

# Fiscal Affairs & Information Technology 2001-02 Goals Update

*A look at the measures for success and a summary of the accomplishments against those measures.*

## I. Information Technology Enterprise-Wide

- Strategic Indicator #1: Have ten or more “target of opportunity” research and graduate education programs ranked in the top 20 or the top quartile of public research universities;
- # 26: Increase student satisfaction in targeted areas, as determined by periodic assessments;
- # 31: Develop and implement a proactive marketing and communications plan that clearly presents to the proper audiences locally, nationally, and internationally, the progress the University is making toward achieving top 20 public research institution status;
- #36: Implement a plan to acquire, install, operate, and support state-of-the-art administrative and management information system;
- # 37: Enhance the professional development opportunities offered by the University for staff employees and increase staff participation in the programs.

**GOAL: Enhance the quality and awareness of Information Systems support services.**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Begin implementation of Enterprise Computing (ERP) project in 2001-2002 fiscal year. Use a rapid implementation strategy with minimal software customizations. Adopt new business processes and promote increased use of electronic commerce technologies.	Developed scope of work and an RFP for “Development of UK ERP Project Charter.” RFP released 4/22. Eleven proposals received from vendors on 5/17. Henry Clay Owen chairs consultant selection committee. Members include: Henry Clay Owen, Penny Cox, Zed Day, T. Lynn Williamson and Don Witt. The committee convened on 6/13 to determine top 3 for short-list. The short-list made an on-site presentation on June 28. Expect contract award in July 2002. No firm date on when the Project Charter work will be completed.
Revamp charge-back systems; develop a new funding model for Information Technology by June 30, 2002.	<ol style="list-style-type: none"> <li>1. Presented analysis for ‘data’ charges and committee recommendations to Gene March 6; to Dr. Blanton on March 14; to President’s staff on March 20; and to Provost/Dean’s on March 26. Implementation date effective July 1, 2002.</li> <li>2. Rate changes are as follows:               <ol style="list-style-type: none"> <li>A. Telephone: from \$31/month to \$23/month</li> <li>B. LD: from \$0.18/minute to \$0.07 minute</li> <li>C. DATA: NEW Network Access charge at \$14/month per FTE; \$5/month per FTE for Service/Maintenance &amp; Skilled Craft; and \$0.70 month for students.</li> </ol> </li> <li>3. Developed ‘roll-out’ communication plan/strategy for campus end-user departments.</li> <li>4. Compiled cost information at the “DEPARTMENTAL” level. Presented detail to campus business officers during April and May.</li> </ol>
Develop and submit a plan for outsourcing all printing press work that is currently managed by the University Printing Services. Approved plan fully implemented by January 31, 2002.	Printing Services was outsourced effective January 31, 2002. University printing service needs are now provided through multiple University-authorized commercial full-service vendors, stationery, and newsprint vendors.
Replace the printers used to produce the output from mainframe computing reports. The printers are over 15 years old. The replacement system will include <b>viewing</b> and printing options that will allow the University community to access reports via the Web, view output, print to departmental printers or to central network printers for a per-page fee.	<p>The strategy to reach this goal changed last fall. Instead of shifting the day-to-day system printing to Duplicating Services, the IBM 3800 was replaced with a refurbished IBM 3900 on December 26, 2001.</p> <p>Users continue to be encouraged to use online viewing and local printing options. Printing processes like payroll checks, vendor checks, and W2 forms have been moved to Lexmark Optra printers.</p>
Conduct feasibility study for phased-approach plan to obtain funding for a 3-year replacement cycle for desktop computers and central servers.	Annual funding to implement a ‘3-year technology refresh’ program would require approximately \$4M recurring per year for three years. This \$4M annual recurring amount would provide 11,000 faculty and staff desktops (at an estimated cost of \$1,100 per machine). One third of the equipment per year would be replaced over a 3-year period to provide life cycle funding of \$12M. Due to the institutional budget cuts resulting from the “State budget shortfall,” a centrally funded technology refresh program we cannot be implement at this time.
	<u>Desktops for faculty and staff are currently a departmental funding</u>

	<p>responsibility. Decisions on allocation of funding for hardware and discipline specific software are typically procured from approved campus standards.</p> <p>Gartner recommendations on <u>Servers</u> have changed from replacement in 3-years to replacement in 4-years. For the short term, the state budget shortfall precluded centralized funding for server replacements. Therefore, departments will remain responsible for server funding.</p> <p><u>Software</u>: In September 2001, the UK President approved the purchase of a "Microsoft Campus Agreement" for Microsoft operating systems and desktop software (approximately \$431,000). President Todd provided central funding for faculty and staff paid from General Fund accounts. Self-supporting units (e.g. Hospital, Service Centers, etc) paid \$41.54 for each FTE (full-time equivalent) employee. The campus agreement provides that every regular full-time and part-time faculty and staff member can now download the latest versions, including upgrades, of the licensed software. Student Labs are also covered in the campus agreement. See <a href="http://www.uky.edu/UKSoftware">http://www.uky.edu/UKSoftware</a> for details.</p>
<p>Lead development of a 5-year plan for upgrading and providing 'smart-classroom' technology for the general classrooms on campus. Co-develop white-paper with collaboration with the Provost and academic deans. Present white paper by December 30, 2001.</p>	<p>The Academic IT Committee was convened and met throughout the Fall Semester. The committee charge was to: "Assess of the state of instructional information technology support and to provide recommendations for modifying and strengthening academic support in preparation for budget planning for the 2002-04 biennium and beyond." The final report resulted in 9-recommendations that were depicted in priority order. The report was delivered on January 8 2002 to Gene, Dr. Nietzel, and Dr. Holsinger in time for inclusion in the budget decision package. Representatives of FAIT, Provost's office, DLTC, Medical Center, TLC, and IT support services developed the 9-recommendations.</p>
<p>Work with Morgan County to develop and implement their plan for a regional technology-based library and information resources for the community.</p>	<p>The Vice President for Fiscal Affairs and Information Technology and various members of his staff met with State and Local Government officials and State and Local Library representatives to develop the program for the joint-use Morgan County Library and Regional Technology Center. Architectural plans were developed and bid and construction on the facility began in late Spring 2002.</p>
<p>Expand Information Systems' training facilities in McVey Hall. Renovate rooms 106 and 107 by September 2001 in anticipation of ERP.</p>	<p>The training facilities grew by two new rooms in September 2001 with the completion of renovation of rooms' 106 and 107 McVey Hall. The two new rooms each have 15 state-of-the-art workstations and a presenter's workstation, a projection system and screen. Since the September 2001 opening of these classrooms they have held a diversity of classes...in the current fiscal year, these classes have included the following:</p> <ul style="list-style-type: none"> <li>- 35 days of MCSE classes</li> <li>- 5 days Novell CNA classes</li> <li>- 3 Brio classes</li> <li>- 5 days of SQL classes</li> <li>- over 18 intermediate MS Office classes</li> <li>- over 80 desktop software classes</li> <li>- Training for the Administration Building Records Recovery Project</li> <li>- 2 Remedy Classes</li> <li>- and is the new MOUS testing center</li> </ul>
<p>Develop an "advanced" computer competency certification to complement the current beginner-level program.</p>	<p>The Advanced Computer Competency Certificate was completed and announced in September 2001 and is the follow-on to the original Computer Competency Certificate announced November 2000. The Advanced Computer Competency Certificate is the second to be issued by UK IT and is meant to give faculty and staff a more detailed and broader knowledge of software applications. Since its announcement, five people have completed the requirements for the Advanced Computer Competency Certificate. The Advanced Computer Competency Certificate consists of the following 10 classes:</p> <ul style="list-style-type: none"> <li>- Intermediate Windows (95, 98, 2000) - 2 1/2 hours - fee based</li> <li>- Intermediate Word - 2 1/2 hours - fee based</li> <li>- Intermediate Excel - 2 1/2 hours - fee based</li> <li>- Intermediate PowerPoint - 2 1/2 hours - fee based</li> <li>- Intermediate Email (Outlook, Eudora, or U-Connect) 2 1/2 hours - no-charge</li> </ul>

	<ul style="list-style-type: none"> <li>- Excel Charts &amp; Graphs - 2 1/2 hours - no-charge</li> <li>- Word Mail Merge - 2 1/2 hours - no-charge</li> <li>- Basic HTML - 2 1/2 hours - no-charge</li> <li>- Manipulating Clip-Art - 2 1/2 hours - no-charge</li> <li>- Effectively Searching the Web - 2 1/2 hours - no-charge</li> </ul>
Begin implementation of statewide Course Applicability System (CAS) hardware and software for the Council on Postsecondary Education using shared CPE and institutional funding model. Host and develop a course applicability system (CAS) and degree audit (DARS) system to state-wide consortium to support student services.	<p>Hardware and software were purchased and installed. Developed a task force to facilitate communication. Established a project plan. Began load of UK and LCC student demographics from SIS.</p> <p>Initial loading of student information for Eastern Kentucky University and Murray State University.</p> <p>Staff attended numerous technical training courses with Miami of Ohio, including the annual User Group Meeting.</p>

## II. Data Administration

Strategic Indicator #36: Implement a plan to acquire, install, operate, and support state-of-the-art administrative and management information system.

**GOAL: Enhance the levels and management of administrative computing resources supporting the University community (including hardware, software, data and technical support services.)**

MEASURES OF SUCCESS	SUCCESS SUMMARY
<p>Develop a robust institutional data reporting and analysis environment through the use of new technologies. In particular, operational, management and strategic needs will be addressed as we:</p> <ol style="list-style-type: none"> <li>a. Upgrade the Data Warehouse platform to support hundreds of users;</li> <li>b. Simplify data structures for ease of reporting;</li> <li>c. Select and train users on desktop reporting tools; and</li> <li>d. Establish the means to merge, manipulate and report on data from multiple sources in the new environment.</li> </ol>	<p><b>Purchase of hardware and software.</b> Purchased Oracle Enterprise Edition software, SAS Data Mining and SAS reporting tools for the Data Warehouse Environment, and a server and training for SAS Data Miner for the Institutional Research staff.</p> <p><b>Develop Data Warehouse projects.</b> Creation of database and process to automate the production of the institutional financial statements based on GASB reporting standards. This includes the means to merge both internal (IDMS) and external data in Oracle for the statements.</p> <p><b>Initiated desktop reporting tool evaluation.</b> This included the following desktop reporting tools: Brio, Crystal Reports, Infomaker, SAS and WebFOCUS.</p> <p><b>Develop new institutional reports.</b> Numerous reports were created to provide institutional statistics on classroom utilization in terms of hours of use, and percent utilization based on enrollment, course limits and/or room capacity. This required joining data from SIS and the Facilities File.</p>
<p>Complete the inventory of all enterprise data at the University. Benefits include: (a) <b>A single source of truth</b>; (b) enhanced analytical capabilities for ad-hoc queries, and forecasting; and (c) sharing data across the organization improves quality of data.</p>	<p><b>Created a procedure to extract, modify and update element definitions in the institutional database.</b> As part of this process, we also had the Data Custodians identify all the "elements in use" in the database.</p> <p><b>Verified the elements extracted to Sybase, FOCUS and Oracle.</b> This information is required to ensure we are collecting all of the required elements in Oracle, so we can eliminate the need for the Sybase extract.</p>
<p>Assist at least two University units (<a href="#">Purchasing</a> and <a href="#">Registrar</a>) to identify and resolve data quality problems, (accuracy, completeness, consistency, timeliness, uniqueness, and validity) in existing university systems.</p>	<p><b>Analysis and correction of problems with the vendor data for Purchasing.</b> We have established the ability to aggregate vendor data by the vendor's Federal Identification Number, and eliminated many duplicate vendor records. This will enable the institution to more accurately report on our activity with a given vendor.</p> <p><b>Analysis and correction of problems with course and classroom data for Registrar, Plant Assets and Institutional Research.</b> Developed numerous reports to identify inconsistent room numbers and room capacity between SIS and the Facilities File, as well as problems with missing course meeting pattern data in SIS, and potential problems with room use codes in the Facilities File. All of these affect our classroom utilization reports to the CPE.</p> <p><b>Analysis and correction of student address problems in SIS for the Registrar.</b> Software was purchased, documentation developed and training conducted for correction of this data based on USPS standards.</p>
<p>Plan, fund, and install network and application system management tools for centrally supported computing hardware and software.</p>	<p>Software was purchased and installed to monitor the performance and capacity of the Oracle database on the data warehouse system (RS6000). The software has been instrumental in tuning performance as the use of the system increases.</p>

### III. Instructional Computing and Student Computing Services

Strategic Indicator # 26: Increase student satisfaction in targeted areas, as determined by periodic assessments.

**GOAL: Enhance the level of instructional technology services to the University community (including hardware, software, communications and support services.) Our focus is based upon three mutually interrelated components: 1) access to and support for student computing; 2) access to appropriate resources and support for faculty to develop and use instructional computing; and 3) technology equipped "smart" instructional spaces.**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Design and operate 150 seat student-computing labs in the new Mechanical Engineering Building in concert with the College of Engineering. Operational by February 2002 (based on building schedule).	The new Mechanical Engineering Building is due to open in August 2002. As part of its program, there will be a new 35- seat student computing PC lab as well as a 35-seat student Unix lab. Additionally, the Engineering Workstation Lab (EWL) located in Robotics will be moved. The new EWL lab will have 46 student seats.
Upgrade the Engineering (EWL) and Computational Science (CS) student computing labs with new hardware, and replace the Student Academic Computing (SAC) server by August 2001.	<p>CSLAB - Replaced old SUN Ultra 10 server with a new quad-processor SUN E450 server. Upgraded 27 student seats from older SUN Sparc 4s and SUN Ultra 5s to a modern SunBlade 100s.</p> <p>EWL - Replaced two old HP J282 servers with a new quad-processor SUN E450 server. Replaced the seventeen Xterminals with 17 modern SunBlade 100s. The new machines have 21 inch flat CRTs and a graphics card that is capable of drawing 6 million triangles per second.</p> <p>SAC - Transitioned 14,036 user accounts from old HP9000 server to SWEB.</p>
Provide Systems support the course management system, Blackboard.	The IT Customer Service Center (CSC) increased user support to students in connecting to their Blackboard (Bb) accounts. In Fall 2002 FAIT will provide 100% of the systems support and Distance Learning will provide 100% of the academic support, the transition will become effective when version 5.6 is installed.

### IV. Research Support Services

Strategic Indicator #1: Have ten or more "target of opportunity" research and graduate education programs ranked in the top 20 or the top quartile of public research universities;

#3: Improve UK's position among U.S. public research universities from 46<sup>th</sup> to 40<sup>th</sup>.

#4: Increase research and development support to \$145 million per year.

**GOAL: Enhance the level of technology services to support the research priorities of the University (including hardware, software, communications and support services.)**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Develop agreements with at least two Lexington United start-up companies to support joint faculty and staff partnerships using networking technology.	Developed agreements with MCSI and ALLTEL to provide student scholarships.
Enhance research high performance supercomputing resources by 300% by Fall 2001. Install HP Superdome in October. Participate in national TeraFlop activities with NCSA PACI program.	<p>The HP Superdome was installed and increased the performance by a factor of 4. Sixty-one researchers from the NCS PACI program have used the Superdome.</p> <p>The semi-annual list of Top 500 Supercomputer Sites was published in June 2002. The UK machine is ranked #109 in the world at 431.7 Gigaflops on the Linpack benchmark.</p> <p>There are 27 supercomputers classified as USA Academic (see attached list extracted from the top 500 table). These are located at 20 centers: The June 2002 rating of supercomputers shows UK Superdome at 8<sup>th</sup> in the Academic Centers.</p>

## V. Communications and Network Systems

- Strategic Indicator #25: Complete installation of the campus network to on-campus faculty offices, laboratories, and classrooms, and to student residence halls;
- #26: Increase student satisfaction in targeted areas, as determined by periodic assessments;
- #29: Facilitate at least five new start-up ventures in the Commonwealth based on the intellectual property of university personnel.

**GOAL: Enhance the levels of communication services provided to the University community (including voice, data, and video distribution, and technical support.)**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Install 300 to 750 Voice over IP (VoIP) telephones throughout selected areas of the campus.	There are currently 267 active VoIP telephones throughout selected areas of the campus with 240 additional telephones scheduled for installation this year in the new Health Sciences, Mechanical Engineering, and Ag/Plant Sciences buildings.
Evaluate and recommend future directions for telephone services, including 5ESS replacement and comprehensive levels of remote wireless access technology. Request for proposals (or award contracts) for new telecommunications services that support the University's converged telecommunications needs throughout the next decade.	The Request for Proposal (RFP) to replace the current leased 5-ESS switch was written. However, the sale of Verizon Kentucky to Alltel resulted in Alltel becoming the Local Exchange Carrier (LEC) effective August 1, 2002. A 12-month extension was granted to Alltel on the current contract to ensure the RFP receives maximum competition. The 5ESS contract was extended through 12/2004. IT is managing Verizon/Alltel transition issues with new Alltel team.  A 'sealed bid' for student long-distance (SLD) services resulted in three bids being received. A SLD contract was awarded for implementation before Fall term begins in August. Wildcat Calling will close in September.
Increase bandwidth for Internet connectivity by 30% per year. Monitor growth on the use of video and audio streams in 2002 to support distance learning and other academic programs.	A tool was installed (Flowscan) to monitor the usage patterns of the Internet bandwidth. The bandwidth was increased over 100% to 65 mb.
Expand and upgrade the campus network to accommodate gigabit Ethernet.	Expansion has continued with installation of additional fiber paths, core routers, more gigabit interfaces in existing switches and routers, and redundant paths.
Implement Phase III of the UKIS and Medical Center security plan, in concert with the Medical Center.	Phase III is complete. The security plan has progressed with the implementation of a Virtual Private Network (VPN) concentrator in the Medical Center to allow encryption and control access to servers from the Internet. Additionally, employed Deloitte & Touche to perform both an internal and external audit of security procedures. The recommendations from the Deloitte & Touche security audit will be addressed in 2002-03.
Provide design plan to add campus fiber infrastructure to reach the new Bio Medical Research (BBSRB) building.	Provided routing information to the Consultant for the installation of fiber infrastructure to the new BBSRB building.
Install wireless network access throughout campus in strategic common areas and selected classroom buildings.	Phase I of the wireless has been completed. Phase II is underway.
Expand wireless network to University offices that are in off campus locations.	Three vendors have provided cost information to utilize their fiber network to gain access to the remote University buildings. Vendor evaluations are in process.

## VI. Central Office of Planning and Budget

- Strategic Indicator #5: Seek state support for the sustained financial commitment necessary to achieve the goals established for the University in HB1.
- Strategic Indicator # 10: Maintain faculty salaries and benefits at a level competitive with comparable institutions.
- Strategic Indicator #11: Maintain staff salaries and benefits at a level competitive with comparable institutions, or the local market as appropriate.
- Strategic Indicator #22: Seek funding to add and/or substantially renovate 400,000 square feet of research-related space.
- Strategic Indicator #23: Seek funding to substantially modernize 100,000 square feet of instruction-related space.
- Strategic Indicator #36: Implement a plan to acquire, install, operate, and support state-of-the-art administrative and management information systems.
- Strategic Indicator #37: Enhance the professional development opportunities offered by the University of staff employees and increase staff participation in those programs.

**GOAL: Enhance the quality of support services provided to the University Community in the areas of budget review and policy review and implementation.**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Create organization structure and establish positions in central office to facilitate policy and budget review. (Propose change in office title to "Office of Planning, Budget, and Policy Analysis" to reflect the	Formalized name change of former Office of Planning and Budget to Office of Planning, Budget, and Policy Analysis. This serves to better communicate and emphasize the policy and

importance of this area of responsibility.)	budget review functions added to the Office.  Established and filled a professional level position to provide support to the budget and policy areas within the Office of Planning, Budget, and Policy Analysis.
Create coordinated process for two-way communication between University Administration and business officers of budget issues, as well as operational policy issues, implementation, and changes.	The following items were accomplished: First, all business officers and staff have been encouraged to submit to this office any proposed changes or issues related to policies and procedures as they feel might be appropriate. A variety of individual contacts, as well as presentations to groups such as the area business officers' meetings and the Administrative Process Improvements Teams were made.  Second, whenever a new policy or policy change has been proposed, the policy "owner", business officers and other impacted staff have been asked for their comments prior to any changes officially taking place. This continues to be an on-going process and will also be applied to any suggestions/ recommendations submitted by the Administrative Process Improvements Teams. (See Measure #5)
Create collaborative network for communication of programmatic issues between program units and University Administration.	This has been done only to the extent mentioned in #2 above through creation of a liaison function between the program units and University Administration.
Increase central knowledge base of University programs.	Specific areas of focus where increased central knowledge did occur included the Robinson Trust Fund, Development, Robotics and Manufacturing Systems, and Athletics.  The need for a central knowledge base for other programs and the need for centralized program and budgetary analysis is an on-going issue.
Facilitate development of recommendations for streamlining business and administrative processes throughout the University.	The essentials of the review process (See measure #2 above) are in place, and our office is waiting now for the full report and recommendations of the Administrative Process Improvements Team. All recommendations will be given full consideration. Owners and users of the policies or procedures will be given a chance to respond to any proposed changes before they are implemented.

**GOAL: Improve the University capital budgeting and planning process so that it is more coordinated, timely, and efficient.**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Create coordinated and collaborative process for communication of capital needs to involve all concerned parties.	In January a team was assembled to address the capital planning process.  A final report of the team with recommendations for changes to the process will be presented to the University administration in July 2002.
Ensure during next capital budget cycle that infrastructure needs are adequately identified for high priority projects.	The new capital planning process will ensure that an appropriate analysis of infrastructure needs is undertaken and that those needs are communicated to University administration for inclusion in the capital plan.  One of the recommendations from the capital planning team is that further policy analysis takes place to address how these projects should be funded as new facilities continue to be constructed on campus.

## VII. Internal Audit

- Strategic Indicator #11: Maintain Staff salaries and benefits at a level competitive with comparable institutions, or the local market as appropriate.
- Strategic Indicator #36: Implement a plan to acquire, install, operate, and support state-of-the-art administrative and management information systems.
- Strategic Indicator #37: Enhance the professional development opportunities offered by the University of staff employees and increase staff participation in those programs.

**GOAL: Assist departments in providing an independent, objective disciplined approach to evaluate and improve the internal control and compliance process of financial transactions.**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Increase audit coverage in areas where <b>level of risks</b> have increased dramatically in association with the dramatic increase in volume of electronic transactions. (ProCard, payroll entry, etc.). Perform random sampling of departments and vendors for review; increase samples by 25% over prior year.	Samples were increased 164% over previous year. Vendor analysis has increased; more department inquiries resulted. Internal Audit was represented on a ProCard Task Force to increase monitoring and review of transactions.

Monitor the University's mainframe Disaster Recovery Program to ensure it is meeting the current needs of the University. Assist with and monitor development and testing of Disaster Recovery Plans for mission critical servers. Assess electronic security issues, including intrusion detection, physical security, hacker threats, and software piracy issues.	Participated in annual Disaster Recovery Program. Request for Proposal for DRP was written by UKIT and UKMC to obtain pricing for mission critical servers. Bids to be released in July for award in Fall 2002. Auditors attended IT Auditing training for assessment of security issues.
Train staff in ACL, Paymentnet (Pro-card software for enhanced data analysis. Utilize software for proactive policy compliance.	All auditors attended ACL training sponsored by the Institute of Internal Auditors, and BRIO Training for enhanced queries of financial data.
Implement a career-track for auditors by providing different levels of auditors for advancement.	A Job Family of Audit positions was implemented, creating three levels of auditors, all auditors were re-evaluated and upgrades were obtained.
Audit self-funded insurance plans, including UK HMO and UK Dental Insurance Plans.	Audits of UKHMO and UK Dental Insurance plans are in progress.

## VIII. Human Resources

Strategic Indicator	#10	Maintain faculty salaries and benefits at a level competitive with comparable institutions.
	#11	Maintain staff salaries and benefits at a level competitive with comparable institutions, or the local market as appropriate.
	#37	Enhance the professional development opportunities offered by the staff employees and increase staff participation in those programs.

**GOAL: Upgrade technology to begin to improve data availability while maintaining compliance with records availability.**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Begin implementation of on-line Human Resources system.	Issued RFP for consulting services (4/22-5/17/02). Evaluation committee established. T. Lynn Williamson serving as the HR representative on the committee. Narrowed to 3 vendors to make presentations on campus.
Identify and implement an imaging system for employee records and other related Human Resource documents.* Over 5 million paper documents.	No action. Pending ERP

**GOAL: Enhance the administration and offering of benefits programs and products for faculty and staff.**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Identify and develop implementation strategy for an on-line open enrollment process for Benefits.	<p>Identified 5 possible options for the implementation of online open enrollment. Met with third party vendors who can provide the technology required for online open enrollment for UK employees and retirees.</p> <p>The 5 possible options are as follows:</p> <p><b>Utilize the systems of a TPA</b> currently providing administrative services to the University such as Humana or a voluntary benefits administrator to provide an online open enrollment.  <b>Advantages:</b> Price, relationship already established with TPA.  <b>Disadvantages:</b> Possibility of lack of experience offering/administering online enrollment.            Use third party to provide web portal designed specifically for UK benefits enrollment and provide a data dump to BMS. Can be used during open enrollment or year round. <b>Advantages:</b> Can use once or multiple years, system developed and tested.  <b>Disadvantage:</b> Cost.</p> <p><b>Use an applications service provider (ASP)</b> system for the overall management of the benefits administration. Web based systems are maintained by the ASP. All enrollment and administration is handled via the web portal. The system is customized by the ASP to manage UK benefits and to communicate with HRS and would be similar to the current BMS.  <b>Advantages:</b> Enroll directly into management system, ASP service and maintenance. <b>Disadvantages:</b> Expense, BMS no longer used, data housed off campus, staff must learn new system that could disappear with implementation of ERP.</p> <p><b>Develop web portal internally</b> to communicate with BMS.  <b>Advantages:</b> Would be owned and controlled by UK, would not be reliant on vendor software or upgrades. <b>Disadvantages:</b> Strain on I.T. staff, "re-creation of the wheel", addressing log-in and security issues, system could be eliminated with implementation of ERP.</p> <p><b>Purchase module</b> that will communicate with ERP after ERP implementation. <b>Advantages:</b> Little development required, one time expense for module. <b>Disadvantage:</b> Must wait for ERP implementation.</p>

	<p><b>Recommendation:</b> Place development of an implementation strategy on hold pending further developments in the acquisition of a University wide ERP system.</p>
<p>Identify additional voluntary benefits to be offered. RFF to be drafted and issued in coordination with the Employee Benefits committee.</p>	<p>The Voluntary Benefits RFP final draft is scheduled for completion and submission to the Purchasing department by 06/17/02. The RFP selection committee will consist of at least one member of the Employee Benefits Committee.</p> <p>Tentative enrollment period for new voluntary benefits is October of 2002. Conducting the enrollment in October will:</p> <ul style="list-style-type: none"> <li>• ensure faculty are on campus,</li> <li>• enable the Employee Benefits Committee to voice opinion regarding new the voluntary benefits offerings, and</li> <li>• provide ample time to ensure benefits will be effective January 1, 2003.</li> </ul>
<p>Coordinate efforts of Benefits, Wellness and TPA's to identify cost containment opportunities for health care offerings in conjunction with the Health taskforce. (a) Expand Wellness activities into injury prevention planning and disease/utilization planning (with UKHMO).</p>	<p><b>Health Benefits Task Force</b> HR actively participated as a consultant and information provider to the task force.</p> <ul style="list-style-type: none"> <li>• In addition, one HR employee served as a member of the task force.</li> </ul> <p>As a result of this participation, HR has initiated new programs such as a Health Literacy Project, the pharmacy co-pay clinic, and Be HIP. These programs are designed to produce out of pocket savings to the individuals and overall savings to the plan.</p> <p><b>Broader Choice and Coverage</b> HR worked to identify and consider plan offerings that would both create broader choice and coverage for faculty and staff. For example, a review of options to provide coverage for low-income employees resulted in the PPO Low option and a review of laboratory services and application to the deductible resulted in a change of coverage.</p> <p><b>Outcome Based Behavioral Interventions</b> In collaboration with the College of Pharmacy, physician units within the Medical Center and UKHMO, HR has continued to develop and deliver outcome based behavioral interventions (e.g. Be HIP). Additionally, disease and high cost medical management programs are in place with Humana.</p> <p><b>Injury Prevention Program for Custodial Services</b> Partnered with Environmental Health and Safety and Physical Plant Division Safety to develop an injury prevention program for Custodial Services. Included extensive ergonomic job analysis, development and production of an injury prevention training video, and development/introduction of a Stretch and Flex program. The preliminary roll-out of the program occurred in the 2<sup>nd</sup> and 3<sup>rd</sup> quarter of the fiscal year; however, Physical Plant was not supportive of widespread use of the program.</p> <p><b>Broadened Be HIP Program</b> In conjunction with multiple physician units, UKHMO administration, and UKHMO Utilization review, the Be HIP program was broadened to include more clinical disease areas (e.g., smoking cessation, sedentary lifestyle, diabetes).</p> <p><b>Injury Prevention Specialist Proposal</b> Injury Prevention Specialist proposal was submitted to Human Resource Services Administration, Vice-President of FAIT and Senior Vice President/Chancellor of Medical Center. No action taken.</p>
<p>Execute Benefits Open Enrollment Survey and evaluate results.</p>	<p>Attained a 20% return rate of surveys (i.e., collected 604 of 3,000 distributed). An incentives plan for encouraging return of the surveys included items donated by various benefits vendors that were given to participants whose names were chosen in a drawing.</p> <p><b>Survey Results</b> Reported an 11% positive increase in respondents who felt well informed of the changes. (See item A below.)</p>

	<p>Printed results in <u>UK News</u>.          In 2000-2001, 72% of the respondents either "strongly agreed" or "agreed" that they felt well informed of the changes as compared to 61% in 1999-2000.          Positive response increased by 11%, exceeding the original goal of a 10% increase.          Used survey results in development of 2002-2003 Open Enrollment communications.</p>
<p>Collaborate with and address recommendations of Health Insurance taskforce.</p>	<p>Worked with multiple units and individuals within the Medical Center, UKHMO and Humana to begin implementation of the Task Force Recommendations.          Plan changes were made and funding was increased, resulting in an increase in employee satisfaction.</p> <p><b>Health Literacy Project</b>          Began implementation of the Health Literacy Project including development of budget requirements, technological and human resource requirements. Sought and attained approval for full implementation of this initiative.          Refer to Goal II: Measure of Success #3 for update for additional information regarding the Health Literacy Project.          Information Sharing          HR established the following committees:          UK Health Plan Quality &amp; Access Committee          UK Health Plan Retiree Advisory Committee          These committees are designed to:</p> <ul style="list-style-type: none"> <li>• facilitate the sharing of information, and</li> <li>• provide a forum for participants to address issues regarding the health plan.</li> </ul> <p><b>Flexible Spending Account Administrator</b>          The benefits staff issued an RFP and selected Chard-Snyder &amp; Associates as the new flexible spending account administrator for 2002-03.</p>

**GOAL: Enhance the delivery of employment of qualified staff candidates to University departments.**

MEASURES OF SUCCESS	SUCCESS SUMMARY
<p>Identify and develop implementation strategy for a new or updated (Resumix) applicant tracking system.</p>	<p><b>Equipment Purchase</b>          Replaced old scanner and printer as a means to maintain current service levels.</p> <p><b>Identified Replacement/Upgrade Options</b>          Reviewed historical research conducted by HR regarding alternative vendor products.          Held discussions with stakeholders.          Held presentations of 4 vendor products including trial use.          Identified four possible replacement/upgrade options:</p> <ul style="list-style-type: none"> <li>• complete RFP process for a new version of Resumix or another vendor's product;</li> <li>• complete RFP process to outsource the function;</li> <li>• license an academic specific system not requiring RFP process; or</li> <li>• seek an in-house solution.</li> </ul> <p><b>HR Recommendation</b> Regarding Applicant Tracking System          Pursue identified option # 3. Have identified vendor that provides applicant tracking system specific to academic higher education. Currently scheduling review of system with VP of FAIT and UK technical experts in early July. <b>Advantages:</b> reasonable cost, unlimited users, quick implementation, ability to integrate with ERP, outstanding management information and AA tracking/reporting.</p>
<p>Improve the pool of qualified applicants for university employment.          Enhance STEPS orientation program.</p>	<p><b>Skilled Trade and Health Care Recruitment</b>          Increased opportunities for recruitment of skilled trade and health care graduates by meeting with representatives from the Mayor's Training Center, Sullivan, Spencerian, and Centre Colleges to discuss employment at UK.</p> <p><b>Marketing</b>          Increased partnering with hiring departments to enhance marketing opportunities.          Increased marketing through job fair attendance including:          2 healthcare-related job fair (i.e., 1 on campus and 1 off campus),          4 broad scope job fairs including 1 broad scope professional diversity job fair, and</p>

	<p>3 Department of Employment (DES) and KY VoTech job fairs. Revised Employment/STEPS marketing materials to present an improved professional image. (e.g., fact sheets, brochures, table displays/covers, banners, promotional items) Trailing Partner Information Packet Developed and currently piloting a Trailing Partner Information Packet. Provides area and job search resource information for partners of prospective and recently hired faculty, administrators, and medical and dental residents. <b>Note:</b> Resource materials ONLY. Does not include consultation or placement services.</p> <p><b>Steps Orientation</b> Revised and re-marketed STEPS orientation program, Developed and printed employee and supervisor handbooks, Implemented sign-in sheet tracking process, and Coordinated development of a new, abbreviated yet more comprehensive corporate compliance orientation video.</p>
Develop and implement a new, flexible, proactive advertising strategy for regular employment positions. Write and issue RFP.	<p><b>Advertising Pilot Projects</b> Currently piloting advertising through the following methods: "eRecruiting" sources, radio stations (i.e., WCDA and WGKS), and commercials during movie trailers at Cinemark Theatres.</p> <p><b>Assessed Current Vendor Costs</b> Collaborated with Purchasing Department to identify advertising costs coordinated through Employment and STEPS for payment to present vendor (i.e., TMP). Cost was determined to be more than \$400k.</p> <p>RFP Process Obtained and reviewing RFP template. Collecting contact and content information from advertising agencies in preparation of an RFP. Have met with 2 employment advertising agencies (i.e., TMP and NAS). Consulted with UK Public Relations and Affirmative Action staff to review essential elements to be considered and included in recruitment advertising strategies. Anticipate issuing RFP in Q1 of FY 02-03. Recommend appointment of a cross-function RFP committee to conduct vendor interviews, and make selections in Q2 of FY 02-03.</p> <p><b>Web Page Plan for FY 02-03</b> Developed Employment/STEPS web page plans for FY 02-03 through collaboration with Donna Maupin. Centralized UK Employment Opportunities Page Seeking agreement of major stakeholders to promote the need for a direct link on the UK homepage to a central UK employment page that identifies all UK hiring entities and provides links to their web pages.</p>
Train all HR professionals in the use of the Targeted Selection Process and use in filling all vacancies.	<p><b>Train HR Professionals in Target Selection</b> 32 of 42 current HR professionals involved in the hiring process at the University are certified in the TS process. Utilized Targeted Selection TS was used to fill all vacancies in HR.</p>
Collect and evaluate Targeted Selection Process data.	<p><b>Targeted Selection Data</b> 98 UK staff are certified in Targeted Selection. 62 departments within the University are using TS in the hiring process. 52 6-month follow-up surveys have been distributed and analyzed. Developing a 12-month follow-up survey to further track the success of employees selected and hired through the TS process. Consulting with HR IE/Quality Coordinator to develop data reporting plan and to identify ways in which data can be utilized in marketing the TS program.</p>

**GOAL: Develop and implement training opportunities that improve the quality of staff and faculty.**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Deliver two on-line training programs for the campus community. (PDP Phase I; and Time Management)	<b>PDP Phase I</b> PDP Phase I on-line training was launched March 2002 and is currently operating in the pilot phase with 13 participants. A

	complete roll-out will be effective by June 28, 2002.  <b>Time Management</b> Time Management on-line training will be BETA tested June 17-21, 2002. Complete roll-out is scheduled for June 28, 2002.
Develop and implement a process for evaluating the overall effectiveness of the PDP process.	<b>Formation of PDP Task Force</b> President Todd appointed a task force to evaluate the PDP process. The first meeting was held February 22, 2002. HRD assisted in the task force formation by making member recommendations and providing suggestions for the evaluation process. HRD provided PDP training to Nancy Johnson (task force chair) and Marsha Collins (task force consultant). HRD supplied the task force with data collected from individual PDP consultations. The new HRD manager, Kim Wilson, is serving as a member of the task force (non-voting status).
Develop "Leadership 2020". * Enhance SuperVision program.	<b>Leadership 2020 Proposal</b> A proposal was submitted under the previous administration. The process and proposal will be reviewed under the new administration with an updated proposal to be submitted in FY 02-03.

**GOAL: Ensure institutional compliance with state and federal regulations and laws to ensure compliance in regards to re-organization and daily practices.**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Revise Human Resources Policies and Procedures A. R.	<b>Policy Revisions</b> <ul style="list-style-type: none"> <li>Policy 75.0 revised and approved by President, effective October 20, 2002.</li> </ul> Remaining policies have been revised in accordance with new reorganization. Will be submitted to President Todd in June.
Revise Staff Handbook. Cost approximately \$30K.	<b>Staff Handbook Revised</b> Reviewed and revised the University's Staff Handbook. Currently working with vendor regarding graphics and printing. Cost estimate anticipated by 6/30/02.
Revise Drug-Free Institution brochure. (Note: Goal V was amended to include this Measure of Success).	<b>Drug-Free Institution Brochure Revised</b> <ul style="list-style-type: none"> <li>Reviewed and revised the University's Drug-Free Institution brochure. Revised brochure is currently being printed. Anticipated print deadline 6-30-02.</li> </ul>
Implement Retirement Plan changes. (Note: Goal V was amended to include this Measure of Success).	<b>Proposal Approved</b> <ul style="list-style-type: none"> <li>The University submitted a proposal to the UK BOT, which was approved on December 11, 2001 for changes in the retirement AR.</li> </ul> <b>Key Changes</b> <ul style="list-style-type: none"> <li>Key changes included the elimination of the one-year waiting period for new hires and the establishment of the 457(b) plan with the University's retirement carriers.</li> </ul> <b>Implementation</b> <ul style="list-style-type: none"> <li>The University has successfully implemented the key changes required by EGTRRA relating to maximum plan contributions and has communicated the new limits to the University faculty and staff.</li> </ul>

**GOAL: Enhance communications throughout the University regarding services of Human Resources.**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Develop and implement an in-depth, broad-based communications plan for UK employees.* a. Deliver timely and accurate Benefits information. b. Deliver timely and accurate general Human Resources information.	<b>Part A: Communication Plan</b> Developed and implemented a communication plan which included: a) 43 presentations to various UK groups b) tables and staffing with information at 16 fairs or events c) 19 different list-serve or broadcast emails, memorandums and letters sent d) web pages updated and redesigned two weeks prior to open enrollment e) 10 articles in <u>UK News</u> and 2 <i>Benefits Bulletin</i> inserts in <u>UK News</u> Open Enrollment Communications Improved and expanded information provided in the open enrollment package to include a wider variety of benefits while adhering to budget. Plan year 2001-2002 actual open enrollment

communication expenditures were \$73,070 out of a \$95,000 budget (\$66,930 in FY 00-01). The booklet size was increased by 8 pages for a total of 32 pages and included a pocket folder.  
Plan Description Summary  
Provided a Plan Description Summary for health plan and Flexible Spending Account Program prior to the open enrollment period in both a hard-copy and online formats.

**Part B:**

**HR Web Pages**

Redesigned and updated HR web pages to enhance customer service and provide additional links.

**HR Administration**

- Email broadcast and/or hard copy policy communications included:
  - a) 01-02 and 02-03 annual holiday announcements
  - b) New holiday announcement
  - c) 9-11 general information broadcast
  - d) Mandatory Direct Deposit
  - e) Employment of Minors
  - f) Uniform Service Leave (Policy 75.0)
  - g) Memo to employees in Reserve and National Guard
  - h) Economic Growth and Tax Reconciliation Act of 2001 Change in Hospital Compensation Policy
- HR Director serves as President Todd's designated respondent for all University broadcast emails regarding HR issues.
- Increased presence and attendance at regular University administrative meetings resulted in improved communication and customer services. Meetings regularly attended include:
  - a) President's Expanded Staff Meetings
  - b) Provost's Staff Meetings
  - c) Provost's Dean's Council Meetings
  - d) Senior and VP/Chancellor Executive Council Meetings
  - e) Hospital Strategic Operation Team Meetings
  - f) Hospital Leadership Group Meetings
  - g) Business Users of Administrative Systems Meetings
  - h) Medical Center Business Officer's Meetings
  - i) UK Professionals Networking Luncheons
  - j) Hospital Nursing Recruitment and Retention Meetings
  - k) Hospital Training Council Meetings
  - l) UK Worker's Care Management Committee Meetings
  - m) General Safety Committee Meetings
  - n) Employee Benefits Committee Meetings
  - o) Medical Center Annual Faculty Retreat

**Wellness**

UK News 10 articles and 4 *Wellness* inserts  
Distributed 8 list-serve and departmental mailings  
Provided 59 presentations and 33 forums  
Attended 5 fairs/events  
Sponsored a radio show with WUKY  
Provided a University-wide 2-day conference focusing on wellness issues.  
Benefits  
Refer to Goal 1 Part A  
Compensation  
Distributed 250 questionnaires to collect feedback regarding customer service provided by the Compensation Department. The questionnaire consisted of six open-ended questions. Feedback was extremely positive and included terms such courteous, prompt, & excellent service. A summary of the responses is available for your review.  
Maintained and utilized HRS User E-mail List for regular communication with HRS Users throughout the University.  
Employee Relations  
Provided 37 presentations to work groups regarding policy issues  
Marketed Employee Relations Services at 4 events

	<p>Unemployment          Provided 10 presentations to work groups  <u>UK News</u> insert - November <i>Benefits Bulletin</i>          Unemployment Manager served as SHRM Kentucky State Council –College Relations Director and is on the Advisory Board for Ky. State Dept. for Employment Services.          Human Resource Development          Implemented online registration for HRD classes  <u>UK News</u> insert <i>Human Resource Development</i> including the annual training calendar.  <u>UK News</u> insert <i>UK Advance</i>  <u>UK News</u> article - “Success is Learned at Operation Educate”  <u>UK News</u> article SuperVISION          Staffed booths at UK Staff Appreciation Day and the Department of Agriculture Staff Appreciation Day.          Provided 11 UKadvance presentations utilizing past program graduates as speakers.          Implemented revised New Employee Orientation Video.          Updated HRD/OE marketing materials (e.g., brochures, handouts, posters)          Employment/STEPS          Please refer to Goal III Measures 2-4 for Employment/STEPS communications. Additional Employment/STEPS communications include:          Marketed Student Employment Services by utilizing campus map, campus newspaper and monthly advertisements in <i>Family</i> magazine.          Developed 3 brochures and 2 fact sheets/testimonials          Participated in 15 Job Fairs and invested in more professional materials for display and distribution.          Conducted customer service meetings with hiring departments to overview statistics.          Provided 2 marketing presentations regarding Trailing Partners Pilot Information Packet.          Provided abbreviated Trailing Partners packet to 80 new Medical Center Residents.</p>
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**GOAL: Formalize continuous improvement program for effective utilization of volume data collected.**

MEASURES OF SUCCESS	SUCCESS SUMMARY
Train HR staff on Performance Improvement tools.	<p>Provided training in the following areas:</p> <ul style="list-style-type: none"> <li>• UK Strategic Plan</li> <li>• UK’s Institutional Effectiveness Program</li> <li>• HR’s Strategic Plan</li> <li>• Strategies to becoming a “Business Partner”</li> <li>• “Value Added” work performance</li> <li>• Ethical Management</li> <li>• Data collection and reporting</li> <li>• Tool Development</li> <li>• Developed the following tools</li> <li>• “HR Strategic Plan and Effectiveness Reporting” Manual</li> <li>• Monthly “Data Highlights”</li> <li>• “Customer Service Survey Development” handout</li> <li>• Organizational charts</li> <li>• Goal Reporting Summaries</li> <li>• Monthly data reports (Volume Measures)</li> <li>• 2001 annual data report and data comparison tables for 2000 and 2001</li> <li>• UK Self-Study HR recommendations summary</li> </ul>
Implement problem-solving teams to maximize HR Services.	<p><b>Position Elimination</b></p> <ul style="list-style-type: none"> <li>• HR has established a team to address human resources related issues during University position eliminations. The team of 5-6 managers represent each area of HR.</li> <li>• The team provides significant &amp; valuable support throughout the entire process including:             <ol style="list-style-type: none"> <li>a) elimination decisions,</li> <li>b) notification process, and</li> <li>c) support materials for managers/supervisors &amp; affected staff.</li> </ol> </li> <li>• Additional community resources were provided at the Hospital notification (May '02) from "Rapid Response," a state funded group that provides support to displaced workers through community resources.</li> <li>• During FY 01-02, the HR team provide assistance and</li> </ul>

support for 98 position eliminations. Eliminations consisted of:

- a) 21 single eliminations,
  - b) 22 in Printing Services,
  - c) 22 in Drug Product Evaluation Unit, and
  - d) 33 in Hospital.
- A survey conducted with Hospital directors resulted in positive feedback for HR support provided. Results included:
    - a) "HR's availability for consultation throughout process" rated 3.8 out of 4, and
    - b) "HR's support on date of termination" rated 3.8 out of 4.
  - The elimination process is completed for 67 of the 98 positions (i.e., the process for the 33 hospital employees will be completed 6/30/02).
  - 75.4% of the 65 displaced employees completing the elimination process have found new employment. The following provides a summary of the 65 displaced employees' status at the end of the elimination process:
    - a) 49 employed (includes employment in UK and non-UK positions),
    - b) 4 retired, and
    - c) 12 did not find employment by termination date.

#### **Unemployment Cost Containment**

Unemployment data indicates that the University's potential liability was \$1,382,727 for the 2001 calendar year. Aggressive improvements in the University's Unemployment process resulted in the University only being liable for 17.94% of the potential cost. This represents a \$1,134,619 cost savings to the University and the lowest percentage of UK's unemployment liability since 1974. Improvements in the Unemployment process included: training supervisors in the documentation process, witness preparation for hearings, claim liability review, computerization of data tracking process, and monthly and quarterly data review.

#### **Benefits Management System (BMS)**

- Effective July 1, 2001 the University, through the efforts of HR Technical support staff, benefits financial management and HR employee benefits staff implemented the following enhancements to BMS:
  - a) UKHMO Capitation - Benefits Financial Management now creates the invoice for the UKHMO capitation based on data contained in BMS. Benefits data management and benefits accounting have worked diligently with the HR technical support staff to create reports that allow the University to invoice UKHMO rather than UKHMO invoice the University based on the UKHMO data. The result has been a steady monthly amount that only fluctuates based on real-time enrollment changes. This will help the University's actuaries do a better job at setting rates for UKHMO.

Eligibility Feed - The University began remitting eligibility data to Humana and UKHMO electronically in June for July coverage. This process has allowed the University to supply the TPA's with real-time eligibility data on a daily basis, which has enhanced the University's ability to reconcile enrollment with the TPA's.

- b) Life Insurance Reconciliation - The benefits staff has entered life insurance data into BMS, which has enhanced the report capability needed by benefits accounting to reconcile premiums. The reconciliation of life premiums has been an issue for almost a year. Aetna has agreed to pick-up the funding of 0.5 FTE for the position in benefits accounting that performs the reconciliation for life premiums.
- c) Direct Bill - BMS has allowed benefits financial management to invoice KCTCS and healthcare collections for their premiums. Direct Bill has grown to a \$5 million dollar function.

#### **Humana Implemented as Health Benefits TPA**

- Humana has provided good administration of the plan for the University. Summary Plan Descriptions were sent to employees on time and Humana has been efficient in handling customer complaints. Reporting was an issue, but is now resolved, resulting in the University receiving an improved set of reports. These reports assist Mercer in accurately evaluating the University's health plan costs and establishing premiums more effectively for the new plan year. Humana's ability to administer a variety of plan offerings permitted the University to draft plans that will meet the recommendations of the health benefits task force. The current plan structure was maintained in this process.

**Self-Funded Health Program**

Cash flow has been increased with current projections indicating a positive balance for year-end FY 2001-02.