

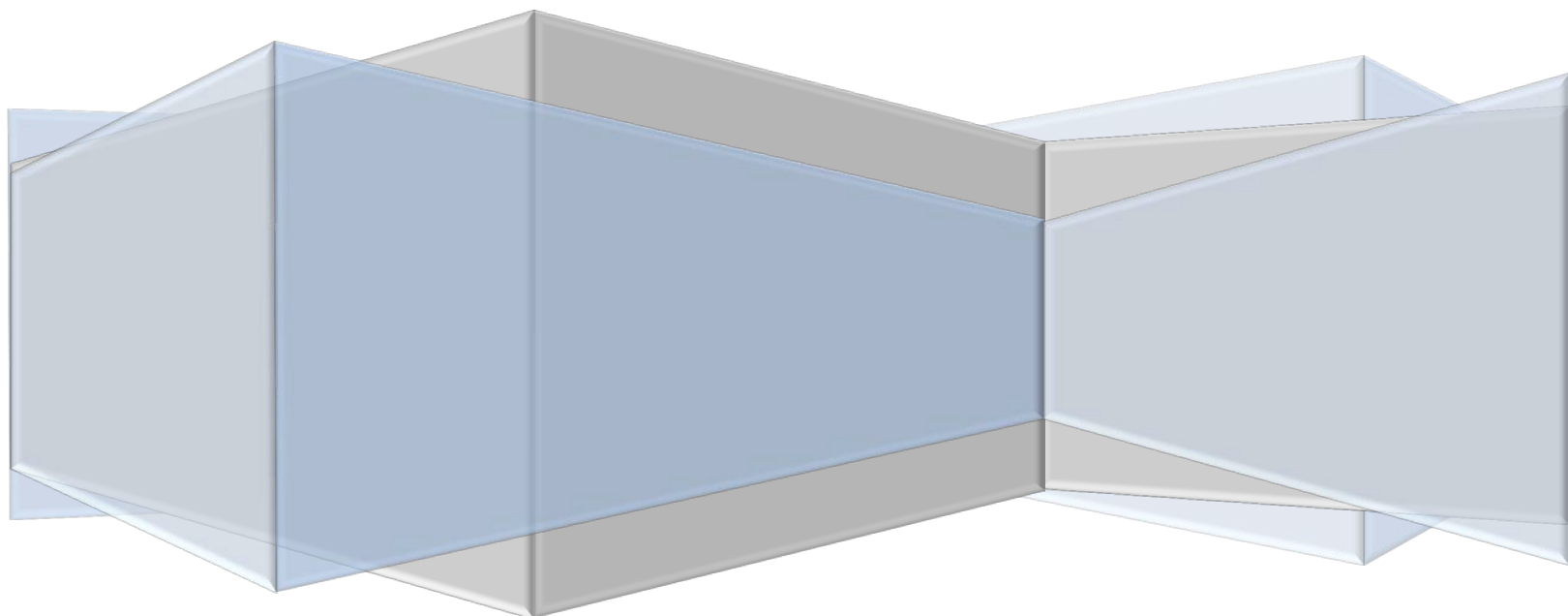
Indiana University

Student Services Initiative

Phase 1 Report

SSI Project Team

January 2, 2012



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Executive Summary

Background

Indiana University completed an institution-wide, inclusive benchmarking project to assess administrative activities in human resources, payroll, student services, marketing, and the Bloomington physical plant operations. The benchmarking review included the range of student services. It revealed duplication of services and proliferation of unproductive or counterproductive divergence. It also found potential for the increased use of shared resources to minimize duplication and to expand and improve services. In addition, the project recommended the adoption of “one-stop” points of service on each campus in the student service area, where customers can obtain assistance from all of the functions within student services. To implement this vision, the project recommended that University Student Services and Systems (USSS, formerly Student Enrollment Services), in addition to its current responsibilities, manage back-office student services functions in a shared services model. It also recommended that USSS provide enterprise-wide systems and tools to support financial aid, admissions, student records, academic advising (systems), and student financials (bursar). In many respects, these recommendations follow the expected reorganization that was to have occurred when modules of PeopleSoft were deployed at IU in 2000 and 2004, but which were never implemented.

IU Trustees received the report on April 14, 2011. The administration announced that a student shared services model will be implemented at Indiana University to increase customer service, to make use of best practices, and to reduce operating costs through increased efficiency. President McRobbie has made the Student Services Initiative project (SSI) a top priority for Indiana University.

Progress on SSI

This report contains information compiled from Phase I of the project conducted June through December 2011. Phase I focused on financial aid, admissions, student records, academic advising (systems), and student financials (bursar) business processes at the campus level. Academic department processes and personnel are not in scope during this phase of this project.

This report presents a new operating model for delivering student services more efficiently. The SSI Project Team analyzed how this model will revise costs to deliver student services, and has identified the following potential savings opportunities:

- The preliminary analysis shows that IU can reduce staff by 59 positions in the student services units whose business processes were analyzed in detail.
- Extrapolating that greater efficiencies in the student services units will reduce the need for student services staff in the academic and other units, we estimate we can reduce the total by an additional 58 FTE, for a total FTE reduction of 117.
- This staff reduction will enable potential savings to IU of \$7.7M.
- Accenture reviewed the analysis and, while appreciative of the extensive work already done, recommends that there are likely greater potential reductions, resulting in up to 177 FTE, and potential savings of \$11.7M.

In order to realize savings, the project team offers a number of recommendations for additional changes to operations. The following recommendations are presented throughout the report:

- Back office business processes currently being performed by USSS for five (sometimes six) campuses should be used by all Indiana University campuses.
- Functional system development, security, and operational reporting are shared services that should reside in USSS. Consolidation and movement of staff to USSS should occur in early 2012.
- Indiana University should move towards a university-wide registrar and bursar. IU already has a university-wide director of financial aid and the model has worked well.
- Indiana University will need to implement additional system enhancements to achieve a successful implementation in Phase III of the shared services model.
- IU will need to invest in resources to complete the automation and standardization required to successfully implement the shared services model.
- Academic policies should be reviewed to determine harmonizing/standardization where applicable.

Vision for Student Services Operations

The project team undertook this first phase of work with the vision to apply the shared services model to student services functions across IU in order to:

1. Improve customer service
2. Make use of best practices
3. Reduce operating costs through increased efficiency

In developing an operating model and implementation recommendations, the team has followed these overall guiding principles:

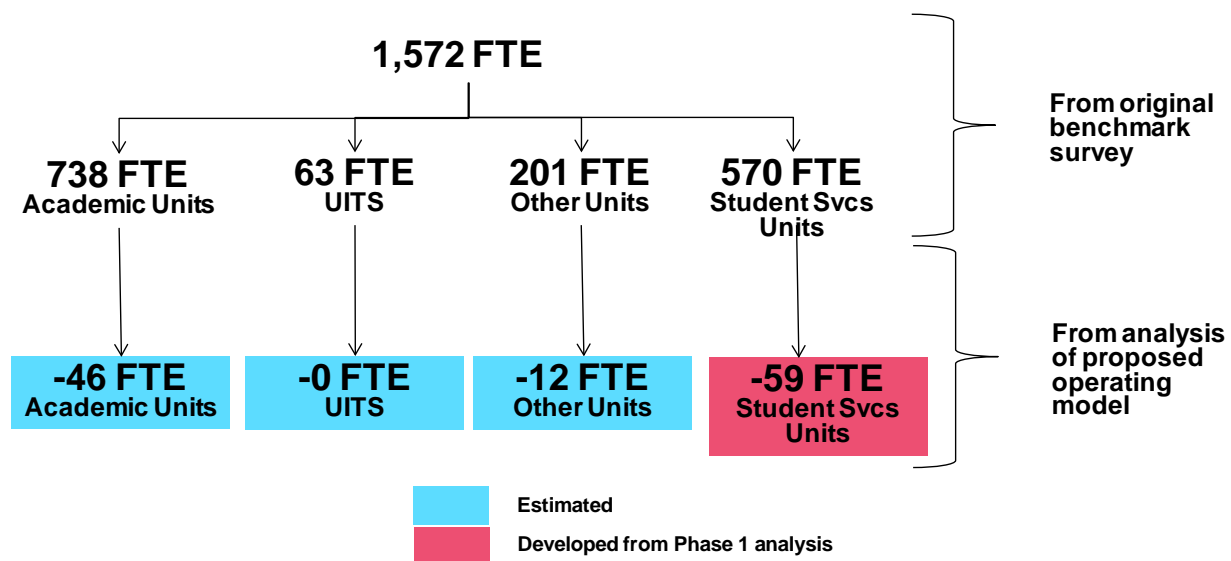
- Students, faculty, and other customers of student services will not see quality of service reduced through implementation of a shared service model.
- Enhanced service through the development of a one-stop shop model on the campuses will be implemented to the extent possible.
- Strategic policy and individual decisions involving the recruitment, retention, and academic advising of students are determined by each campus. Face-to-face customer service is also the province of each campus, and it will be supported through the shared services model for back-office operations.
- Enhanced student service and business process improvements through system development projects will be coordinated through USSS.
- Functional system management, support of the student system, and business process review will be managed by USSS through a shared service model for all campuses.
- Operational business process management is provided using a shared services model to ensure optimal service to students. Best practices are reviewed and implemented for student service, efficiency, and compliance.

Potential Savings Available

The Hackett benchmarking project involved all offices involved in student services throughout the university. The focus of the Phase I functional analysis was only on the student service offices on the campuses and within University Administration, which comprise about 36% of the total FTEs identified in the Hackett benchmarking report. Therefore, to estimate potential savings elsewhere, we developed an estimating approach for the other portion of the FTEs providing student services. Our approach took the following steps:

- Efficiencies from shared service back-office operations and from automation and standardization will be realized in academic units, and the effort freed up will be available to be repurposed toward academic goals of the units.
- Efficiencies in other administrative and academic support units will also be available for reapplication to mission.
- We calculated as follows potential FTE and dollar values for these efficiencies:
 - The FTE savings in the analyzed student services office was taken as the starting point.
 - For the academic units and for the other administrative and academic support units, to be conservative, we projected that they would not be able to reduce staff by the same percentage as the direct student services operations. So, we reduced their projected reduction to 60% of the projected reductions in the areas we analyzed – e.g., if the original analysis yielded 10% reduction, we projected 6% for the areas not in scope.
- Because the analysis revealed the need for more, not less, systems development, no reduction in UITS was assumed.
- All these specific steps lead to a total reduction of 117 FTE. We then applied an estimated average of \$55,000 in salary and benefits and \$11,000 on ancillary operating costs (\$66,000 per FTE) to arrive at a total potential savings of \$7.7M.

The picture below depicts how the FTEs initially identified break up organizationally, and what the potential reductions will come from.



Accenture Review of Potential Savings

In analyzing IU's work in detail, Accenture recognized and appreciated the effort and careful thought of the team. They advised, though, that greater savings are likely possible due to the following:

- Accenture's experience is that streamlining and simplification of technology and processes usually have a greater impact than the team has estimated
- There is a natural and understandable tendency of internal staff to be conservative in estimating potential savings
- Student Records estimates were extremely conservative, in part because of the anticipated political difficulty of harmonizing academic policies. In other words, we will go as far as we can with current academic policies, and we will identify additional savings with harmonization. Student Records needs additional automation and standardization under the new shared services model. Therefore, Accenture feels that the combination of policy harmonization, automation, and process standardization can result in significantly more savings than the team has initially identified.

Accenture further advised that IU could be best served by assuming additional savings to be identified and achieved in the next phase of detailed planning. Using the analytic approach the team developed, Accenture suggested estimating an additional 50% more savings in each organizational area. That would set a target of 177 in FTE reduction, resulting in an estimated savings of \$11.7M.

Proposed Future Operating Model

The phrase ‘operating model’ typically refers to the following elements of a new shared services organization:

- Processes – how business processes will be split between the shared services organization and the campuses
- Governance – how the shared services organization will be managed and how it will work with its customers
- Location – where the shared services organization will be physically located
- Service Management – how the shared services organization will typically establish and track service levels
- Technology – a description or listing of the technology required for the shared services organization to deliver on the promised service levels

For this analysis, we designed the future operating model for ‘student services’ at IU by breaking down the entirety of ‘student services’ into six primary functions:

1. Financial Aid
2. Admissions
3. Student Records
4. Academic Advising
5. Student Financials
6. System-wide Support Functions

Each function was further broken down into business process groups, and each business process group was further broken down into specific business processes. The project team worked at the level of the detailed business processes to analyze how work would be split between the campuses and the shared services organization. The results of their analysis were then summarized at the level of the business process groups. We present in this section the summarized information. For each of the six functions, we show a summary of the key facts of the analysis, a depiction of how extensively the business process groups will be split between the campuses and the shared services organization, the number of FTEs expected to support each business process group in the future, and the changes recommended in supporting technology and standardization of policies and procedures necessary to actually work effectively at that level of FTEs.

This analysis yielded the ‘Processes’ and ‘Technology’ portions of the operating model described above. They comprise the bulk of this document. We then considered the other parts of the operating model overall, rather than process by process, and have presented the team’s recommendations accordingly.

Financial aid

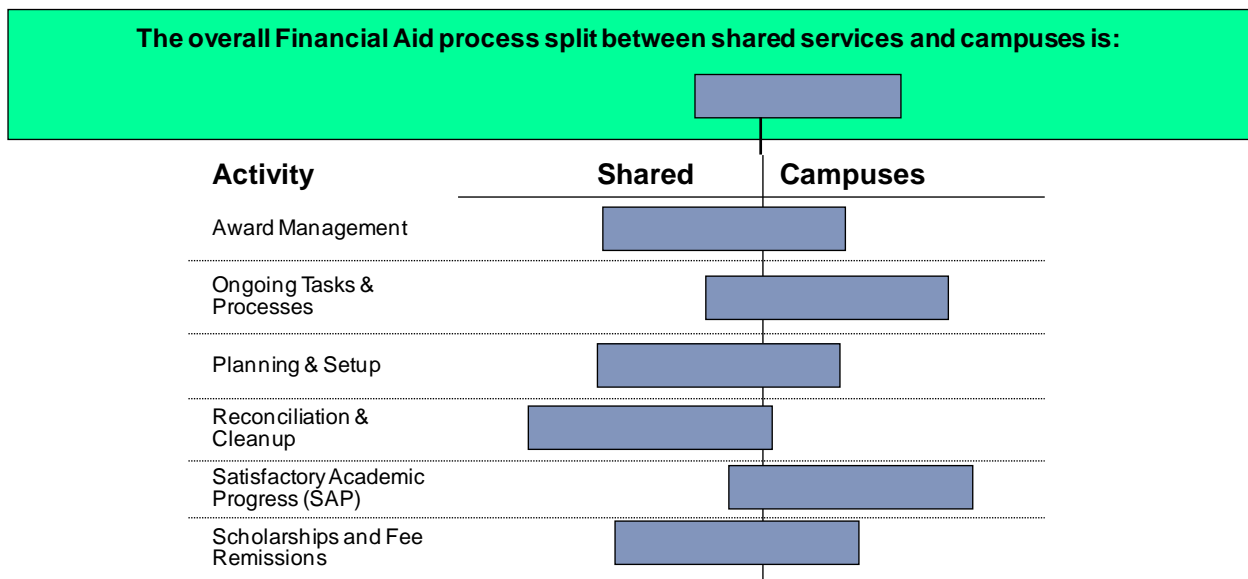
Financial Aid Summary

The Phase 1 Financial Aid team evaluated 68 high level business processes. The team identified a significant number of potential efficiencies to be gained, many of which are not dependent on any new resources. Many, however, are heavily dependent on imaging, accelerated utilization of CRM, workflow and SIS development. The review highlighted the need for process standardization across many of the functions that are heavily regulated, and where differences currently serve little or no purpose.

Despite the high level of the initial reviews, identification of best practices and opportunities has begun and the team is optimistic about the possibilities for realizing improvements during the 2012-13 academic year.

Financial Aid Split by Process Group

The table below presents the degree to which the business process groups within Financial Aid will be split between the campuses and the new shared services organization:



Financial Aid FTEs by Process Group

The table below shows the FTEs required for each business process group, and how those FTEs will be distributed between the campuses and the new shared services organization:

Name of Business Process Group	FTE's		
	Total To-Be	Shared	On Campuses
Award Management	21.9	15.5	6.4
Ongoing Tasks and Processes	50.1	7.1	43.0
Planning and Setup	7.6	3.3	4.3
Reconciliation and Clean Up	2.9	2.7	0.2
Satisfactory Academic Progress (SAP)	4.1	0.6	3.5
Scholarships and Fee Remissions	8.1	4.6	3.5
TOTAL	94.7	33.8	60.9

Financial Aid Technology and Standardization Recommendations

In order to operate at the level of FTE's estimated above, the team assumed the following initiatives would be completed:

- Document Imaging and Workflow
- Standardization in policies and processes, training and documentation
- Improved reporting, and increased automation
- Completion of University-wide Lifetime Engagement CRM (Customer Relationship Management) system
- Continued investment in COMPASS automated scholarship system

Admissions

Admissions Summary

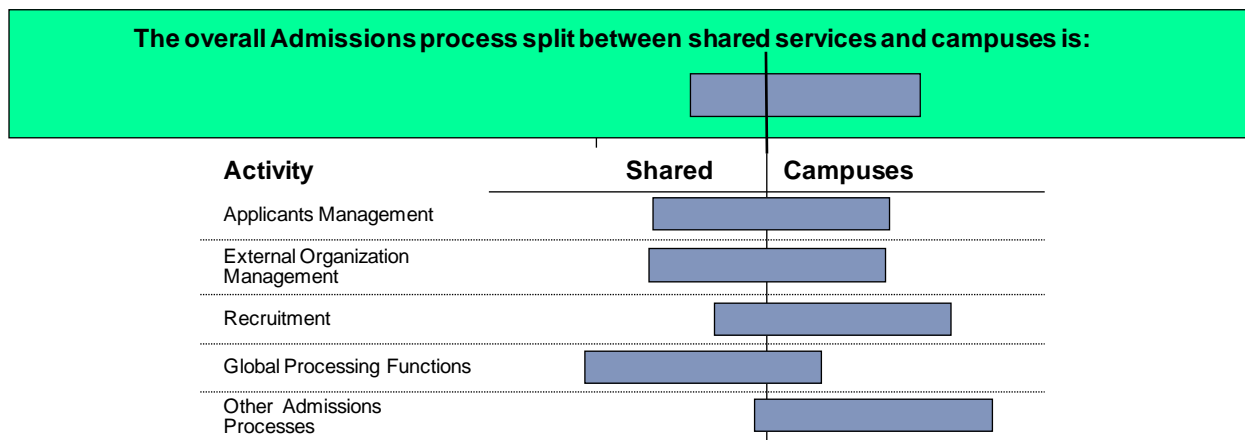
The Phase I Admissions team reviewed 50 business processes related to student recruitment and admissions processing, specifically focused on the undergraduate admissions process. The admissions offices at Indiana University each serve differing populations with unique needs. Additional differences (e.g., parental education levels, family resources, residency, etc.) in the students they attract lead to variations in the effort required to recruit and enroll students. Throughout the analysis, the team needed to consider the divergent campus missions, differing prospective student populations with different needs, and automation opportunities which as a result will have varying impact across the campuses.

During the review and subsequent analysis, candidate business processes were identified for streamlining and efficiency improvements. Most of the efficiency gains are predicated on the expansion of imaging technology currently deployed in pockets throughout the organization to an enterprise level license to allow for standardized processes, contract, and efficient use of the technology as well as the development of robust and fluid interfaces between the imaging system and other enterprise-level systems.

The completed implementation of tools currently in limited use such as CRM, imaging, workflow and Address Verification software will also streamline the overall admissions processes. Throughout the analysis, a repeated theme for efficiency was the integration between and consolidation of the various tools currently in place to accomplish the business processes. This current opportunity to reassess the tools in use and manner in which they are used will allow for a more systematic approach to the overall business processes of the undergraduate admissions offices.

Admissions Split by Process Group

The table below presents the degree to which the business process groups within Admissions will be split between the campuses and the new shared services organization:



Admissions FTEs by Process Group

The table below shows the FTEs required for each business process group, and how those FTEs will be distributed between the campuses and the new shared services organization:

Name of Business Process Group	FTE's		
	Total To-Be	Shared	On Campuses
Applicants Management	103.5	51.2	52.3
External Organization Management	5.2	2.6	2.6
Recruitment	37.7	7.4	30.3
Global Processing Functions	5.4	4.4	1.0
Other Admissions Processes	16.5	0.2	16.3
TOTAL	168.3	65.8	102.5

Admissions Technology and Standardization Recommendations

In order to operate at the level of FTE's estimated above, the team assumed the following initiatives would be completed:

- Document Imaging and Workflow
 - Implement system-wide for all Admissions offices
- Complete Lifetime Engagement CRM implementation
- Transfer Credit Processing
 - Improve process and systems that support transfer credit articulation rules
- Admissions Application Processing
 - Standardize process so that the amount and manner of data recorded is consistent (such as high school units/courses recorded).
 - Implement high school and college transcripts electronic transmissions where available
- Fulfillment/Mailing
 - Provide centralized or coordinated contract for mailing and materials storage.
- Address Verification
- System integration.
 - A data-hub which facilitates the flow of data between systems could be reviewed for efficiency and consistency of integration strategy amongst enterprise systems.

More detailed information about these initiatives is included in the appendix.

Student Records

Records Summary

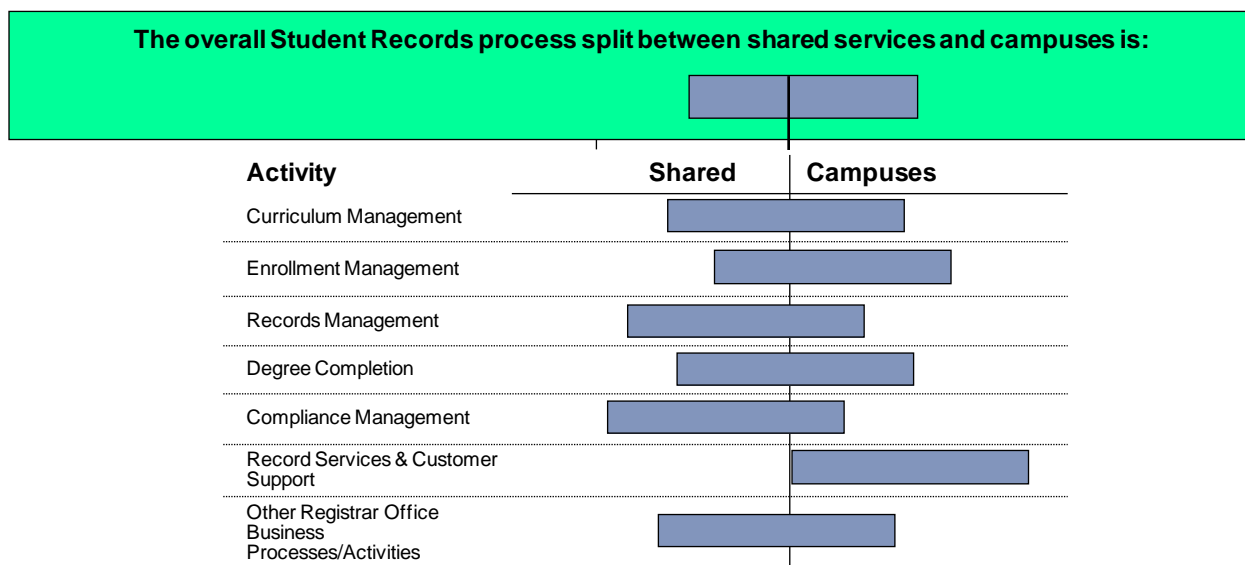
The Phase 1 Student Records Team evaluated 50 high level business processes. Several business processes were identified to be candidates for process standardization and IT automation. Many of the efficiencies to be gained are dependent on new SIS development and/or enhancements to existing applications. A centralized imaging solution will provide efficiency through elimination of duplicate efforts at the campus and school level, as well as, greater transparency by providing IU-wide access to student information.

Academic policies are divergent across campuses and schools and require a deep understanding of originating campus to administer and implement them appropriately. Since there are individual campus policies, the expertise and responsibility for maintaining that set of policies currently rests at the campus level. Each Indiana University campus operates under a set of policies established by its own Faculty Council or Senate; adjoining the individual campus-specific rules is the larger University Faculty Council set of policies. Divergent campus policies require further support when they are codified in the SIS for initial development and on-going support. The review highlighted the opportunity for process standardization across many of the functions; however, the ability to standardize is dependent on the ability for the academic policies to be standardized. Although the academic unit processes were out of scope, the total efficiencies savings to be gained may be difficult to achieve without consideration of the cost to implement and maintain separate academic policies across all 8 campuses.

The Registrar community has automated many of their paper-based processes to leverage IU’s electronic Quali workflow and routing application. There continue to be new opportunities for improvement in the existing workflow applications, supporting processes as well as new candidates. The team welcomes the opportunity to continue the automation initiatives in this arena.

Records Split by Process Group

The table below presents the degree to which the business process groups within Student Records will be split between the campuses and the new shared services organization:



Records FTEs by Process Group

The table below shows the FTEs required for each business process group, and how those FTEs will be distributed between the campuses and the new shared services organization:

Name of Business Process Group	FTE's		
	Total To-Be	Shared	On Campuses
Curriculum Management	17.9	9.0	8.9
Enrollment Management	15.0	5.2	9.8
Records Management	26.4	17.3	9.1
Degree Completion	4.7	2.1	2.6
Compliance Management	12.2	8.4	3.8
Record Services & Customer Support	15.8	0.0	15.8
Other Registrar Office Business Processes/Activities	6.6	3.6	3.0
TOTAL	98.6	45.6	53.0

Records Technology and Standardization Recommendations

In order to operate at the level of FTE's estimated above, the team assumed the following initiatives would be completed:

- Room Scheduling and Maintain Schedule of Classes / Schedule of Classes Build
 - Develop an online collection process that may be tailored for the requirements of each campus to be used for both the original class schedule creation (build) and ongoing updates in order to support the high volume of transactions involved.
- Historical Records Management / Document Management Imaging, Filing, and Archiving
- Maintain Current Term Academic Enrollment from End-of-First-Week/Official Census through the end of the term (Fully Graded Date) when term grades become part of the official transcript
 - Specific improvements include the enhancement of eDrop and eAdd workflow processing
- Veteran's Affairs Processing
 - Standardize across all campuses given complexity of process
 - Develop centralized expertise to support all campuses
 - Eliminate paper-based processes with electronic forms and use imaging
 - Use Lifetime Engagement (CRM) for communications
- Program / Plan Updates
 - Process efficiency could be greatly enhanced with the addition of workflow based program/plan application.
- Degree Processing

- o Use Lifetime Engagement CRM for mailing invitations to student
- o Develop self-service application for students to maintain anticipated graduation term
- o Develop new “Apply for Graduation” application
- o Leverage Academic Advising ‘s Degree Audit Report (AAR); reference AA Document Build and Maintain Academic Advisement Reports (AAR programming); Register by Requirements functionality will tie into improved degree audits.

More detailed information about these initiatives is included in the appendix.

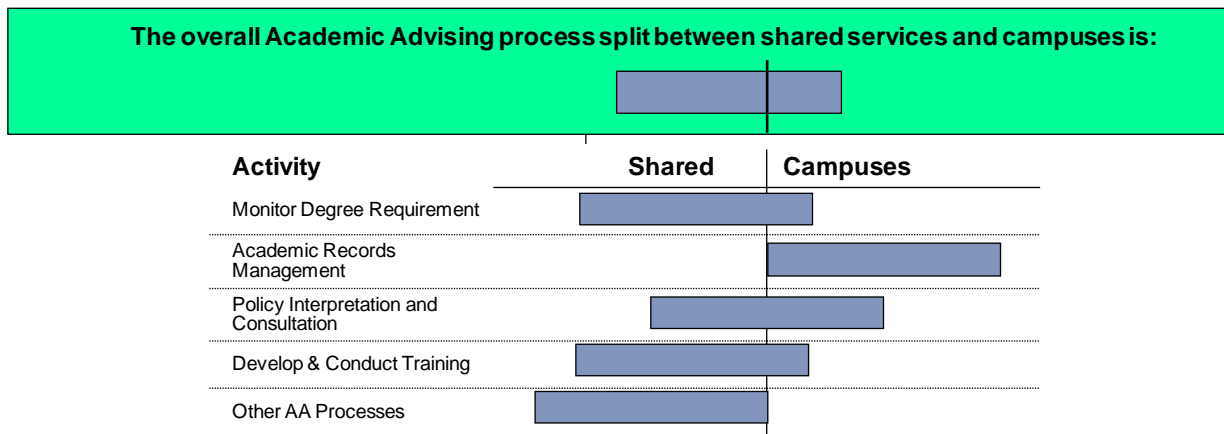
Academic Advising

Academic Advising Summary

The majority of advising activity resides in the academic units and was not in the scope of this project. The Phase 1 Academic Advising Team evaluated 20 business processes for which work is performed by staff in the campus Registrar Offices and USSS. For the processes in scope, approximately half of the 10 FTE supporting advising functions provide system support for the SIS academic advising system processes and tools. The USSS team is currently working with the IU Community to develop new tools and services for the advisors, faculty, and students. There is presently an increase in the SIS development of new advising services and tools, which will result in increasing support needs for this area in the coming years.

Academic Advising Split by Process Group

The table below presents the degree to which the business process groups within Academic Advising will be split between the campuses and the new shared services organization:



Advising FTEs by Process Group

The table below shows the FTEs required for each business process group, and how those FTEs will be distributed between the campuses and the new shared services organization:

Name of Business Process Group	FTE's		
	Total To-Be	Shared	On Campuses
Monitor Degree Requirement	2.6	2.1	0.5
Academic Records Management	0.4	0.0	0.4
Policy Interpretation and Consultation	1.0	0.5	0.5
Develop & Conduct Training	0.6	0.5	0.1
Other AA Processes	0.3	0.3	0.0
TOTAL	4.9	3.3	1.6

Advising Technology and Standardization Recommendations

In order to gain the greatest efficiencies possible in Academic Advising (and most of those efficiencies will be realized in the academic units, not in the student services units analyzed in this report), the team recommends IU plan for the following initiatives:

- Centralized Academic Advisement Report Programming
- Academic Advising Records System (underway)
- FLAGS - Fostering Learning Achievement and Graduation Success system (underway)

More detailed information about these initiatives is included in the appendix.

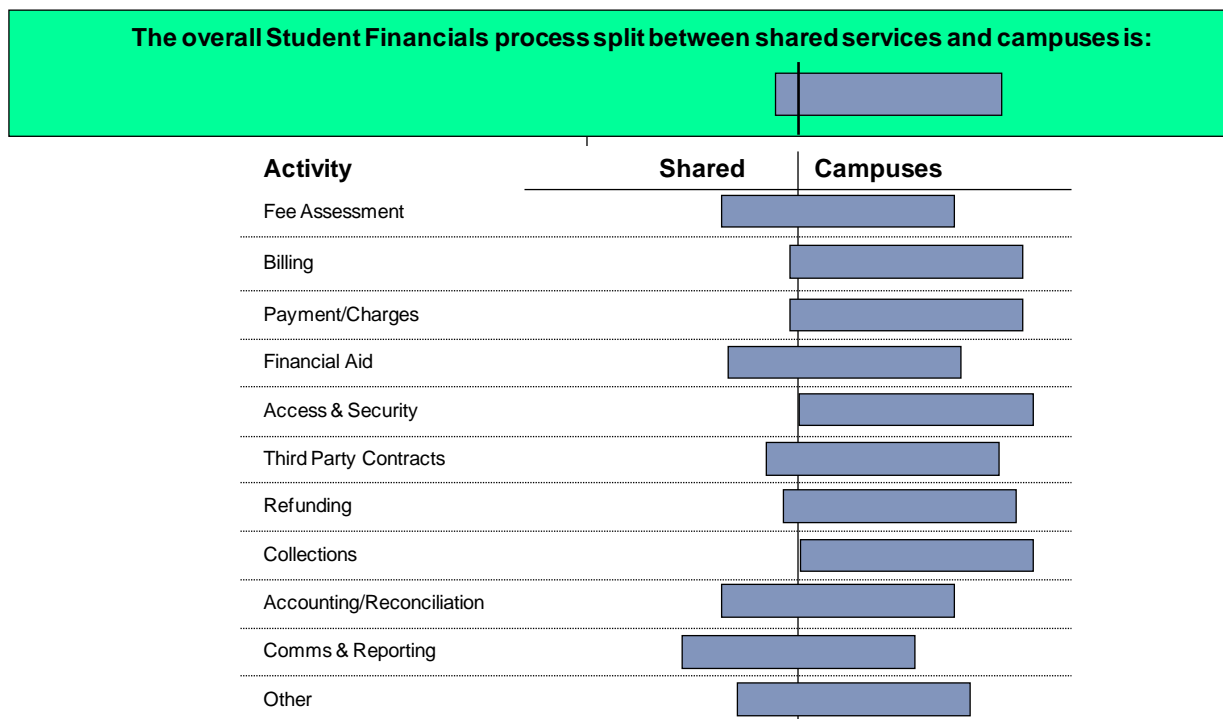
Student Financials (Bursar)

The Phase 1 Student Financials Team evaluated 33 high level business processes. The team evaluated a broad array of businesses processes, the majority of which are quite manual in nature. While some opportunities for process enhancement or automation were identified, projected gains are minimal because they result primarily from efficiencies of scale.

Many of the most tedious processes are and will continue to be labor-intensive. The variations in fee structures and calendars across the campuses present some challenges in conceptualizing shared services; however, we are hopeful additional efficiencies will be discovered during the more detailed Phase 3 analysis.

Student Financials Split by Process Group

The table below presents the degree to which the business process groups within Student Financials will be split between the campuses and the new shared services organization:



Student Financials FTEs by Process Group

The table below shows the FTEs required for each business process group, and how those FTEs will be distributed between the campuses and the new shared services organization:

Name of Business Process Group	FTE's		
	Total To-Be	Shared	On Campuses
Fee Assessment	1.0	0.3	0.7
Billing	28.1	0.5	27.6
Payment/Charges	10.4	0.4	10.0
Financial Aid	1.3	0.3	1.0
Third Party Contracts	3.2	0.4	2.8
Refunding	2.2	0.1	2.1
Collections	7.3	0.0	7.3
Accounting/Reconciliation	3.1	1.0	2.1
Communications & Reporting	0.4	0.2	0.2
Other	2.2	0.8	1.4
TOTAL	59.2	4.0	55.2

Student Financials Technology and Standardization Recommendations

In order to operate at the level of FTE's estimated above, the team assumed the following initiatives would be completed:

- Utilization of CRM for student communication
- Improved reporting tools
- Workflow

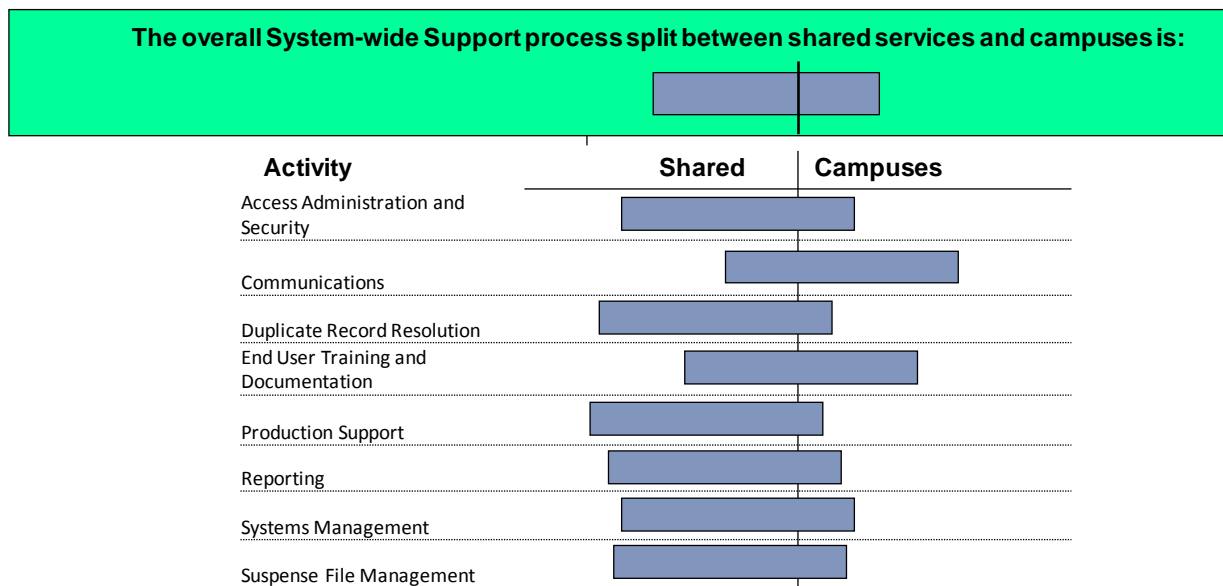
System-wide Support Functions

System-wide Support Functions Summary

In addition to the direct service functions analyzed in the rest of the operating model, there are support functions performed across all module areas. Some of the functions provide technical support, such as system security and access, while others are common processes, such as communications with various audiences. The teams separated out for analysis those system-wide support processes from the ‘direct delivery’ processes, and then aggregated them for this presentation – many of the staff who provide those services work across several of the business functions. There are good possibilities for extensive use of shared services to perform these functions in the future.

System-wide Support Functions Split by Business Process

The table below presents the degree to which the business processes within system-wide support functions will be split between the campuses and the new shared services organization:



System-wide Support Functions FTEs by Business Process

The table below shows the FTEs required for each business process, and how those FTEs will be distributed between the campuses and the new shared services organization:

Name of Business Process Group	FTE's		
	Total To-Be	Shared	On Campuses
Access Administration and Security	3.8	3.0	0.8
Communications	27.9	8.4	19.5
Duplicate Record Resolution	2.0	1.8	0.2
End User Training and Documentation	7.2	3.6	3.6
Production Support	5.6	5.1	0.5
Reporting	21.5	17.6	3.9
Systems Management	13.5	10.4	3.1
Suspense File Management	4.1	3.3	0.8
TOTAL	85.6	53.2	32.4

System-wide Support Functions

Technology and Standardization Recommendations

In order to operate at the level of FTE's estimated above, the team assumed the following initiatives would be completed:

- Standardize Access Administration and Security
 - IT initiatives
 - Develop E-Doc workgroup management tools (e.g. search on user)
 - Develop E-Doc initiate, review, approve security requests
- Systems Management / Departmental System Development
 - Convert IUB department applications to the UITS enterprise application to eliminate redundant systems and support (e.g. Transcript Request, Immunization, etc.).
 - Extend use of targeted IUB departmental applications to other campuses (e.g. Annual Notification, Residency appeal online form, admissions, etc.)
- Reporting
 - Centralize resources
 - Implement improved reporting tools appropriate for self-service and different reporting levels and needs
- Standardize End User Training and Documentation

More detailed information about these initiatives is included in the appendix.

Role of University Student Services and Systems

The original report driving the SSI recommended that the new shared services organization be housed in Student Enrollment Services (now University Student Services and Systems). The reason for that recommendation is that, as a general principle, administrative matters affecting all campuses should be handled by University Administration (UA). Especially where there is a single data system (SIS), multiple demands on it, and significant enterprise risk associated with the function, a system-focused decision maker is essential to assure proportionate responsiveness to each campus's and UA's needs and general confidence in the system. A single, central organization also promotes fairness (and the perception of fairness) in setting priorities; clear lines of authority and accountability; avoidance of duplication of expertise and activities; consistency in reporting, both internally and externally; enhancement of systems that benefit from enterprise-wide adoption; interoperability of systems for all users of SIS; and standardization of back office business processes.

UITS and USSS work very closely together to insure that SIS operates and is updated properly. The central role of USSS allows the enrollment and academic needs of UA and the campuses to be expressed to UITS with a single voice, and for UITS to work more effectively with a single "customer" in its role with SIS. In addition, USSS can provide expertise to the enrollment and academic functions to allow them to express their needs effectively to UITS data architects and software developers. This approach will diminish the go-it-alone campus specific SIS development which has resulted in shadow systems, duplication, and inefficient use of resources. It is worth noting that both the FMS and HRMS systems have staff expert in specification on the functional side who successfully work in partnership with the development/programming staff at UITS.

Organization & Location Recommendations

The movement of student services functions into a shared services organization requires changes in organizational structure for both the shared services organization and potentially for the organizations that interact with it. While detailed organizational changes will be determined during the next phase of the project, there are some key organizational recommendations the team plans to pursue:

Organization Recommendation 1: The functions and FTEs in the proposed operating model shown as being included in the shared services center will all become part of University Student Services and Systems (USSS).

Organization Recommendation 2: There will be a single University Bursar to provide overall direction and unified policy and practice guidance to bursar operations. The University Bursar will work to ensure the standardization of business processes across all campuses for increased efficiency and better service to students while reducing costs. The project team recommends this position be finalized as soon as practical so they can help lead future phases of this project.

Organization Recommendation 3: There will be a single University Registrar to provide overall direction and unified policy and practice guidance to registrar operations. The University Registrar will work with all campuses on standardizing business processes and policies (if applicable) to ensure all IU campuses can deliver the best service to students while reducing costs. The University Registrar will oversee student records operations to eliminate the issue of having different campus versions of the same business process. The project team recommends this position be finalized as soon as practical so they can help lead future phases of this project.

The creation of the shared services organization within USSS also raises questions of where the team will be located. Location and space details will be finalized during the next phase of the project, but the project team makes the following key recommendations:

Location Recommendation 1: Most of the positions moved into USSS from this reorganization will be located at the Bloomington and Indianapolis campuses.

Location Recommendation 2: During detailed design, we will consider location of specific services and functions at other locations, particularly to take advantage of specific expertise where it may exist.

Governance Recommendations

One of the key features that differentiate shared services from traditional centralization of functions is organizational governance. True shared services organizations include customers in their structure and routine management/oversight processes, usually through advisory bodies that meet regularly with different parts of the shared services organization.

Accordingly, the project team recommends the following bodies, all of which already exist at IU, be incorporated into the governance of student services

Academic Leadership Council

- The Academic Leadership Council (ALC) consists of Vice Presidents, Deans, Vice Provosts, and Vice Chancellors. The ALC provides academic direction and priorities for system-wide activities.

USSS Council

- The USSS Council consists of enrollment officers from all IU campuses, plus USSS, UITS, and FMS representation.
- This committee will advise the USSS on the following topics regarding delivery of student services at IU:
 - Advise USSS leadership on campus issues and business needs
 - Provide feedback on student information systems (SIS) proposals and updates
 - Facilitate communications regarding systems, compliance, and student issues
 - Work in partnership on improvements to student systems with a focus on student recruitment and retention

Enterprise Student Systems Executive Committee

- The ESSEC consists of faculty and staff from USSS, UITS, FMS, and the campuses.
- This committee will advise the USSS on the following topics regarding delivery of student services at IU:
 - Establish and sustain a vision for the evolution of student-related electronic services at IU in accordance with ALC directions and priorities
 - Prioritize near (3-6 months), medium (6- 12 months), and longer (13-24 months) term goals in support of the vision
 - Consider proposals for achieving the above goals
 - Affirm or modify priorities on such proposals established by functional council(s)
 - Consider projects suggested by executive leadership outside normal functional council process
 - Consider policy questions that may arise from change and referring those with a recommendation to the appropriate governing organization(s) for consideration and possible implementation

Service Level Agreement Recommendations

Another key differentiator between true shared services organizations and centralization is the use of Service Level Agreements (SLAs). The project team recommends that SLAs be created during the next phase of the project. The SLA is similar to a contract in that it defines the expectations of both the delivery organization and the customer, and governs the process to meet those expectations. Meeting the expectations of the SLA will be the top priority of the new shared services organization. Each SLA will differ depending on the particular service and customer needs, but the project team recommends that most contain the following elements:

- Business Objectives - explains the purpose and goals of the relationship between the USSS and the campuses
- Service Listing & Responsibility Matrix - defines the specific services to be provided and designates who is responsible for performing each service task
- Key Performance Measures – defines the performance goal and measurement formula for each specific service
- Service and Performance Reporting Approach - outlines the reporting objectives, deliverables, and process to report
- USSS Contacts - identifies the key contacts within the USSS and explains their responsibilities.
- Customer Service Support - identifies the functions that will be in place to support customers and the process for using these functions

Implementation Approach

Shortly after discussion and consideration of this report, the project team will develop a plan and schedule for the intermediate steps to final implementation of the new operating model and other recommendations. The target date for final implementation is the beginning of FY 2013-14. The team has considered various approaches to that implementation, and offers the following recommendations to guide development of the plan:

Implementation Recommendation 1: Functional system development, security, and reporting are shared services that should reside in USSS, and there is no serious obstacle to making such a move immediately. The benefits of such a move will also be realized quickly. The movement of staff to USSS should occur in early 2012.

Implementation Recommendation 2: The project team should categorize business processes based on considerations of the academic calendar and the level of change required in the areas of supporting technology and process standardization. Business processes requiring little or no change should be considered for movement into the USSS as soon as practicable.

Implementation Recommendation 3: The goal is for all business processes to move into the shared services model for the FY13/14 budget cycle. Where implementation is not possible, a timeline will have been determined.

Redesigning Campus-Based Services

A key recommendation from the original benchmark study was that campuses develop a ‘one-stop shop’ approach for the student services remaining on campus. Each IU campus is at a different stage in implementing a one-stop shop with IUPUI having the most advanced model today. Each campus will be responsible for developing its own plans and approaches to implementing the ‘one-stop shop’ approach using the shared services model to support back office processing.

The standardization and automation of back office processes with a focus on self-service will result in fewer student/family issues and questions when navigating financial aid, admissions, student records, advising, and bursar operations at each campus. Shared services allow campus staff to focus on individual student issues through a new combined service model instead of non-strategic, back office processing.

This fall, campus leaders attended one-stop shop conferences in addition to visiting other universities to see how a new service model could provide improved service to students. The project team recognizes, however, that each campus is likely to pursue the one-stop shop on its own schedule, and will therefore have to provide coordination and support as needed in a variety of ways over the next few years. The one-stop shop concept will be further defined with the implementation of Phase III of the project.

Next Steps

There are many recommendations throughout this report. There is clearly a great deal of work required to implement them. To get started, the project team recommends pursuing at least the following next steps:

- Circulate and present plan for input and consideration from broader university community
- Develop details and post for the recommended position of University Bursar
- Develop details and post for the recommended position of University Registrar
- Develop more-detailed plan and schedule for Phase 3 for remaining business process groups
- Estimate resources needed to complete Phase 3 – assign and/or acquire those resources
- Conduct preliminary analysis of the “other administrative and academic support units” to substantiate the estimated recoverable savings potential
- Analyze ways to start to ‘harmonize’ academic policies across campuses
- Develop more-detailed estimates and schedules for implementing the recommended changes to supporting technology to realize the full value of the move to the shared services model.

Appendix

Module Business Process Summary Inventories

The following tables list the detailed business processes within each function and business process group that the project team analyzed:

Financial Aid Business Process List

Award Management and Processing

- Alternative Loans
- Consortium agreements
- CVO
- Dependency Verification
- Direct Loan Processing
- Disbursement Override Management
- Financial Aid Notification Generation
- Institutional and Title VII-VIII Loans
- Loan Proration
- Mass Packaging
- Missing Information Letters (MIL)
- Over-awards
- Overseas Study Awarding
- Packaging Audits
- Pell Grant Processing
- PLUS Loan Processing
- Quality Assurance
- Repeat Coursework Monitoring
- Special Circumstances
- Special Populations of Students
- SSACI Gear-up Processing
- SSACI Grant Processing
- SSACI Part Time Grants
- SSACI Scholarship Processing
- Summer Aid Processing
- Verification

Ongoing Tasks and Processes

- Call Center (IUPUI)
- Client Contact
- Document Management, Imaging and Filing
- FISAP
- Income Verification Forms
- Incoming Correspondence Processing
- ISIR Processing

- ISIR Reject and C Flag
- Loan Entrance Counseling
- Loan Exit Counseling
- Orientation
- Outreach
- Reapplied Refunds
- Review Public Website

Planning and Setup

- Establish Cost of Attendance for Academic Year
- Establish Cost of Attendance for Summer
- Expenditures for Campus Base Aid
- Expenditures for Institutional Aid
- Item Type Management
- Maintain Control Tables
- Policy and Procedures
- Publications
- Review Packaging Plans, Item Types, Disbursement Rules, Disbursement Dates and Award Messages
- Review Student Consumer Information

Reconciliation and Clean Up

- Cancellation of Aid
- R2T4 Unofficial Withdrawals
- Return of Private Loan Funds
- Work-Study Awarding and Reconciliation
- Work-Study Management and Employer Relations

Satisfactory Academic Progress (SAP)

- SAP Communication and Appeal processing
- SAP Setup and Evaluation

Scholarships and Fee Remissions

- Departmental Award Management
- External Award Management
- New Student Award Management
- Scholarship Fee Remission Renewal Management

Admissions Business Process List

Applicants

- Admissions Counseling
- Application Processing
- Application Processing Readiness Planning
- Athlete processing
- Cancel Applications
- Collect/Process Application Fees & Waivers
- Criminal Disclosure Review

Decision Letter Process
Maintain Test Credit Articulations
Matriculate Admits
On-Base Imaging/Workflow
Orientation for New Applicants
Post Decision Updates
Receive/Process College Transcripts
Receive/Process High School Transcripts
Receive/Process Other/Miscellaneous materials
Record Intent to Enroll
Scholarship processing
SEVIS/International review
Test Credit Processing
Transfer Credit Processing

External Org Management

Create School Organizations
High School Counselors (ext. org contacts)
Maintain External Course Catalogs
Maintain Transfer Credit Articulations

Global Functions

Create Person
Load Test Score
Parent Records and Processing

Recruitment

Admissions Materials Requests
Campaign Development & Management
Manage Prospects
Manage Recruiters
Manage Recruitment Inventory
Manage Suspects
Recruiting Events
Volunteer Coordination

Other Admissions Processes

Professional Development
LSP/Technical Support
Maintain and Update Control Tables
Administration (HR activities, Fiscal officer, purchasing, management, etc.)

Student Records Business Process List

Curriculum Management Processes

Maintain Academic Structure and Support Academic Policies
Develop, Publish, and Maintain School Bulletin(s)
Maintain Course Catalog
Schedule of Classes Build
Room Scheduling and Maintain Schedule of Classes
Class Enrollment Access Controls

Manage Enrollment Processes

Establish Academic and Operational Calendars
Develop and Publish Academic and Enrollment Information Bulletin (s)
Pre-Registration (Student Term Setup)
Registration Operations (Pre-Registration --> Drop Retain (end of 1st Wk.)
Maintain Academic Enrollment (Drop w/ Penalty --> Fully Graded, Approval Required)
Collect and Distribute Class Attendance Data
Collect and Respond to Student Performance Indicators (SPF, Mid-Term)
Block Enrollment Processing

Records Management Processes

Bio-Demographic Updating (e.g., Names, etc.)
Review and Determine Residence Classifications
Transcript Production
Evaluate and Record Transfer, Test, & Other Credit
Final Grades Processing
Enrollment and Degree Certifications
Program/Plan Updating
Document Management Imaging, Filing, and Archiving
Historical Records Management

Degree Completion Processes

Determine Academic Standing (Probation, Dismissal)
Degree Processing
Determine Honors
Support Campus Ceremonies

Compliance Management Processes

Audit SIS and IUIE Data
Policy Interpretation/Enforcement
Athletic Certification
Immunization
Annual Notifications
Veteran's Affairs Processing
Citizenship Verification

Record Services and Customer Support

Other Registrar Office Business Processes/Activities

Batch Processing
Run and Maintain Data Feeds
Maintain and update SIS Control tables
Professional Development
Inventory Management and Purchasing

Academic Advising Business Process List

Monitor Degree Requirement Processes

Build and Maintain Academic Advisement Reports (AAR programming)
Maintain Student Exceptions

Academic Records Management

Milestones
Repeat Rules
Advising Contacts (inactivate)
Assign individual students to academic advisor or advising office (Advisor Assign)

Policy Interpretation and Consultation Processes

Provide service to faculty curriculum/policy committees
Professional Development

Develop and conduct training

Academic Advising Functionality training

Other AA System Processes

Data Uploads (PRAXIS)
Audit SIS and IUIE Data
Manage and maintain SIS Control tables (CTM)
Document management imaging and filing

Student Financials Business Process List

Fee Assessment

Calculate Tuition & Fees

Billing

Student Billing
Customer Service
Account Integrity

Payment/Charges

Cashiering
Post Charges and Payments
Write-Off

Returned Items
Late Fees
Deferral Contracts
Short Term Loans
Guaranteed Tuition Certificates (GTC)

Financial Aid

Authorizations - Title IV
Scholarships
Repayments (aka R2T4)
Private Loan Processing
Third Party Contracts
TPC's Deptl Fee Remissions
External Third Party Sponsors

Refunding

Stop-pay/Reissue, Stale-dated checks
Refunding

Collections

Collections
Account/Reconciliation
Reconcile GL Accounts
Item Type & RC String Maintenance

Campus Community / Other Processes

Bio/Demo Data Maintenance
Batch File Processing
Veteran's Chap 33

System-wide Processes

System-wide

Communications w/various audiences
Duplicate Record Resolution
Suspense File Management
Access Administration and Security
End User Training and Documentation
Production Support
Reporting
System Management

Additional Details on Technology and Standardization

More details and explanatory notes are provided below about the recommendations for changes in technology and standardization that were assumed in each part of the operating model. Putting these changes in place will be an important part of detailed planning for the implementation phase of the project, and sequencing these recommendations with the move to the shared services model.

Admissions

- Document Imaging and Workflow
 - Implement system-wide for all Admissions office
 - Implement OCR technology to pull data from imaged documents
 - Implement reporting tool to enable better business intelligence on processing status and enable for the real-time tracking of performance
- Transfer Credit Processing
 - Eliminate redundant systems
 - Improve process and systems that support transfer credit articulation rules
 - Develop electronic interface with Ivy Tech (automate batch feed) into SIS
- Complete Lifetime Engagement CRM implementation
 - Complete implementation of CRM for admissions office (migrate IUB from Hobson's to Talisma)
 - Implement event management to better support campus visits, orientation, counseling appointment, events, and various other points of registration in a self-service environment for prospective students
 - Implement a self-service environment for students to manage their application process, communication preferences, and pay enrollment deposits more easily and allow us to use information from these interactions to streamline communications to them
 - Streamline suspect management processing
 - Add audiences beyond students – high school counselors, parents, faculty and staff, alumni recruiters
- Admissions Application Processing
 - Standardize process so that the amount and manner of data recorded is consistent (such as high school units/courses recorded).
 - Implement data entry forms that are built specifically to each task to minimize the time it takes to enter, edit and update data in the system.
 - The manner in which returning and intercampus transfer student applications are processed could be implemented consistently across the system.
 - Imaging and workflow
 - Implement the utility that facilitates integration between Student Information System (SIS) and On-base Optical Character Recognition (OCR) to lessen dual data entry and provide near-real time data sharing.
 - Provide mechanism to share high school and college transcripts across all campuses
 - Lessen the burden on the student to provide data duplicated throughout the system
 - Implement high school and college transcripts electronic transmissions where available
- Systems integration.
 - As new systems come online or are developed, the manner in which data flows between them should be seamless and consistent. A data-hub which facilitates the flow of data between systems could be reviewed for efficiency and consistency of integration strategy across enterprise systems.

- Fulfillment/Mailing
 - Provide centralized or coordinated contract for mailing and materials storage.
 - Investigate the potential from a consolidated contract for outsourced mailing/fulfillment.
- Address Verification
 - Extend address verification to Admissions application, Lifetime Engagement (IU's Constituent Relationship Management tool), non-SIS applications
 - Provide module/widget for extensible use
 - Add NCOA verification as part of the process so campuses do not need to outsource this requirement (must be updated every 90 days).

Student Records

- Room Scheduling and Maintain Schedule of Classes / Schedule of Classes Build
 - Develop an online collection process that may be tailored for each campuses' requirements to be used for both the original schedule of classes creation (build) and ongoing updates in order to support the high volume of transactions involved.
 - Determine the extent to which the single class and event assignment might be improved through distribution of the process (through new development) to the personnel who initiate those requests. The project to upgrade Ad Astra software is integral to streamlining process.
 - Standardize and require use at all campuses (e.g. do not permit a campus to opt out of using the new processes).
 - Enhance process efficiency with the addition of an application that collects the schedule of classes' information including all pieces that control which students may enroll, under what circumstances, which prerequisite courses have already been taken, which class permissions have been granted, etc. (eligibility requirements), enables a review of the information by expert staff and applies the updates directly to SIS. Staff would support all aspects of the data collection process, edit the results, insure adequate operation in enrollment and other integrated functions (e.g., FA and SF) and deal with exceptions and problems.
 - Assist Academic Units with improved electronic documents and more batch processes.
- Historical Records Management / Document Management Imaging, Filing, and Archiving
 - Develop and implement Quali workflow processing, linked with and connected to the SIS data records, to allow the electronic submission, review/approvals, and online record updating of additional processes:
 - Extended-X Policy/Grade Forgiveness processing which allows a student to retake a course in which a grade less than an A was earned, and replace the GPA values of the first course with those earned in the retaken course
 - Online Pass/Fail requests submitted by students, to enable a student to receive on the transcript either a P (for grades A+ - D-) or F (for grades of F) for academic performance in the course.
 - Graduate Credit Transfer work, so that post-baccalaureate courses taken elsewhere may be reviewed, articulated to IU coursework, and loaded to the academic record.
 - Implement a document management solution and/or imaging technology to manage the indexing, storage and retrieval of Student Record-related forms.
 - Implement enterprise solution for all Registrar offices to replace the IUB home-grown imaging system;

- There are ~46,100 student record updates manually processed per academic year on the Bloomington campus, an example of the number of paper forms that can be imaged.
 - Need to develop standardized process to scan and validate documents at point of entry
 - Maintain Current Term Academic Enrollment From End-of-First-Week/Official Census through the end of the term (Fully Graded Date) when term grades become part of the official transcript
 - Specific improvements include the enhancement of eDrop and eAdd workflow processing:
 - Automate the electronic drop requests, submitted after -Automatic Withdrawal Deadline (Auto W) until final grade rosters are created, allowing faculty members to report the correct drop grade (W or F) based on Faculty Council Policy
 - Automate the reminder notification to personnel who have not evaluated and acted upon an eDrop/Add by the 7th day after its submission, and the expiration of the uncompleted request after the 14th day,
 - Automate the electronic drop option so that a drop is processed during a specific time period (during Auto W) even though the add submitted at the same time is disapproved. Currently functionality will not allow the drop to be processed unless the ‘contingent’ add is also approved and processed.
 - Automate administrative requests, to enable schools and departments to request scheduling changes, late registrations, and late drops, including the dropping of all classes during a term, to accommodate enrollment management needs of the schools and departments, to correct for administrative enrollment errors, etc.
 - Allow instructors to receive, review and enter their approval decisions via Oncourse, as a second option to the current Quali Action List
 - Implement # 1 & # 2 on all campuses
 - Veteran's Affairs Processing
 - Standardize across all campuses given complexity of process
 - Develop centralized expertise to support all campuses
 - Eliminate paper-based processes with electronic forms and use imaging
 - Use Lifetime Engagement (CRM) for communications
 - Program / Plan Updates
 - Process efficiency could be greatly enhanced with the addition of workflow based program/plan application. This would enable requests for PPS updates (e.g. major, second major, minor, school changes) to occur in the academic units, reviewed by experts and applied automatically if update is routine. Staff would deal with exceptions and problems.
 - Provide a simple front-end page in the Student Center to allow students to review their current expected graduation date (critical for financial aid packaging, school compilation of tentative degree candidates, etc.) and enter corrections/updates as needed.
 - Degree Processing
 - Use Lifetime Engagement CRM for mailing invitations to student
 - Develop self-service application for students to maintain anticipated graduation term; expand use of the batch degree updating processes delivered by Oracle PeopleSoft
 - Develop new “Apply for Graduation” application for students to apply for graduation that can be used by all campuses and schools; potential to eliminate redundant department systems
 - Provide additional efficiencies to schools through various technology or automation improvements to facilitate their processes and, potentially, decentralize some processes to the school units

- Leverage Academic Advising 's Degree Audit Report (AAR); reference AA Document Build and Maintain Academic Advisement Reports (AAR programming); Register by Requirements functionality will tie into improved degree audits.

Academic Advising

- Given the goal to improve student services and retention, the Centralized Academic Advisement Report Programming (degree audit requirements) initiative is needed.
 - This will accomplish:
 - A significant increase in the number of audits programmed at IU, which promote student learning and persistence to degree
 - Improved usability for students by increasing consistency in the appearance and functionality of audits at IU
 - Increased efficiency in support of problems reports and in regression testing of AAR for each regular upgrade.
 - The development of over one thousand plans at the graduate and undergraduate level across all campuses
 - It will take approximately 4 new FTE on a one-time basis to complete this work in a 3-4 years period; it will take approximately 2 new FTE to maintain the degree audits on an on-going basis.
- Current development efforts underway to provide new academic advising services
 - Academic Advising Records system
 - Create new opportunities to improve student service, learning, retention and success through delivery of new tools
 - Promote advising best practices and thus student services through standardization
 - Eliminate need for duplicate departmental advising systems through development of enterprise academic advising records systems
 - Track processes to varying degrees within a specific school or unit.
 - Implement FLAGs – Fostering Learning Achievement and Graduation Success system
 - System will support retention and success efforts and elevate campus academic culture
 - Will lead to improved student relationships with faculty and staff

System-wide Support Functions

- Access Administration and Security
 - Standardization
 - Better coordination of limited functional and technical resources for managing security policies,
 - Better alignment of user security profiles with job responsibilities minimizing risk to units (role based access)
 - Single point of coordination for security management
 - Better controls for security oversight
 - IT initiatives
 - E-Doc workgroup management tools (e.g. search on user)
 - E-Doc initiate, review, approve security requests
- Systems Management / departmental system development
 - Use regression testing tools
 - Convert IUB department applications to the UITS enterprise application to eliminate redundant systems and support (e.g. Transcript Request, Immunization, Hydrus, etc.).

- Extend use of targeted IUB departmental applications to other campuses (e.g. Annual Notification, Residency appeal online form, admissions, etc.)
- Implement E-Doc and workflow for module area control table values (e.g. service indicators, student groups, item types, etc.)
- Reporting
 - Centralize resources to provide support reporting demands across all campuses including pre-defined queries, ad-hoc queries
 - Develop deep subject matter experts that will support all campuses, university offices
 - Deliver tools on multiple levels
 - For Campus/School level Decision Makers: BI tools and common set of definitions/reports and dashboard reports would be very beneficial
 - For Academic Unit personnel: Expansion of the IUIE (other toolset) to include a finer ability to mix and match tables and attributes of those tables
 - For Administrative/operational units: Continued access to DSS and ODS tables to deal with data problems and remediation.
- End User Training and Documentation
 - Standardization
 - Develop and maintain standardized business process documentation
 - Use the central repository for users across all campus/offices to house both local and enterprise documentation.
 - Develop “new user and staff Orientation” training materials and sessions as needed
 - Develop job aids, checklists, overviews, etc. by role (role based training)

Example of Business Process Review

The following pages show selected examples of the business process reviews the functional teams completed. There is a separate analysis for every business process listed in the previous section of this appendix. The full set of analyses is available for review on the project team's SharePoint site.



Student Services Initiative

SSI Business Process Evaluation Form

L1	Functional/Owning Area: Financial Aid		
L2	Process Name/Number: Mass Packaging		
	Phase 1	Start date: 07/14/2011 SM	Last updated date: 08/04/2011 SM

Brief Description: Award student's financial aid using an automated process that handles large numbers of students at once

Name/campus of recognized functional experts / resources:

Cheryl Lloyd (USSS), Steve Martino (USSS), Melissa Myers (BL), Melissa Pollauf (IN)

L3 - Process Activities List (Steps):

Activity	X-mod?	'As-Is' (S/L/C)	Recommended (S/L/C)
1. Rollover of control table values from prior aid year		S	S
2. Identify changes needed for new aid year packaging		L	L
3. Make changes to packaging plans		C	S
4. Test and verify setup		C	S
5. Run in simulation mode for campus review		C	S
6. Review results and funding levels of simulation run		L	L
7. Sign off on packaging results		L	L
8. Run Mass Packaging on a weekly basis		C	S
9. Post packaging audits		L	C

Identify the customer or audience:

Financial Aid Office

Describe current systems (enterprise, local, external) utilization and level of automation. Does this process utilize self-service options?

Student Information System, IUIE and PS Query. No self-service options for this process

Rate the following (Scale 1 – 5, low to high):

Score	Descriptor
5	Degree of necessary campus differentiation / specialized needs
5	Level of risk (consequence of error or failure)
5	Subjective decision making required
5	Level of external oversight (Dept. of ED, State, accreditor, etc.)
1	Volume (e.g. transactions)
5	Level of 'touch' (personalized service)
1	Time spent on exception processing (may reference other processes)
3	Process supports uniform policies across all campuses
2	The process requires unique expertise but is executed infrequently

Quantify transaction volume:

70% of IU students on aid, 95% of these students would go through the Mass Packaging process

Calendar notes if process is cyclical – identify:

- Annual planning/start up and end periods: Start-up January prior to start of academic year, runs through the end of the academic year
- Cycle overlap periods: March through August of each calendar year, multiple aid years are being processed
- Approximate month in which a change would have to be rolled in if a process were to change: December for upcoming aid year

Quantify approximate FTE required across the system for the current process by campus, headcount and percentage of time:

- Setup: 1.5 FTE January – April
- Ongoing: .5 FTE

.82 FTE Total

Justification for shared service:

- No duplication of effort
- Standardize the process
- Increase efficiency

Justification for local service:

- Potential decrease in flexibility and responsiveness

Classification decision:

_X_Shared

__Local

__ Combination

Rationalization for classification decision:

Majority of the setup and execution of this process is the same across all 8 campuses. There is differentiation in what awards and the selection criteria of these awards across campuses, but that is currently handled across 5 campuses and should not be an issue for the other campuses not currently being processed in a shared service model.

Describe potential for automation or increased automation, or self-service options:

The report that currently identifies students, who are attending spring only, could be automated as part of the Ready to package process. This is currently an IUIE process which requires time to run and update the SIS with the results. If made part of the ready to package process, then all aspects of packaging could be done solely in the SIS. This would make the process much more efficient.

Resources / Reference documentation:

PeopleBooks, USSS Documentation, Campus Documentation

Comments/Notes:

Student Services Initiative Project staff

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Project Director

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Becky Porter, Executive Director of Enrollment Services and Associate Vice Chancellor for Student Services, IUPUI
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