive. Staff performance is monitored with a system of annual performance evaluation and continuous feedback. FSG professionals have the training and ability necessary to meet current expectations, but new efforts are being made to expand access to training to enhance job performance. When current staff lacks specific skills needed or the number of staff is not sufficient, consultants are used to augment staff resources, particularly for capital projects and long range planning.

There are several significant areas where FSG funding is not adequate. While the University has made progress in recent years in decreasing its deferred maintenance backlog, the situation at this time could be described at best as being in equilibrium. Funds for general building renewal are not adequate to meet ongoing needs. Annual expenditures for facilities renewal and adaptation should range from 2% to 4% of building replacement value to meet faculty needs for modern teaching and research facilities. Currently, these expenditures are roughly 2% of replacement value. Additional funds are required if the institution is to properly maintain and modernize its facilities, while also eliminating the deferred maintenance backlog. Appendix G lists the projects currently being undertaken.

The Facilities Services Group itself has needs in two areas if it is to be able to significantly expand its ability to provide required service to the University. The first need is a new facility to replace the present collection of "hand me down" buildings now available. The existing FSG facilities are the worst in the Big Ten. Moreover, both UNI and ISU have considerably better facilities. A new FSG building would provide a more productive working environment and, more importantly, would permit the activities of the Group to be consolidated in one central location. Construction of such a building would directly benefit the academic enterprise because it would release land on the main campus which would be better utilized for academic and research programs. Since land on the

central campus available for academic purposes is now extremely limited, meeting the FSG need would contribute to the future growth of the University's academic/research facilities.

The second need FSG has is for a modern facilities and project management information system. The existing system is antiquated and is becoming increasingly so with the modernization of central information management systems. The Group has never had an adequate project management data system and has depended instead on inefficient, inadequate and labor intensive "shadow" systems which fail to provide the timely financial information necessary to effectively and reliably manage large capital projects. A modern project management system would free personnel time to perform tasks of value to the management of capital expansion projects.

C. Business Services

The business services units within the division of Finance and University Services are, with few exceptions, totally funded from revenues generated from the sale of their services to other University units. These revenue generating units make every effort to ensure that their resources are used frugally and contribute toward the direct delivery of services. Wise stewardship of these resources and a conservative management style are used to ensure that rates units charge are held as low as possible to benefit University customers. When it is more economical and practical to do so, outside services are used to meet UI customer needs.

A few of the business service units are funded partially by general funds. These units also work to provide superior customer service while maintaining reasonable staffing levels. The leadership of these units is keenly aware of the need to examine every vacant position and to determine if it can be eliminated entirely either by reassigning duties to other staff or through process reengineering and automation. These General Fund supported units are implementing and reviewing new systems that will provide opportunities to do more in an automated fashion thus requiring fewer permanent staff members. A dramatic illustration of staff reduction is anticipated with the implementation of the PeopleSoft Purchasing and Accounts Payable System. Position savings are expected when workloads decrease as a result of investment in the new system. Purchasing has already reduced its buying staff by two FTEs through attrition over the last three years as processes have been reengineered.

A major impediment to effective operation by several of the Business Service units, including Purchasing, Accounts Payable/Travel, is the lack of adequate administrative space. Several units use the old Jefferson Hotel which has never been remodeled for a modern office environment and has a failing plumbing system. Its location creates difficulty for faculty and staff who need to pick up travel advances or meet with any of Business Service's staff since there is no University parking close by. If the building proposed for the Facilities Services

Group described above were to be approved, FUS would like to be able to also use the building to serve the needs of other FUS units and free up central campus space for additional academic purposes.

D. Human Resources

In mid 1997 the offices of Faculty and Staff Services and the Payroll Department were transferred to the Human Resource area. Also at this time, a new Associate Vice President and Director of Human Resources was hired. Additionally, in 1997, the University purchased a Human Resource Information System. These organizational, technological, and leadership changes have created an excellent climate for organizational review and reorganization. The Office is currently in the process of reorganization and all elements of the Human Resource operation are reviewing current processes to determine their value and contribution to faculty and staff success.

In designing the staffing pattern and organizational structure of the future, the Office has conducted extensive discussions with members of the campus community, and has determined that additional emphasis should be placed on the development of staff competencies in areas dealing with the use of technology, customer service, leadership skills, and programmatic and resource accountability. Human Resources has initiated programming to meet these needs. To achieve these service improvements, units such as Training and Development, Faculty and Staff Services, and Family Assistance are being brought under one administrative head who will also assume responsibility for promoting a physically and psychologically healthy environment for faculty and staff. This combination of forces and the resultant synergy will improve capacity and capabilities in this area.

Another positive step will be taken in 1998, when the Human Resources area will expand into additional space in the Eastlawn building. This will provide more comfortable and private space for employees and clients and will potentially create the opportunity for development of a semi-dedicated space for training/development classes. This will be a major improvement over current conditions, but does not negate the need for a fully equipped, dedicated formal training space on campus. Such a training facility would be of value to a number of University units who conduct training on an on-going basis. These include ITS and the Health Protection Office. It would also improve the setting for University Orientation and for programs offered by the Provost such as DEO training and new faculty orientation.

The Human Resources Office is being configured to permit the employee relations and compensation/classification areas to provide additional analytical and research assistance. The reallocation of staff into these areas will increase the resources available to assist individual faculty members, departmental and collegiate administrators in making decisions on how best to recruit, retain,

empower, and motivate faculty and staff. To achieve these objectives, similar functions are being teamed together to take advantage of the knowledge and abilities of individuals with similar interests and competencies. With the implementation of the Human Resource Information System, it is projected that some resources will be available for reallocation from paperwork processing to faculty and staff support. Special emphasis in the future will be placed on eliminating barriers and obstacles to employee success, establishing motivation and recognition processes, and providing human resource consultant services to departments and administrators.

VI. **Internal Evaluation**

In 1997, Vice President True appointed a five member team to “Facilitate and monitor organizational and process improvement review of Finance and University Services (FUS) units...” The charge to the team was to formalize and unify the review processes which had previously existed on a unit by unit basis. The new review program as intended to respond to the need for a formal, Division-wide, review program as contemplated by the President’s Committee for Strategic Implementation and the “Criteria for Institutional Enhancement for Non-academic Units” developed one year ago.

Under the protocol developed by the Committee, reviews would involve a process of self-study and evaluation by internal and/or external reviewers. The Committee also will prepare and periodically revise a schedule of FUS reviews. A committee member will be assigned to work on each of the reviews. A copy of the schedule for upcoming reviews plus a record of the dates of recent reviews is included as Appendix H.

In addition to the regular reviews included in the enclosed schedule, unit reviews could be necessitated by unexpected or sudden changes in external funding, in leadership, in legal or regulatory requirements, in external needs or priorities, and/or in customer focus. Planned changes in any FUS unit which could affect other units might also precipitate a review or examination. Unscheduled reviews in most instances would be managed within the unit being reviewed, with assistance from the Committee.

In addition to the program review process described above, FUS has adopted a set of measures which will be tracked on a Division-wide basis as a means of continually assessing its performance. Many of these measures are linked to the University-wide targets for assessing “Achieving Distinction—2000.” Others are intended to determine the success of the Division in implementing the FUS 1st level plan which is part of “Achieving Distinction—2000.” In deciding what the Division ought to measure, a set of guidelines were agreed upon. These include:

1. Purpose of the measures:

- to inform stakeholders,
 - to make informed decisions,
 - to analyze progress in meeting goals,
 - to improve our services.
2. Kinds of things to measure:
 - quality of product or service,
 - work processes,
 - business results,
 - asset/resource utilization, and
 - relationships (staff/customer/supplier).
 3. Characteristics of the Measures:
 - focus on customers;
 - provide a basis for action;
 - are understandable/simple/believable;
 - are indicative of both efficiency and effectiveness;
 - are part of the organization's measurement system;
 - include both activities (processes) and results, and
 - align with the strategic plan, key result areas, and
 - institutional priorities.

A listing of the recently agreed upon items to be measured on a Division-wide basis has been submitted to the UI Strategic Planning Committee and has been discussed with them. It is included as Appendix I. Periodic updates will be made to the Strategic Planning Committee.

VII. Relations With Other Offices

Since its principal function is to provide service to the other units of the University and to the institution as a whole, Finance and University Services and its departments must work in close cooperation with other offices to be effective. A number of mechanisms have been developed to insure the necessary coordination. Several of those such as the work of the Facilities Renewal and Equipment Committee (FREC) and the meetings with the Collegiate Business Officers have been mentioned above. Besides the mechanisms described earlier in the Self-Study, a number of avenues for cooperation and coordination have been developed by the individual sub units of the Division.

A. Financial Services

In administering its responsibilities for service and stewardship, Financial Services interacts with essentially all parts of the campus and engages in a continuous effort to improve the relationships with and the quality of information provided to those served. Recent examples include:

Continued expansion of the use of the Web as a mechanism for providing easier and more timely access to information such as budget results and University appropriations.

Regular meetings with customer groups such as the collegiate and administrative budget officers to provide information and a forum for input on issues of mutual concern.

Assignment by of a “personal service accountant” to each major campus unit to assist units to identify the proper course of action to deal with a specific issue.

Participation by Financial Services personnel as presenters in several staff development courses to help keep departments informed of procedures, requirements, and opportunities.

Creation of a Financial Systems Leadership Group which includes representatives of major academic and health care units to advise and monitor implementation of major University-wide financial software systems.

B. Facilities Services Group

In addition to continuous consultation with other offices in Finance and University Services, FSG sub-units consult routinely with other University offices and units and with the Campus Planning Committee. This consultation includes an on-going dialogue with the Provost’s Office on matters of resource allocation to meet the academic needs of the University. Such interaction includes both master planning and specific project development to provide space and appropriate facilities to meet changing programmatic needs of the University. Examples include:

- remodeling of the 5th floor SW wing Chemistry Building for research laboratories partially funded by NSF involves relocating functions from four departments in a context that addresses long term benefits for each user
- developing strategies for improvements in the general assignment teaching facilities both for inclusion of technology for these rooms as well as funding plans tailored to meet these current teaching requirements and anticipated new demands
- assessment of short term facilities needs and proposed solutions within the context of long term plans
- defining and implementing projects to meet faculty start up commitments.

A similar continuous dialogue is maintained with the College of Liberal Arts Dean’s Office and Departmental DEOs regarding facility needs. Discussions

occur as required with the vice presidents of the University and in particular, with the VP Research.

All offices involved with and interested in the physical campus meet frequently to review the status and general coordination of capital projects and planning activities. These units include the UIHC, Parking, ITS, the Health Protection Office, the Business Office, and the Environmental Compliance Officer. Additionally, for each of over one hundred projects, departmental personnel are included in project development teams. Coordination occurs on a regular basis with both Student Disability Services and Faculty/Staff Disability Services. As noted previously, consultation occurs continuously with units involved in capital projects. Discussions also take place with units interested in obtaining support and priority for future capital projects. FSG units with ongoing responsibilities for delivering services work continuously with the units they serve. The Fire Safety Advisory Group, made up of representatives of the Health Protection Office and FSG, the VP for Finance, the Business Manager, the Director of Public Safety, and the Risk Manager, meets periodically to coordinate fire safety initiatives on campus.

Off campus consultations occur regularly with the State Board of Regents, the other Regent institutions, the Iowa Department of Natural Resources (environmental, regulatory, and utilities matters), the Iowa Department of Transportation (institutional roads) and the State Fire Marshal. In Johnson County representatives of Facilities Services work closely with the City of Iowa City and the Johnson County Council of Governments. FSG staff members presently serve on the Iowa City and Coralville Planning and Zoning Commissions. The organizational structure of FSG and the high level of consultation it engages in generally result in effective and efficient coordination with other offices and agencies.

C. Business Services

Business Service units have several ways in which they relate with other offices. There are charter committees which advise Parking and Transportation and Public Safety. Printing Service also has an advisory committee which includes commercial printers. The majority of the Business Service units conduct customer surveys at least once a year. When services are up for review, as with the University's travel agency contract, faculty served on the committee which reviewed the campus survey results and compiled the Request For Proposal.

Perhaps the most important communication tool with the campus is the Web. Through the University Operations Manual, Business Service policies and procedures can easily be accessed as well as many other helpful informational pages can be found through individual home pages. Business Services also communicates with other offices through a periodic publication called *Into Print*. Accounts Payable and Travel have a newsletter entitled *Dollars & Sense* and

Purchasing publishes a newsletter entitled *Bids & Pieces*. Purchasing has established a departmental contact group known as expeditors for the procurement function.

D. Human Resources

The Human Resource office works directly with the University Staff Council in the development and implementation of programs and processes which benefit staff and are of value to the University. Representatives of the Office also participate on and receive regular feedback, guidance, and input from standing and charter committees such as the Funded Retirement and Insurance Committee, the Family Issues Charter Committee, the Diversity Committee, and the Council on the Status of Women. Additionally, departmental representatives serve on a variety of quality teams, work/study groups, and work improvement teams to enhance the quality of Human Resource administration on campus. The Associate Vice President and Director of Human Resources has created a Human Resource Advisory Board made up exclusively of collegiate and departmental HR professionals with the purpose of obtaining input and improving coordination of campus human resource activities. Current membership of the Advisory Board includes representatives from UIHC, the College of Medicine, the Libraries, ITS, the College of Education, Hygienic Labs, and the Laundry. The position also interacts regularly with the leadership of the Faculty Council.

The Human Resource Office has developed and implemented a WEB site used to advertise vacancies, register for training and development classes, and provide benefit information. Additionally, a Human Resource Unit Representative listserv was initiated in 1997 as a means of disseminating information to a wide range of users in a timely fashion. The Office is currently conducting a major review of all print materials distributed by Human Resource units to assess clarity, tone, and understandability of this material.

VIII. Strategies for Improvement

As should be clear from earlier discussions in this Self-Study, the chief strategy FUS has adopted to improve its delivery of services is through continuation of its Quality Initiative. This initiative commits the Division to constantly analyze its organizational structure and to measure the efficiency with which it delivers services. It also commits FUS to addressing identified deficiencies by establishing quality improvement teams which will analyze the current approach and propose needed modifications. Such teams include both FUS staff and representatives of those affected by the procedure under review.

When necessary to provide better service, major organizational changes have resulted. For example, the review and subsequent reorganization of several of the Business Services units within FUS has benefitted the University and the faculty. A projected outcome is a more efficient functioning by providing

close physical proximity and a more central coordination of internal administrative and technological support for these units. As a result, the consolidated business services building was purchased and is currently occupied by Printing and Mailing Services. General Stores will relocate to this facility during this fiscal year. Our goal is to provide consolidated pick ups and deliveries around the campus to reduce the vehicular traffic on our campus.

FUS is also intent on marrying its Quality Initiative to the introduction of new technology to improve the services it provides. An example of the way this approach operates can be found in the effort currently underway to implement a new Human Resource Information System. In 1996, the University's Human Resource Information System (or lack thereof) was identified as a major handicap in providing service to the University. A Steering Committee was appointed to define the problem more precisely and to recommend a method for addressing the campus needs. This Steering Committee included representatives from Human Resources, Benefits, Payroll, the Office of the Provost, the Colleges of Liberal Arts and Medicine, Affirmative Action, ITS, the Business Office and UIHC. In the course of their work, the members of the Steering Committee consulted personally with each dean and vice president, distributed questionnaires to every campus unit and held open meetings to solicit advice from the campus. The result of all of this study and consultation was the development of requirements for software which would give the University a state-of-the-art Human Resource Information System. Such software was purchased from PeopleSoft this summer. A substantial share of the cost for this system is being absorbed by FUS through reallocation.

In implementing the PeopleSoft system, the same process of broad consultation and involvement of representatives from other University units will be continued. The expectation is that when the system is completely installed, individual departments will have ready access to Human Resources information in a format which supports the unit's mission. It is also hoped that the implementation of the new system will greatly reduce the amount of paperwork which is needed to document personnel transactions. It should also permit individual faculty and staff to enter information about such things as benefit choices and dependent data directly into the system.

The development of a new HRIS is perhaps the most far reaching example available of a need for improvement which has been identified and is being addressed, but it is only one of several initiatives which use the purchase of sophisticated software systems to improve service to University departments. As was mentioned earlier, a new Accounts Payable/Purchase Order system has been purchased and installed. It has recently gone on-line and the campus response to the effort has been favorable. In the near future, a new Asset Management system which will be of great value to University health care and research activities will also go on-line. Purchase and installation of a General Ledger system was the first FUS effort of this kind and the implementation of the

new system met with a mixed response from the campus. FUS has been successful in working with the system and user groups to make it more useful to the University units. The General Ledger system is a continued target for improvement.

In addition to the introduction of new technology for the purpose of improving service to the campus, there are a number of other examples which demonstrate the path to improvement FUS is following. The Purchasing, Accounts Payable, and Travel Group provide other examples of the use of quality teams and process reviews as part of the FUS approach to improving its services. Several innovative processes have been introduced in the last three years to assist faculty, staff and academic units in the procurement and payment process. In 1994, Purchasing introduced a University procurement card which ultimately resulted in the elimination of the local small order form. The individual transaction limit for the procurement card has been raised to \$2,000 which has allowed purchasing agents to focus on large dollar transactions where they can add the greatest value. Accounts payable has implemented several methods of payment approval which have decreased paper handling and provided increased efficiency in making payments to vendors. These changes assist faculty both by eliminating unnecessary paperwork and by insuring good vendor relations since payments are now being made in a more timely and efficient manner.

Besides looking to measurement, reorganization and improved technology, FUS hopes to improve the services it provides by devoting more resources to training FUS staff. An increased attention to staff development is one of the University's strategic goals, a goal to which FUS is strongly committed.

A fourth element of importance to FUS in delivering improved service is identification and development of adequate facilities to house its functions. A major step in that direction was taken with the purchase of the Consolidated Business Services Building, which now houses Printing, Mailing Service, and Publication Orders. The expansion of Human Resources space at Eastlawn is another step which should result in improved service to customers. The most pressing space need which remains is for a facility which will permit consolidation of the Facilities Services Group and provide adequate space for FSG as well as some Business Service administrative units. Planning for such a facility should get underway in the immediate future.

IX. **Conclusion and Future Directions**

A number of issues have already been identified on which the Vice President and FUS Senior Staff intend to focus over the next few years. One area of focus was discussed in the Introduction to the Self-Study. That was the need to anticipate and prepare for turnover in FUS leadership which is occurring and which it is anticipated to continue in the next several years. As was noted

earlier, many of those in leadership positions in FUS have been in them for a substantial period of time and some have already taken Early or Phased Retirement. No greater challenge faces the Division than in developing and recruiting a new generation of leaders for FUS. Part of that challenge will be to maintain and increase the diversity of the FUS Senior Staff group. Vice President True is fully committed to that goal.

Another direction in which FUS wishes to go is the provision of financial and business consulting service to other University units. The transfer of a long-time collegiate business officer to work jointly with FUS and the Office of the Provost will add to the efforts described earlier in this Self-Study. The addition of sophisticated financial software systems is also intended to add value to the services FUS provides departments and colleges. Both of these approaches confirm the need for FUS to work even more closely with ITS.

Finally, as it is hoped the Self-Study has made clear to the review committee, over the last three years the leadership of Finance and University Services has engaged in a process of intense and on-going review of the Division's internal organization and operations. Indeed, one could say that FUS has undertaken a three-year Self-Study, with this report being an accounting of the current status of the Division's efforts. FUS expects such unit analysis and review to continue and, in fact, to become part of the Division's normal mode of operation.

The FUS 1st level Strategic Plan submitted to the Strategic Planning Committee also emphasized the role the FUS Quality Initiative was playing and would play in the operation of the Division. The Committee reacted to that emphasis by judging it to mean that FUS was overly focused in its own affairs and was ignoring its obligation to be responsive to faculty and to the mission of the University as a whole. The intention of the FUS leadership was, rather, the reverse of that perception. The reason for the intense focus on the internal was to improve service to the University and its faculty, staff, and students. It is hoped this report adequately conveys that conviction.

The appendices are not available on-line. They may be viewed in the office of University Relations, 101 Jessup Hall.