

# THE UNIVERSITY OF IOWA

## REVIEW OF THE OFFICE OF THE SENIOR VICE PRESIDENT FOR FINANCE AND OPERATIONS

March 27, 2019

---

Joseph Yockey, JD (Chair)  
University of Iowa  
College of Law

Ramji Balakrishnan, PhD  
University of Iowa  
Tippie College of Business

Brian Burnett, PhD  
University of Minnesota  
Senior Vice President, Finance & Operations

Barbara Eckstein, PhD  
University of Iowa  
College of Liberal Arts & Sciences

Megan Foley Nicpon, PhD  
University of Iowa  
College of Education

Alicia Gerke, MD, MBA  
University of Iowa  
Carver College of Medicine

Lia Plakans, PhD  
University of Iowa  
College of Education

## I. Introduction

This academic review of the Office of the Senior Vice President for Finance and Operations (“F&O”) is done in accordance with Section 28.4 of the University of Iowa Operations Manual.<sup>1</sup> During the Fall 2018 semester, the President’s Office and Faculty Senate leadership formed a committee charged with reviewing F&O and the current Senior Vice President for F&O, Rod Lehnertz. The present report concerns only F&O. It will remain publicly available on the Faculty Senate’s website. The report on Senior Vice President Lehnertz constitutes a confidential personnel record that will be filed separately with the President’s Office.

### a. Process

As set forth in the Operations Manual, the academic review committee consisted of six faculty members and an external reviewer.<sup>2</sup> Faculty Senate Secretary Joseph Yockey (College of Law) served as the committee’s chair. The committee’s faculty members were Ramji Balakrishnan (Tippie College of Business), Barbara Eckstein (College of Liberal Arts and Sciences), Megan Foley Nicpon (College of Education), Alicia Gerke (Carver College of Medicine), and Lia Plakans (College of Education). Brian Burnett, the Senior Vice President for Finance and Operations at the University of Minnesota, kindly agreed to serve as the committee’s external reviewer.

The Operations Manual requires that the review of F&O begin with a self-study prepared by that office and shared with the committee. F&O’s self-study was completed in early Fall 2018 (attached to this report as Appendix A). The committee’s review of the self-study prompted a request for additional information. The committee’s written request is attached as Appendix B. This request led to the production of several additional documents related to F&O’s budget and responsibilities.

Next, the committee drafted a series of questions for use during the fourteen on-site interviews that took place on campus from December 3-6, 2018. The interview schedule is attached as Appendix C. After the interviews were completed, a few committee members had brief follow-up conversations with various members of the campus community to clarify issues that arose during the interviews.

---

<sup>1</sup>Reviews of Central Administration, Chapter 28.4, University of Iowa Operations Manual, *available at* <https://opsmanual.uiowa.edu/community-policies/academic-review#28.4>.

<sup>2</sup> The committee also wishes to recognize Laura Zaper, Administrative Services Coordinator for the University of Iowa Faculty Senate. We are immensely grateful to Laura for her guidance and outstanding support throughout the review process.

The committee also distributed two electronic surveys to various campus stakeholder groups. One survey went to all faculty with appointments of at least 0.50 FTE (tenured, tenure-track, clinical, research, instructional, adjunct). The second survey went to approximately 150 university administrators and staff members who were identified as having routine and direct contact with F&O personnel. Copies of both survey templates are attached as Appendices D and E, respectively.

*b. Organization*

What follows is a record of the committee's findings and recommendations. Part II of the report provides a summary of the information learned during the on-site interviews. F&O is a large unit with a diverse range of responsibilities, including some that defy easy categorization within a single unit or division. Thus, for ease of reference, Part II contains three sub-parts: (a) *Finance*, (b) *Operations*, and (c) *Decision-Making and Organization*. Part III then describes the quantitative results of our surveys, as well as the qualitative and narrative comments received from respondents. Finally, Part IV sets forth the committee's recommendations.

**II. Interview Findings**

*a. Finance*

The finance services provided by F&O relate to the university's controller and treasury operations,<sup>3</sup> budget management,<sup>4</sup> real estate management (acquisitions and leasing), contracting, purchasing, risk management, accounts payable, flood recovery, and travel and expense reimbursement (i.e., Shared Services). Our primary source of information about these activities came through a series of interviews with Rod Lehnertz (Senior Vice President for F&O), Terry Johnson (CFO and Treasurer), Cynthia Bartels (Director, Treasury Operations), Susan Klatt (Director, Financial Management and Budget), Cathy Hagen (Director, Budget Development), and Debby Zumbach (Associate Vice President and Director, Purchasing and Business Services).<sup>5</sup>

To gauge the impact of F&O's finance responsibilities on faculty and other university stakeholders external to the office, the committee also spoke to Peter Matthes (Senior Advisor to the President and Vice President for External Relations), Laura McLeran (Senior Advisor to the

---

<sup>3</sup> Accounting, banking and cash management, billing and loan collections, bond indebtedness, research post-award administration, investment oversight, internal and external reporting, financial system oversight, financial planning and analysis, and strategic planning and analysis.

<sup>4</sup> Developing and implementing the university's annual operating budget.

<sup>5</sup> As previously noted, F&O is a large office with over 1,000 employees. The committee's review occurred under time and scheduling constraints that made it impossible to interview everyone in the office who might have been able to provide important information. Thus, no significance should be attached to the absence or inclusion of specific individuals from our list of interviewees.

President and Associate Vice President for External Relations), Don Szeszycki (Director of Administration and Planning, Office of the Provost), and Sarah Gardial (Dean, Tippie College of Business). Both sets of interviews were aided by our review of F&O's self-study materials.

### 1. Positive Attributes

Overall, F&O performs its finance services well. The staff members we spoke to appear well-intentioned and committed to advancing the university's best interests. F&O's senior leadership team is stable and possesses longstanding institutional knowledge. Its members are positive ambassadors for the university. They represent the institution capably and intelligently when interacting with students and faculty, state and local government leaders, the Board of Regents, alumni, and the public at large.

Many of our interviews focused on the university's new modified resource-centered budget model ("new budget model"). F&O's leaders are clearly optimistic and enthusiastic about the new model. They believe it will facilitate better strategic planning and greater financial transparency at the university. To that end, they expect to initiate the development of a new university-wide electronic budget management tool in early 2019. Colleges and departments currently rely on varied and idiosyncratic budgeting tools—a dynamic that leads to inefficiencies and a lack of standardized metrics. The new tool is expected to mitigate these concerns by allowing for more consistency in financial reporting across campus. Individual colleges/units will be required to submit certain financial information so that the system will allow for global budget tracking throughout all facets of university activity.

F&O interacts with virtually every component of the university, and interviewees from other campus units report that the office provides timely responses to inquiries and makes available the data necessary for good financial decision-making. F&O was particularly praised for keeping the President's Office well-informed during events that produce financial strain or logistical complexity (e.g., severe weather, flooding, construction projects, public safety threats, public demonstrations, and major academic and social events). There also appears to be good rapport and communication between F&O, the Provost's Office, and the collegiate deans.

Furthermore, F&O leaders are not remaining idle in response to the serious financial pressures facing the university. They are committed to finding new sources of budget efficiency, cost-savings innovations, and opportunities for financial growth. For example, even though F&O is not meant to be a proactive source of new revenue under the new budget model—that obligation falls to the colleges—its leaders are nonetheless exploring ways to build profits by monetizing proprietary software and management programs for use by third parties.

## 2. Opportunities for Improvement

Despite the many positives that we identified in the execution of F&O's finance mission, there is room for improvement. The most immediate area where the committee recommends change relates to communication. Outside of the President's Cabinet and the Council of Deans, there continues to be widespread confusion among faculty, staff, and students about the structure and mechanics of the new budget model. This represents a significant missed opportunity. Nearly every person interviewed by the committee stated that the new budget model was implemented too quickly and without adequate explanation. To the extent that information has been shared with campus stakeholders, it is often described as ambiguous or incomplete. Interviewees report hearing mixed-messages about the model's impact and operations depending on who they speak to from F&O, the Provost's Office, and the President's Office. Even within F&O, many believe that the new model is not being explained well. Some feel that the office's initial target audience of deans and collegiate budget officers was far too narrow. Other university constituents worry that the failure to adequately educate faculty about the model will create unhealthy silo effects and hinder interdisciplinary work across colleges as individuals attempt to protect the revenues originating from their academic "turf."

Recommendation: The committee recommends that F&O *reformulate its approach to communicating budget and financial information to the rest of campus*. A specific suggestion is for F&O to *consider crafting a short video for the internal campus community that explains the new budget model* in clear terms and provides examples of how it will operate in specific scenarios. This effort could be based on the existing explanatory budget video created by External Relations for use on the main university website.<sup>6</sup> A similar idea is for F&O to *establish a regular series of open forums (or "financial academies") on the topic of university finance*. These programs operate at several of our peer institutions, and, when done well, they enable faculty, staff, and students to gain a better understanding of the unique financial and budgetary issues that arise in the university setting. The programs can also bolster the financial acumen of faculty and staff members who wish to become deans or administrators in the future but currently lack opportunities to gain significant budgetary experience.

An additional note about the new budget model involves the role of the collegiate budget officers. The committee observes that college budget officers do not have a direct or dotted reporting line with anyone in F&O. Instead, the officers report to the deans of their colleges. From the perspective of dean autonomy and responsibility, this arrangement seems reasonable. Deans are the ones charged with generating revenue under the new budget model, and they presumably need to maintain control over the collegiate budget personnel responsible for helping them execute

---

<sup>6</sup> *The University of Iowa Budget, Explained*, <https://www.youtube.com/embed/DUVRzIfRC9g> (last visited January 24, 2019).

their financial strategies. However, some committee members wondered whether the current reporting structure might create communication challenges between F&O and the colleges in the absence of a dotted reporting line relationship between central administration and the individual collegiate budget officers. Accordingly, while the committee does not recommend making any changes to the reporting structure at present, we feel that forming an ad hoc task force to engage in a deeper study of the issue may be appropriate.

Recommendation: The committee recommends *convening an ad hoc task force that includes representation from the Council of Deans, F&O, the Provost's Office, and the President's Office to review the reporting structure for collegiate budget officers.*

The committee's final finance recommendation is to consider the creation of a university Office of Institutional Research and Data. Admittedly, a full consideration of this proposal would require a discussion with stakeholders about issues outside of the scope of this report. However, we mention it here because our interviews made clear that there is no straightforward way for colleges to collect university-wide financial information. A college hoping to find current or historical budget information must gather numerous reports from different offices within the central administration. Moreover, interviewees note that the reports they receive often show conflicting results or figures despite purporting to contain the same information. The budget management program that F&O expects to launch this year will, we hope, help the university maintain consistent financial data across campus, but its efficacy will depend on the ability of colleges to make meaningful use of the information it collects. An Office of Institutional Research and Data would go far toward facilitating that important objective.

Recommendation: In order to centralize and standardize the collection and reporting of institutional data, the committee recommends the consideration of a new *university Office of Institutional Research and Data.*

#### *b. Operations*

The main areas of campus operations that F&O directs are facilities management, campus planning, design and construction management, utilities and energy management, public safety, printing and mail services, laundry service (for UIHC), and parking and transportation services. The committee spoke to the following F&O personnel who engage with or oversee these functions: Rod Lehnertz (Senior Vice President for F&O), Don Guckert (Associate Vice President and Director, Facilities Management), Debby Zumbach (Associate Vice President and Director, Purchasing and Business Services), Lynne Finn (Director of Business and Financial Services, Facilities Management), Scott Beckner (Assistant Vice President and Director, Public Safety), and Sadie Greiner (Director of Design and Construction, Facilities Management).

Further, the committee gained additional awareness of F&O's operational impact on other university constituents by speaking to several individuals outside of the office: Jerry Anthony (Faculty Chair, Campus Planning Charter Committee), Don Szeszycki (Director of Administration and Planning, Office of the Provost), Laura McLeran (Senior Advisor to the President and Associate Vice President for External Relations), and Sarah Gardial (Dean, Tippie College of Business).

### 1. Positive Attributes

With respect to the role of Facilities Management ("FM"), interviewees were nearly unanimous in their praise for the unit's approach to customer service and work-order management. Colleges and departments enjoy considerable flexibility to plan and adjust their facilities and landscaping budgets in line with specific goals or strategies. Relatedly, FM's formal network of building coordinators is seen as an important and productive resource. The network provides FM with a clear conduit for faculty dialogue so that both sides can discuss each other's needs, limitations, and abilities. For example, the building coordinator network has proven vital in helping FM understand how and when to provide energy services in accord with the unique operational needs of research laboratories that require around-the-clock power to sustain their experiments.

FM also appears to be proactively engaged in its own efficiency review. The unit is working to automate services wherever possible, and it is currently assessing whether some services can be eliminated or outsourced to generate cost-savings without detracting from the university's teaching and research missions. Similarly, FM recently collaborated with other campus units to reassign tasks that could be accomplished faster and more effectively elsewhere (e.g., classroom scheduling, key card access, and compliance with the Americans with Disabilities Act). FM further seems committed to maintaining and ensuring the transfer of legacy knowledge, and the committee was impressed by the unit's emphasis on providing training so that its personnel will be prepared to adapt to changing technology.

Recent innovations by the Department of Public Safety represent another area of operational strength within F&O. These innovations include the SHOUT program, NITE RIDE Express, and Rave Guardian. The SHOUT program—*Students Helping Out*—trains students to serve as security monitors at extracurricular events on campus and in downtown Iowa City. The program came about in response to financial constraints that make hiring and retaining full-time campus police officers an ongoing challenge. Its focus is on community service rather than law enforcement. For example, students working as SHOUT participants assist with bystander intervention, help to locate members of groups who have become separated or lost, arrange for students to find safe transportation home, and provide students with information about other campus safety services.

NITE RIDE Express functions like the popular Uber and Lyft mobile applications by allowing students to make ride requests from their phones or computers. The service costs \$1 per person, provides seating for up to three passengers, and takes passengers directly to their final destination.<sup>7</sup> Rave Guardian is also a mobile app-based program. It enables users to invite friends, family, or the Department of Public Safety to act as a virtual safety escort, or guardian, when they travel from one location to another on campus. The application also features a panic button that will dial university police directly when activated, as well as a texting option that gives students the ability to transmit safety concerns to the police department anonymously.

## 2. Opportunities for Improvement

In terms of areas for improvement in operations, one concern relates to shared governance and communication. Specifically, there appears to be a deteriorating working relationship between F&O and the Charter Committees on Campus Planning (“CPC”) and Sustainability.

Despite being one of the primary operations-related charter committees, the assignments that F&O sends to CPC seem mostly trivial (e.g., the layout of campus signage or the decision to remove a single tree). Indeed, over the past three years, the CPC reports that it has rarely been consulted on major building projects or real estate acquisitions. For instance, the CPC was not included in any meaningful discussions relating to the university’s arrangement with a private developer to build and operate the Aspire apartment complex on West Campus, nor was it consulted on any aspect of the university’s decision to purchase—and then later decide to sell—the University Club on Melrose Avenue. The CPC was also unaware until this review process that Lynne Finn will be succeeding Don Guckert as the director of FM. Even though Mr. Guckert attends most CPC meetings and remains the committee’s primary F&O contact, the CPC did not know of Mr. Guckert’s pending retirement, and it has never met with or interacted with Ms. Finn. Similarly, until after the decision was made, the CPC was never told that the Sociology Department is being relocated to Jessup Hall within the next three to four years. The one exception to the trend toward the CPC’s lack of involvement in campus planning involves Hancher Auditorium. The CPC reports that F&O leaders listened to and heeded the committee’s advice on where to locate the new Hancher facility in the wake of the 2008 flood.

Professor committee member Barbara Eckstein serves as co-chair of the Sustainability charter committee. As in the case of the CPC, she, too, reports having never met Ms. Finn prior to the start of this review process. Although Mr. Guckert notified the Sustainability committee that Ms. Finn would be his successor, the committee did not receive an explanation for how the appointment was made, nor one about who was involved in making it. For example, the circumstances suggest

---

<sup>7</sup> NITE RIDE *Express* is separate from the standard NITE RIDE program that provides free late-night transportation to students, faculty, and staff.

that no national search was initiated. This contrasts with the hiring of Mr. Guckert, which came after a national search conducted by a committee that included the chair of the CPC. The Sustainability committee further reports that FM did not consult with the Sustainability committee or the CPC about its decision to implement changes to energy management and conservation policies that move the university toward the near-total use of automation in the provision and maintenance of energy services.

In short, while FM was formerly a model of sustainability practices, from changes in energy generation to energy conservation management, and fully imbued with shared governance throughout two charter committees, this appears no longer to be the case.

Recommendation: The committee recommends that *the President consider assigning a senior official in campus administration to each Charter Committee so that a direct line of responsibility and communication can be established.*

Moreover, if the CPC is retained as a functioning campus consultation committee, then F&O should bring projects to its attention early enough in the planning and design process to provide appropriate feedback. The administration should not bring a “baked cake” to the committee for consultation if the input will have no material effect on the proposed project’s development.

A separate communication concern stems from the litigation surrounding the construction of the Stead Family Children’s Hospital (“Children’s Hospital”). Like with the new budget model, interviewees report that there is widespread confusion throughout campus about why the Children’s Hospital project experienced design problems and delays, as well as why an arbitration panel ordered the university to pay \$21.5 million to one of the project’s contractors. Interviewees note that the adverse media attention generated by the arbitration award has led many alumni and legislators to express concerns about whether the university is able to prudently manage construction projects and prevent waste. The committee was pleased to learn that all future UIHC building projects will now be overseen by F&O, rather than solely within UIHC’s administration, which will allow the extensive experience of F&O to benefit the entire campus. F&O’s broader institutional expertise with large construction projects may help mitigate any future challenges, such as those experienced by UIHC during the completion of the Children’s Hospital.

Recommendation: The committee recommends that F&O and the President’s Office consider *clarifying the nature of the challenges that arose in the construction of the Children’s Hospital, how the university responded, and what lessons were learned—and changes made—to ensure that a similar situation does not happen again.* We say this even though F&O did not manage the Children’s Hospital construction project because we believe that F&O is uniquely qualified to address any remaining confusion about it. F&O also appears to be in the best position to outline

the institutional steps necessary to move forward from the project's associated challenges in a positive way.

The committee's final operational comment relates to Public Safety. On one hand, the Department of Public Safety is making impressive headway in finding innovative programming solutions to the problem of static or declining funding. On the other hand, the department's constant need to find budget efficiency raises security risks for the entire campus community.

The biggest issue in this regard is the level of funding for campus police officer salaries. Every local police department—Iowa City, Coralville, and North Liberty—pays its officers more than the University of Iowa. This leads to a consistent turnover rate of at least three campus officers per year. In part because of the higher cost of living in Johnson County compared to other parts of the state, officers often feel compelled to seek positions that offer more competitive compensation packages. The officers also report that the comparably lower salaries at the university leads to decreases in morale and job satisfaction. This dynamic becomes most apparent in situations where campus officers work side-by-side with Iowa City officers, as when the emergency Special Response Team<sup>8</sup> is activated to address on-campus security crises. Campus officers in these circumstances perform the same tasks at the same time and experience the same risks as their city counterparts—but for far less money.

In large part because of lower compensation and high turnover rates, the Department of Public Safety has effectively become a “feeder department” for other law enforcement agencies across the state. Our interviews suggest that it takes roughly two years on the job for a campus police officer to fully understand her roles and responsibilities. It also costs the university approximately \$100,000 to on-board and train each new police officer that is hired to replace one that leaves. The point at which officers complete their first two years of service is often the time when they are most attractive to other departments. From the latter's perspective, the university is paying to train their officers for them—and the cycle continues year after year.

If campus safety truly is a priority of central administration and the Board of Regents, then something needs to be done to improve the level of resources provided to the Department of Public Safety. The current fiscal allocation to Public Safety means that the university community is unable to attract or retain the most qualified officers. If the department's budget continues to decline, the committee fears that its next source of savings will come from cuts to officer training programs. Staffing a campus police force with less-experienced and less-trained officers is not in the best interests of students, faculty, staff, or campus guests. One possible mitigating option is to consider

---

<sup>8</sup> The Special Response Team (SRT) is a joint-effort between the University of Iowa Police Department and the Iowa City Police Department. SRT team members come from both departments. The SRT is activated on campus approximately 3-4 times each year.

re-allocating some of the university's current expenditures for public safety. Specifically, our interviews revealed that approximately 33% of all campus police interventions come in response to situations at UIHC facilities. However, UIHC only pays roughly \$190,000 per year to support these public safety efforts. By way of comparison, the University of Wisconsin police department receives \$2.5 million in financial support from its campus health system for performing a similar level of service.

Recommendation: The committee recommends *the development of a funding and compensation strategy capable of improving the retention and satisfaction of university police officers*. Considering novel funding strategies in this department is especially warranted given the importance of public safety to achieving the university's mission. Ideally, addressing this recommendation will be part of a larger initiative to mitigate the resource constraints faced when seeking to attract and retain talented employees.

### *c. Decision-Making and Organization*

In addition to interview findings that relate mainly to either Finance or Operations, the committee offers the following observations about decision-making and organization that apply more broadly.

First, it appears that mechanisms for shared governance as they relate to F&O and other central administrative units are changing in response to the implementation of the new budget model. Specifically, and noticeable in part from the diminishing role of the CPC, the committee understands that the role of shared governance in university financial planning is now expected to center on the activities of the Budget Review Board ("BRB") and the Central Shared Services Advisory Committees ("CSSACs"). The BRB consists of approximately 30 university leaders, including all collegiate deans and presidential cabinet members, and meets quarterly to hear, assess, and vote on budgeting proposals and appropriations requests from the CSSACs. There are six CSSACS assigned to shared academic service functions: Central Administration, Facilities Management, Information Technology Services, Provost Office, Student Life, and the Research Office. The CSSACs are each co-chaired by collegiate deans, and their membership comes from representatives from university governance councils (i.e., faculty and staff councils), collegiate budget officers, and functional experts from central administration. The CSSACs range in size from eight to fourteen members. Each CSSAC meets several times per semester to discuss potential BRB proposals. For example, the CSSAC for Information Technology Services could decide to request additional funding for improved data security systems. Whether that request is approved will depend on the vote of the BRB.

Recommendation: The committee is not prepared to opine on the wisdom of the new BRB-CSSAC framework, nor to opine on whether this is the best way to exercise fiscal oversight, but we *encourage the campus community to remain vigilant in monitoring the impact of this process on the university's strong tradition of shared governance*. This is an area of university governance that will require deeper and continuous study before any full assessment of its merits can be developed.

Second, we note that F&O does not have a strategic plan. Some individual units have created their own strategic plans, but there is no plan that applies centrally to F&O overall.

Recommendation: The committee *suggests that F&O develop a formal strategic plan*. This plan could be helpful in resolving some of the communications issues discussed above, as well as provide clearer guidance for succession planning in the event of personnel or structural changes. In support of this effort, F&O should *establish clear performance metrics and benchmarks* to guide the plan that the office adopts, as well as to facilitate a process of continuous self-assessment and improvement.

Third, it seems clear that F&O's senior leadership team operates informally and depends on continued good will for success.

Recommendation: We encourage F&O's senior leaders to *consider formalizing their decision-making processes* so that changes in personnel, personal relationships, or organization will not create problems with knowledge transfer, oversight, accountability, and transparency as the office goes forward.

Finally, the committee observes that F&O is a sprawling organization with wide-ranging and diverse responsibilities. This dynamic complicates the ability to manage and conduct an in-depth review of the many unique variables within the office.

Recommendation: The committee recommends *the formation of an ad hoc committee comprised of senior leadership and the President to consider whether F&O should remain as one office or be divided into two or three units*. Regardless of that determination, for future academic reviews of F&O responsibilities, we recommend *dividing the review process into separate committees and stages for each major division within the office: Finance, Operations, and ITS*. This separation would make the review process more manageable, and it would allow the review committees to focus greater attention on more specific issues across the F&O spectrum.

### III. Survey Results and Written Feedback

#### *a. Summary of Quantitative Survey Results*

The committee is grateful to everyone who participated in the review surveys. Survey #1 went to all faculty with appointments of at least 0.50 FTE (tenured, tenure-track, clinical, research, instructional, adjunct). Approximately 500 of the 2,946 survey recipients completed it (a 17% response).

Ratings on the survey were generally favorable. On the question of satisfaction with University Shared Services for travel requests and expense reimbursements, 71% of respondents are satisfied or very satisfied, and 19% are dissatisfied or very dissatisfied. With respect to campus recycling operations, 75% are satisfied or very satisfied, and 14% are not. High percentages of respondents also report satisfaction with campus snow and ice removal (80%), as well as with the Department of Public Safety's approach to campus safety and security (67%).

As for satisfaction with campus police, 55% are satisfied or very satisfied, but over 40% stated that they had no basis for evaluation. Similar results appear on the questions of satisfaction with the university's approach to campus planning and its provision of transportation services (e.g., Cambus). For campus planning, 26% of respondents are satisfied, 23% dissatisfied, and 50% had no basis to judge. For transportation, 56% expressed satisfaction, 5% dissatisfaction, and 38% had no basis to evaluate. Printing services is the fourth area where many respondents (52%) did not feel able to make a qualitative assessment. Of those who did, 40% are satisfied.

The highest rates of dissatisfaction relate to building maintenance, custodial services, and parking. With respect to building maintenance and custodial services, 64% are satisfied and 32% dissatisfied. Similar results appear for parking services: 56% satisfied, 35% dissatisfied. Finally, as to parking availability, 42% of respondents are satisfied but 50% are not.

Survey #2 went to approximately 150 university administrators and staff members who were identified as having routine and direct working contact with F&O personnel. We received approximately 37 responses (24%).

Again, responses to this survey were generally favorable. Most respondents (66%) have a favorable view of F&O's leadership. Over 90% of respondents also report having a good understanding of F&O's roles and responsibilities. Similarly, over 80% have a favorable assessment of F&O's effectiveness, as well as a good understanding of F&O's organizational structure. Nearly 75% of respondents indicate that F&O adequately responds to their questions and concerns, and 64% say that their questions and concerns are addressed in a timely manner.

Other results are more mixed. On the question of F&O's effectiveness in explaining the new budget model, 38% of respondents responded positively, 41% negatively, and 22% had no basis to judge. A large percentage (46%) also responded negatively to F&O's effectiveness in communicating the challenges that it faces, and 41% report that F&O is ineffective at communicating its major achievements.

Many respondents (35%) had no basis to evaluate F&O's effectiveness in advocating for the university at the state level, whereas 46% responded positively and 19% were negative. Forty-four percent of respondents agree that F&O considers an appropriate amount of input from other university stakeholders when developing policy, but 30% disagree. Similar results appear on the issue of F&O's understanding of how its actions affect other colleges, units, and departments. Forty-seven percent of respondents agree that F&O does understand its impact in this regard. However, 24% disagree, and 27% had no basis to evaluate.

For a more detailed summary and breakdown of the quantitative survey results, see Appendix F.

*b. Summary of Qualitative Survey Feedback*

Surveys #1 and #2 gave respondents the option to provide more elaborate written comments to the committee, and many people did so. While the committee recognizes that it is difficult to determine how representative this feedback might be when expressed by individuals initiating the discussion, we nonetheless identified a few recurring themes and comments of note.

With respect to Survey #1, we encourage F&O leaders to review the following items:

- The financial burden that hospital parking rates place on low-income families; threats to tow or ticket vehicles belonging to family members who bring patients to the emergency room and/or to admit children/elderly patients;
- Logistical complications that follow from policies requiring physicians and medical staff to find alternative parking on home football game days;
- As a result of university funding cuts, there are reported inconsistencies in the quality of custodial services and deferred maintenance operations provided to different campus buildings (i.e., some buildings receive better service than others);

- Insufficient services provided by custodians (e.g., no longer emptying office trash, no longer vacuuming or dusting offices); prevalent pests and mold in older facilities;
- Higher fees charged by campus printing services in comparison to private vendors; requirements to use campus printing when lower costs can be obtained elsewhere;
- Limited recycling options for glass; no composting options;
- Uncomfortable heating and cooling fluctuations.

Comments in Survey #2 suggest a need for F&O to consider looking into the following issues:

- Lack of available metrics linked to student success (e.g., F&O operating costs per student; collegiate operating costs and trends per student);
- Limited ability to provide direct feedback to individual units and divisions within F&O; requests for more ways to share input on customer service;
- Changing staff roles and adding new policies—like the new budget model—without providing the resources, skills, and training necessary for success;
- Insufficient training for finance staff.

The feedback from Survey #2 also indicates, as should be expected, that people experience F&O one unit at a time and have different experiences with different units.

#### **IV. Recommendations**

In closing, the committee finds that the Office of the Senior Vice President for Finance and Operations performs many of its responsibilities well. We offer the following summary and restatement of our recommendations, grouped as per their primary area, in the hope of making a solid office even more effective:

##### Communication

- Revise the manner, method, and content of F&O's communications to campus stakeholders on matters relating to finance and the university's budget model, including, but not limited to:

- Creating a short video for the internal campus community that explains the university’s new budget model;
  - Establishing a “Financial Academy” program for faculty and staff members hoping to improve their understanding of the university’s financial operations and budget model.
- Consider formally communicating the challenges that arose and the lessons learned from the construction of the Children’s Hospital.

### Structure and Reporting Relationships

- Convene an ad hoc committee comprised of senior leadership and the President to consider whether F&O should remain as one office or be divided into two or three units; for future academic reviews of F&O responsibilities, divide the review process into separate committees and stages for each major division within the office: Finance, Operations, and ITS.
- Review the roles of the charter committees on Campus Planning and Sustainability to determine how they can be structured or reframed to advise campus leadership more effectively and bolster shared governance.
- Convene an ad hoc task force that includes representation from the Council of Deans, F&O, and the President’s Office to review the reporting structure for collegiate budget officers.
- Establish a central University Office of Institutional Research and Data to assist with the collection, tracking, and dissemination of university-wide financial information.

### Decision Processes and Governance

- Continue to monitor and study the impact that the BRB-CSSAC budgeting process has on shared governance.
- Adopt a formal F&O strategic plan to complement those of individual F&O units; establish clear performance metrics and benchmarks to guide the plan that the office adopts, as well as to facilitate a process of continuous self-assessment and improvement.
- Formalize the decision-making process utilized by senior F&O leadership.

## Operational

- Develop strategies that would improve retention and satisfaction of university police officers.
- Explore ways to reduce the financial burdens that UIHC parking rates often impose on patients and their family members.

## ***Appendices***

Appendix A.....	Finance and Operations Self-Study
Appendix B.....	Review Committee's Request for Additional Information
Appendix C.....	Interview Schedule
Appendix D.....	Faculty Survey Template
Appendix E.....	Collegiate Staff Survey Template
Appendix F.....	Quantitative Survey Results

## ***Appendix A***

### ***Finance and Operations Self-Study***

# **Office of the Senior Vice President for Finance and Operations**

Self-Study  
Fall, 2018

<b>Table of Contents</b>	2
<b>Introduction</b>	3
<b>Mission and Overview</b>	3
<b>Organization and Financial Resources – Office of the Senior VP for Finance &amp; Operations</b>	3
Senior Vice President	3
University Chief Financial Officer and Treasurer	5
Controller’s Office	5
Treasury Operations	5
Financial Management and Budget	6
Business Manager/Campus Planning	6
Business Services	7
Department of Public Safety/UI Police	8
Facilities Management	8
Information Technology Services (shared reporting with Provost)	10
<b>Evaluation and Performance Appraisal</b>	11
<b>Strengths, Weaknesses, Threats, &amp; Opportunities</b>	11
<b>Appendix</b>	17
Links	18
Org Charts	19
SWOT Analyses	24

## Introduction

To protect, uphold, and enhance its quality and to assure that units effectively support overall institutional aspirations, the University of Iowa regularly conducts reviews of its programs and services. In the case of the major university administrators, these reviews are conducted by an ad hoc committee of faculty representatives, and typically they cover both the office and its incumbent. These reviews have proven to be invaluable tools for assessment and improvement.

## Mission and Overview of Finance and Operations

The Office of the Senior Vice President for Finance and Operations (hereinafter referred to as Finance and Operations or F&O) is a multifaceted organization providing core operational services to the institution in the areas of business services, finance, facilities and public safety. These services are essential for the University of Iowa to pursue and maintain its mission of teaching, research, and public service. F&O has over 1,100 employees committed to serving the University community in a wide variety of ways. F&O maintains business continuity throughout the institution through best practice operations performed at levels of staff and process efficiencies that consistently exceed performance at peer institutions.

## Organization of Finance and Operations

### Purpose:

The wide-ranging responsibilities associated with Finance & Operations primarily address the non-academic and operational services that enable daily business to be conducted at the University of Iowa. A combination of profession/scientific employees and merit staff cover operational, administrative, strategic and stewardship needs of the campus on a 24-hour, 365-days a year basis.

### Description of Units and Services:

#### **Senior Vice President, Finance & Operations (and University Architect):**

Provides oversight and representation of a majority of the non-academic, operational departments supporting the University and its missions. In addition to reporting directly to the UI President, the Senior VP serves on the President's Cabinet and provides advice and input to the President. Departments for which the Senior Vice President is responsible:

- CFO/Treasurer
  - Controller's Office
  - Treasury Operations

- Financial Management and Budget
  - Budget Management
  - F&O Human Resources
  - Operations Manual and Records Management
  - Flood Recovery
- Business Manager
  - Campus Master Planning
  - Space Planning
  - Real Estate/Lease Management
  - Contracts
  - Community (elected officials and staff) engagement
  - Capital Business Coordination (BOR)
- Business Services
  - Purchasing
  - Parking & Transportation
  - Risk Management
  - Shared Services
  - Accounts Payable/Travel
  - Central Receiving/Printing/Mailing/Surplus
  - Finance and Business Information Services
  - Laundry
- Public Safety
  - Police
  - Fire
  - Emergency Management
- Facilities Management
  - Design & Construction
  - Building and Landscape (Maintenance) Service
  - Utilities & Energy Management
- Information Technology Services (shared reporting line with the Provost)

In addition to the roles described above, Rod Lehnertz also maintains the role of University Architect. He has held this responsibility for more than 10 years and represents the UI on the national level for matters related to campus planning and architecture, including serving as the UI representative to the Association of University Architects (AUA). Founded in 1956, the AUA is composed of the highest-ranking institutional official responsible for the planning of the campus. The University of Iowa was one of six founding member universities, and its original member, George Horner, is considered to have been the first University Architect in the country beginning in 1930.

Budget:           GEF = \$305,000   Other = \$323,000   Total = \$628,000  
 Staffing:         2 FTE

The Finance and Operations organizational chart and associated, detailed unit descriptions and data are listed below.

**University Chief Financial Officer and Treasurer:**

Provides a wide range of core business services to the university community, including UIHC, in the areas of accounting, banking and cash management, billing and loan collections, bond indebtedness, research post-award administration, investment and oversight of the University's operating funds and endowments, internal and external reporting, training, financial system oversight, policies and procedures, financial planning and analysis, strategic planning and analysis.

Budget:            GEF = \$132,000    Non-GEF = \$302,000    Total = \$434,000  
Staffing:           1 FTE

**Controller's Office:**

The Controller's office, reporting to the CFO & Treasurer, is comprised of departments that provide a wide range of business, accounting and reporting services on behalf of, and for, the university community. These services are essential for the University of Iowa to pursue its mission of teaching, research, and public service. The department is committed to providing the highest quality business, accounting, tax and financial reporting that fosters integrity and accountability while maximizing efficiency, accuracy, and productivity. This is accomplished by giving guidance in accounting, financial reporting, tax compliance, and grant financial administration.

Departments include:

- Accounting & Financial Reporting
- Capital Assets Management
- Tax Office
- Capital Projects
- Financial Analysis
- Grant Accounting

Budget:            GEF = \$4,555,685    Non-GEF = \$365,073    Total = \$4,920,758  
Staffing:           51 FTE (48 P&S, 3 Merit)

**Treasury Operations:**

Provides and maintains high quality services to the University in the areas of treasury services, billing and loan collections, and ID card programs. Treasury services include banking, cash management, bond indebtedness, investment and oversight of the University's operating funds and endowments. University billing and loan collections include billing of tuition and University

services to students, faculty/staff and general public, managing internal and external collection efforts, administering the use of financial aid and repayment of federal and institutional student loans. ID card programs provide identity verification and door/system access to students and faculty/staff at the UIHC and UI campus. The Treasury mission is to provide services that are comparable to those of the top 10 research universities in the United States.

Budget:           GEF = \$600,000 Other = \$2,300,000 Total = \$2,900,000  
Staffing:           26 FTE

**Financial Management and Budget:**

Plans, develops and implements the university's annual operating budget. This core unit coordinates the preparation of the State budget request, assesses the availability of resources to implement university-wide initiatives and provides primary support and analysis to university leadership in fiscal and budgetary policy development, monitoring and reporting. Financial Management and Budget (FMB) also directs the Human Resources function for the Finance and Operations division; oversees and maintains the University of Iowa Operations Manual and Records Management Policy and Program; and provides administrative support to the SVPF&O. Additional responsibilities over the last ten years have included flood recovery financial and administrative support, an effort that continues as FEMA finalizes its obligations and the University responds to required internal/external audit activity.

**Budget Office/OSVP F&O**

Budget:           GEF = \$522,000 Other = \$134,000 Total = \$656,000  
Staffing:           4.3 FTE

**F&O Human Resources**

Budget:           GEF = \$816,000 Other = \$251,000 Total = \$1,067,000  
Staffing:           10.2 Staff FTE 1 Student FTE

**Flood Recovery**

Budget:           FEMA/GEF = \$184,000  
Staffing:           2.0 FTE

**Business Manager/Campus Planning:**

Provides and maintains quality services for contracting, real estate acquisitions and development, and leases across the University enterprise, including UIHC and the UI Research Park. The Business Manager also operates the University's on-campus rental housing, coordinates with local city and county officials on town/gown relations, and coordinates all capital business matters for the University, in accordance with Board of Regents, State of Iowa procedures and guidelines. In coordination with the Senior Vice President's role as University Architect, the campus master planning and development function have recently been reassigned within the purview of the Business Manager. This work includes short- and long-

term campus master planning, unit physical planning with colleges and VP units, space planning, and coordination of major capital project pre-planning, programming and review. The unit operates very efficiently and has added services while cutting staff due to recent state budget cuts. One peer comparison make this obvious - while certainly scaled differently than Big 10 peer Ohio State University, the same set of institutional services are provided for OSU with a department of nearly 50 professionals.

Budget:           GEF = \$651,147   Other= \$50,764   Total= \$701,911  
Staffing:           5.5 FTE

**Business Services:**

Provides timely, accurate, high-quality services to help the University of Iowa achieve its core operational and business-related objectives. Units operating within Business Services include: Accounts Payable, Central Receiving, Laundry Services, Finance and Business Information Services, General Stores, Printing and Mailing Services, Parking and Transportation, Purchasing, Risk Management, Surplus, Travel, and the recently established University Shared Services, providing new and important advancements in efficiency and effectiveness for departments throughout the institution. While each of these diverse and important services strive for ongoing improvements in efficiency and performance, a few notable highlights include:

- UI Purchasing has received the national peer *Achievement of Excellence in Procurement for each of the years from 2014-2018*. Annually, Purchasing processes over \$920 million in purchase orders; 5,000 contracts; 200 competitive bids and \$54 million in savings through volume-based contracts and vendor negotiations.
- University Shared Services (USS), through efficiency in process and procedures, has reduced overall process execution turnaround by 50% and reduced staffing through attrition by 20%. Annually, USS completes 250,000 transactions or an average of 3,500 per FTE.
- Laundry Service cleans and delivers over 5.7 million pounds of laundry to UIHC, Iowa River Landing and other various local UIHC clinics.
- The Director of Purchasing, in coordination with Risk Management, successfully negotiated a decrease in the UI property insurance premium from \$6.9 million to \$5.9 million and a deductible reduction from \$5 million to \$2 million for the majority of campus. This was accomplished while UI property value increased from \$8.8 billion to \$10.2 billion
- Risk Management handles over 75 insurance policies at a cost of over \$7 million in premiums for the protection of the University and employees.

Budget: GEF = \$5,275,000   Other = \$39,725,000   Total= \$45,000,000  
Staffing: 264.6 FTE (+/- 190 students)

**Department of Public Safety/UI Police:**

Provides each member of the University of Iowa community with a sense of security by creating a safe learning environment at all times. Through the commitment of our staff, the Department of Public Safety provides safety programs such as Nite Ride, student security and residence hall security 24 hours a day, 365 days a year. The mission of Public Safety includes educating students, faculty and staff in matters of protection and personal responsibility. Campus emergency preparation and response is also an important role for this department. Emergency Management has recently started an initiative to provide Stop the Bleed kits to departments throughout campus. Changes within the department over the last several years have increased campus and student engagement, and have improved the UI Police image within the community, examples of which include:

- In the past two years, public safety has increased the number of security personnel working on campus, and now utilizes over one hundred student security employees, adding UIPD presence at the library, parking lots and downtown.
- The SHOUT (Students Helping Out) program posts student security representatives in the Ped Mall area for additional safety and support, while increasing positive connections to the UI student community.
- Nite Ride and the new created Nite Ride Express, which offers an app-based “request for pick-up” option to UI community members, is increasing a sense of safety and is widely used.
- UIPD Officers are assigned to UI residence halls and cultural centers to increase contact and positive interactions.
- Hosting educational programs on personal safety, implicit bias and many other subjects aimed at improving the UI climate. This includes a 3-semester hour credit, public safety academy course. Director Beckner also teaches a course (Criminal Law and Policy).
- Increased connections and partnerships with local community law enforcement agencies.
- University Key and Access Services (formally of Facilities Management) has been transferred to UIPD, providing more effective and efficient UI community service and security.

Budget:            GEF = \$6,235,000    Credits = \$2,393,000    Total = \$8,628,000

Staffing:           59 Staff (FTE)    89 (110 during football season) Students (Headcount)

**Facilities Management:**

Facilities Management (FM) coordinates planning, manages design and construction, maintains and cleans the buildings and the grounds for General Education Fund (GEF) facilities - approximately 8.8 million square feet of space with a current replacement cost of \$5.2 billion. FM provides some of its services for the entire campus, and provides utilities for the entire campus. The units comprising FM include:

- Building & Landscape Services (BLS) - provides campus building and landscape physical asset stewardship and optimal operation via maintenance, landscape services, custodial operations, building systems commissioning and predictive maintenance programs.
- Utilities & Energy Management (U&EM) - is responsible for the boiler plants, power production plants, chilled water plants, water plant, district energy distribution system, storm and sewer systems, high quality water systems, refuse and recycling removal programs, the Energy Control Center and the renewable energy initiatives. As a self-supporting bonded enterprise, U&EM provides all utilities and services to all campus entities on a cost-recovery basis through a developed utilities rate structure – those rates account for plant stewardship and growth to address campus development. Energy and utility system work affords multiple opportunities for U&EM to partner with UI academic departments and programs.
- Design & Construction (D&C) – executes the start-to-finish delivery of all on-campus physical improvement and care projects. D&C is supported by a fee-for-services system that assesses a line item charge on all capital project budgets for management and execution of each project. D&C also provides administrative, accounting and contract management services for the general campus and the UIHC. Current efforts are being made to consolidate the project delivery operations for both the UI and UIHC, with a transition that will lead to the management and delivery of all UI projects by Design & Construction.

The primary Facilities Management focus centers on six value propositions, based on FM’s range of services and responsibility to manage “total-cost-of-ownership” for all UI physical assets:

- Optimal space and land planning, utilization, and configuration
- High-value capital project investments and execution
- Optimal building and campus operations supporting the missions of the University
- Extension of asset life through reinvestment and renewal of equipment and facilities
- Energy efficient operation of integrated plant, distribution and building systems
- Compliance with regulations and management of risk of business interruptions

In 2017, Facilities Management developed a Three-Year Plan to re-position Facilities Management for the future via a series of strategies designed to free up resources to be redirected for UI core activities, while remaining a best-practice organization.

Budget: FM’s non-utilities GEF Budget: \$39 million  
 Utilities GEF Budget is \$43.8 million (45% of the total Utilities Enterprise budget)

Staffing: 645 FTE regular staff and 37 student FTE  
 FM often employs more than 70 students during the academic year  
 FM employs 52% of UI’s GEF Merit employees

### **Information Technology Services (shared reporting with Provost):**

Virtually all aspects of university operations rely on IT. With a foundation of secure, reliable infrastructure and excellent technical support, the UI technology community caters to the diverse technology needs of students, faculty, and staff in support of the institutional mission. Over the past three years, UI technology providers fortified collaboration, creating a unified, integrated IT community called OneIT. A OneIT Strategic Plan was unveiled in 2018, ensuring that IT is aligned to support UI's goals that it helps the faculty, students, and IT workforce thrive, and that resources are prioritized as the pace of change and demand for technology increase in this era of digital transformation.

ITS provides more than 100 campus technology services, including:

- email
- calendar
- cloud collaboration tools
- training
- software licensing
- printing
- file storage
- web and application development
- electronic identity management
- networking
- data centers
- financial and HR systems
- library systems
- research information systems

UI technology users receive skilled technical support through a centralized Help Desk and device management service and a growing network of over 50 support consultants who assist specific campus units with day-to-day technology needs. The Help Desk assists over 80,000 contacts per year. Security is a top priority and efforts are constantly underway to protect UI information and technology assets. The Information Security and Policy Office develops security policies, provides security awareness, and handles incident response, firewall management, security assessments, and monitoring.

A robust learning management system, ICON, supports content, assignments, grading, quizzes and more for 4,000 university courses per semester. Data from the system provides valuable insights that inform teaching methods, and dashboards help students monitor their progress. Specially designed active-learning classrooms and instructor trainings support student-centered learning. A new Learning Design Collaboratory provides innovative course-redesign services and support to faculty fellows.

Growing research computing needs are being met with a new high-performance computing (HPC) system and expanded research data storage services. UI recently commissioned the third iteration of its HPC resource, now serving over 900 users in more than 100 departments. A Research Data Storage Service with backups, replication, recovery, auditing, and archiving is available to all faculty. Research IT services also include training, grant development, consultation, compliance, and discipline-specific support. UI is investing in research data analytics and data-intensive computing; funds will cover personnel to support increasing demand in Artificial Intelligence and Graphics Processing Unit Computing, implementing data-analytics and database services, and software for sharing large-scale datasets.

A new Business Intelligence Shared Service Center provides improved access to data for strategic purposes such as enrollment management. MAUI, a powerful student information system built by UI technologists, manages a vast collection of records and countless financial transactions, provides valuable data for student success activities, and offers students tools to manage their academic plans. Data will remain a critical university asset, and OneIT will align data initiatives with the university's strategic and operational priorities, including implementation of a new budget system.

Budget:           Total Operating: \$53,650,481  
                      Total GEF: \$33,792,91  
Staffing:         Total Budgeted FTE: 345.11 (not including students or graduate students)

## **Evaluation and Performance Appraisal**

Evaluation of the Senior VP is conducted annually by the President. The direct reports to the Senior VP are evaluated yearly and those unit leaders complete annual evaluations of their direct reports.

## **Strengths, Weaknesses, Opportunities, Threats (SWOT)**

Every department and unit within Finance & Operations assesses and addresses its unique set of S.W.O.T matters. The following represents a broader view of F&O S.W.O.T. subjects, each impacted by the many parts that make-up the whole organization. The Appendix contains SWOT entries submitted by specific F&O units that provide additional insights.

## **Strengths:**

Our Team: F&O maintains responsibility for current and long-term care of the campus, its resources and its operations. This critical task is led by individuals who are recognized by regional and national peers for their talents and leadership. Just as importantly, these leaders have dedicated their careers to this university. When considering the Senior VP and the eight F&O unit leaders, together they average more than 25 years of continuous service to the UI (and this average includes the brief 2-year tenure of the Public Safety Director). Within the largest F&O unit (Facilities Management), while many similar organizations struggle with constant turnover challenges, the more than 400 FM employees average 13 years of service. Despite growing funding and pay increase challenges, F&O remains a work place of choice. This is critically important considering F&O's responsibility for the long-term stewardship of our institution.

Institutional support to date: Based on the understanding, appreciation and forethought of previous UI administrations, priority was assigned to the long-term physical care of the UI campus, a conscious choice somewhat unique among institutions of higher education. With an average building age of more than 45 years, F&O is responsible for the stewardship of both UI and State history, and for making sure the many aging buildings work appropriately for today's (and tomorrow's) academic, research and student service needs. This ever-escalating "cost of ownership" was afforded appropriate support when many campuses "cut care first". This has resulted in a campus in far better operating condition than many of our peers – this investment will pay-off in the future as deferred care becomes a fast-growing cost and burden to many comparable institution. It should be noted, this is an item also included in "Threats", as responsible funding levels have fallen due to continued cuts, now putting at risk the operation of many buildings. However, unlike many others, the UI is not "starting from behind".

Efficiency: Out of necessity and a cultural drive to force the highest and best balance of efficiency and effectiveness, UI administrative and operational costs, as related to overall university expenditures, are among the lowest of all peers and national benchmarks. Research-1 institutions report that approximately 17% of their institutional spending is dedicated to "non-academic" operations. By that same measure, the UI has driven its cost to approximately 13% (nearly 25% more efficient than our peers – real money that goes, instead, to teaching and research). Institutional support (administrative costs, of which F&O certainly plays a large part) is 6.5% of UI General Education Fund spending. This compares to an average of 8% for all AAU public universities, and 8.3% for our Big 10 peers. One of our great strengths, and points of pride, has been "doing more with less".

Introduction of Shared Services was not a simple task but one that is already garnering notable improvements in institutional efficiency and effectiveness. In addition to more work by fewer staff members, there has been a remarkable 1000+% decrease in transactional errors!

A protected campus: The Iowa River is a defining feature of our campus and community, but it also presents a great threat. By surviving and persevering in the face of the historic 2008 flood,

the UI has established emergency response capabilities and protected (or protectable) buildings that make our campus a national model. The River will undoubtedly flood again and likely at levels higher than in 2008. This recent 10-year effort to “harden” our campus has improved it and has prepared the University to better mitigate the risk posed by the Iowa River.

A new UI budget system: Over the past several years, the UI has been developing a new shared-responsibility budget system. Pressure resulting from State funding cuts and increasing peer competition has provided the impetus to create a new way of transparently considering best uses of our resources. This new system is in its first full year of implementation; it has not been without challenges, but progress has been steady. The colleges (led by each Dean) receive full understanding of their fiscal picture and make decisions and priorities to advance excellence in the face of increased financial pressure. Mechanisms to review and scrutinize every central support service in order to maximize the use of revenues for our core missions and goals, ensure that support is “right sized” and pressured “downward”. However, early efforts on this front have made evident the high levels of efficiency already in place. Despite the lack of “low hanging fruit”, F&O will continue to squeeze every amount of efficiency (combined with appropriate effectiveness) to enable success of our core missions – all the while making known, the long-term importance of investing in the health of our institution for future cost avoidance and control of risk. The new budget model will make possible the greatest use of our resources, through a process of transparency, increased local responsibility, shared understanding and increased partnerships.

#### **Weakness:**

Labor rule changes: The Chapter 20 elimination of union wage protections has placed UIPD at risk of losing officers – the Regent campuses now have the only police departments in the state without these basic industry protections, making recruitment of our best officers by other law enforcement agencies a constant concern. This is felt within other units hosting unionized labor as well. In addition to UIPD, Facilities Management and Business Services face considerable challenges in retention and morale related to labor rules changes.

Perception of resource impact: Not unlike many other public institutions of higher education, there is a perception that the “middle”, or support functions, take too much of the university’s resources. Support functions are targeted for reduction in the face of challenging finances and are assumed to be “taking from the core”. Within the “Strengths” section, statements of operational efficiency are noted. Yet, the call for cutting the middle remains. When reviewing the newly established Collegiate Economic Analysis (CEA), a central component of the new UI budget system, “the middle” is credited with occupying ~40% of the general education fund total. On its own, this number appears high when compared with peers that claim a figure closer to 30%. Each institution is different, but most universities operating with systems that are responsibility centered management (RCM) do not include facilities costs (assigning all cost responsibilities for the built environment to each college). The operation and utilities costs associated with campus GEF facilities account for more than 10% of GEF expenditures. This

alone returns Iowa to the peer average. Additionally, many within Iowa's peer group are substantially larger and scaling differences make operations cost comparisons challenging; within a smaller setting, Iowa maintaining a "middle" percentage at or below its larger peers suggests, once again, a higher level of efficiency. All of this being said, those supporting the core UI missions through their operational functions, have not been able to stave off questions regarding their value. Current efforts are aiming to alter this perception but even armed with facts, the claims of a "fat middle" continue.

### **Opportunities:**

Increasing engagement with academic units: Through efforts by leaders throughout F&O, opportunities to partner with academic programs have increased. This has helped to develop shared appreciation and unique partnerships. Engineering faculty have engaged several Facilities Management endeavors and experts, these include utility operations and bio-fuel discoveries, as well as advancements in water quality and flood protection efforts. IT has teamed with multiple departments and successfully advanced shared grant proposals. Several within F&O teach or lend instructional support to faculty on campus. At most campuses, the finance and operations units are viewed as little more than back-stage staff serving the institution's needs. At Iowa, thanks in part to the institution's recovery from the 2008 flood (an unlikely source of unity), many of those within F&O are "part of the team" and occupy a critical chair at the table.

Increased campus participation: As the Office of Sustainability is shifted from Facilities Management to the College of Liberal Arts and Sciences, there will be additional and valuable opportunities to expand the reach and impact of "going green". Ongoing efforts to expand bio-fuels and bring the UI Power Plant to Zero Coal by 2025 (and other initiatives) can become a campus-wide endeavor, rather than a goal assigned to Facilities Management alone.

### **Threats:**

Lack of Resources: There is not a UI department without resource or funding challenges near the top of their list of Threats. As (primarily) State funding pressures (cuts) continue, and cost escalation elsewhere continues to rise, the UI is and will be forced to prioritize. The negative impacts are already being felt and more is to come. Despite high levels of operational efficiencies within F&O, this is the area that is often first targeted. The reason is primarily due to a lack of understanding for how these central operations, like building care, impact the teaching and research missions. While not glamorous, the impacts are clear and risks even greater. On a campus that relies heavily on research and medical endeavors, reliable building and infrastructure is critical. Cuts to this "invisible need" will not only increase daily risk, and lower productivity, but the bills for failing systems will grow exponentially and will come due. In the face of cut challenges, investment in business systems, appropriate IT modernization/security, facilities/infrastructure and safety are critical and must not be

sacrificed. The itinerant nature of a university setting can mean many push for immediate satisfaction without care for the “next 170 years” – it is why F&O exists, and as the stewards for the university, we not only care (and worry) that our institution operates as needed for our teaching and research missions now, but also for those who will follow. The wrong cuts are a threat to the future of this institution.

Work force age: While dedication and years of service are a documented strength, there are concerns for the future. The average age of employees in Facilities Management is greater than 55 years. This, combined with newer and automated (computer-based) building systems, creates a “moment” when great experience and knowledge is leaving and new staff will be introduced to more complex systems, requiring different talents and expertise. The timing of the “shift” may be a positive (new people for new tasks) but the transition will be challenging and the computer/programmer skillset to come garners a higher market pay rate than the previous maintenance staff model.

Fast changing IT world: The use and complexity of technology is increasing rapidly. The pace of change is also accelerating. IT must support high-availability, production-level services, and also enable innovation and discovery. All of these changes must occur while protecting the information assets of the UI. Threats for technology include escalation of cyberattacks, retaining qualified IT staff, and absorbing increased use and complexity of IT with steady or decreasing resources.

Public Safety: UIPD has been very active, under new Director Beckner, in changing student and public perceptions of our officers and their roles in protecting and educating us to be safer. Progress has been steady and well-timed. However, national and international disruptions and public anger/outbursts are on the rise. Iowa City is a relatively safe place. But no place is immune and instances addressed on our doorstep, most often taken care of while we sleep well, are reason for alarm. Student leaders, rightfully so, make personal safety a top priority and worry. We continue to expand efforts to address this, but more is needed during a time when UIPD, like other F&O units is being tasked to cut and spread themselves out. Within the public safety business, doing more with less only works until an incident occurs. UIPD has been very efficient and creative in student engagement and best-practice community policing, but it still takes quality police officers and support. Based on the current budget picture, UIPD officers are paid some 25% less than peers that “work across the street” in Iowa City or Coralville. This constantly pushes our best officers, those who protect and connect with students and the public, to a better offer. Without correcting this issue with appropriate funding, we will remain at greater risk than we prefer.

Institutional system inconsistencies: Numerous systems throughout the UI have been developed over the years and practices multiplied to serve individual departmental or staff needs. This creates increased oversight, staffing inefficiencies risks related to practice variability. Each college has, over time, developed staff that can address local needs like college finances and project coordination (sometimes the same person). There have been cases of skillset shortcomings and more concerning, cases of fraud or mishandling of finances. A more

effectively centralized system on this very important front will be needed to assure consistent systems and practices, as well as appropriate back up and staffing levels. A continual effort to identify and address system inefficiencies and operational outliers is an important future task, and it will require colleges, auxiliaries and central units to work together and to reorganize when of benefit to the institution.

# Appendix

**OFFICE OF THE SENIOR VICE PRESIDENT for FINANCE and OPERATIONS  
SELF-STUDY  
Fall 2018**

**LINKS**

**Finance and Operations Homepage and Org Chart:**

<https://fo.uiowa.edu/sites/fo.uiowa.edu/files/vpfo-org-chart.pdf>

<https://fo.uiowa.edu/>

**University Chief Financial Officer and Treasurer, Treasury Operations, Controller**

<https://treasury.fo.uiowa.edu/>

<https://treasury.fo.uiowa.edu/about-us>

<https://controller.fo.uiowa.edu/>

**Financial Management and Budget and Org Chart:**

<https://fmb.fo.uiowa.edu/>

<https://fmb.fo.uiowa.edu/contact-us>

**Business Manager/Campus Planning**

<https://uiowa.edu/businessmanager/>

**Business Services Homepage:**

<https://uiowa.edu/businsvc/>

**Department of Public Safety/UI Police**

<https://police.uiowa.edu/about>

**Facilities Management Homepage and Org Chart:**

<https://www.facilities.uiowa.edu/index.html>

<https://www.facilities.uiowa.edu/about/FMOrgChart.pdf>

<http://www.facilities.uiowa.edu/pdc/DCOrgChart.pdf>

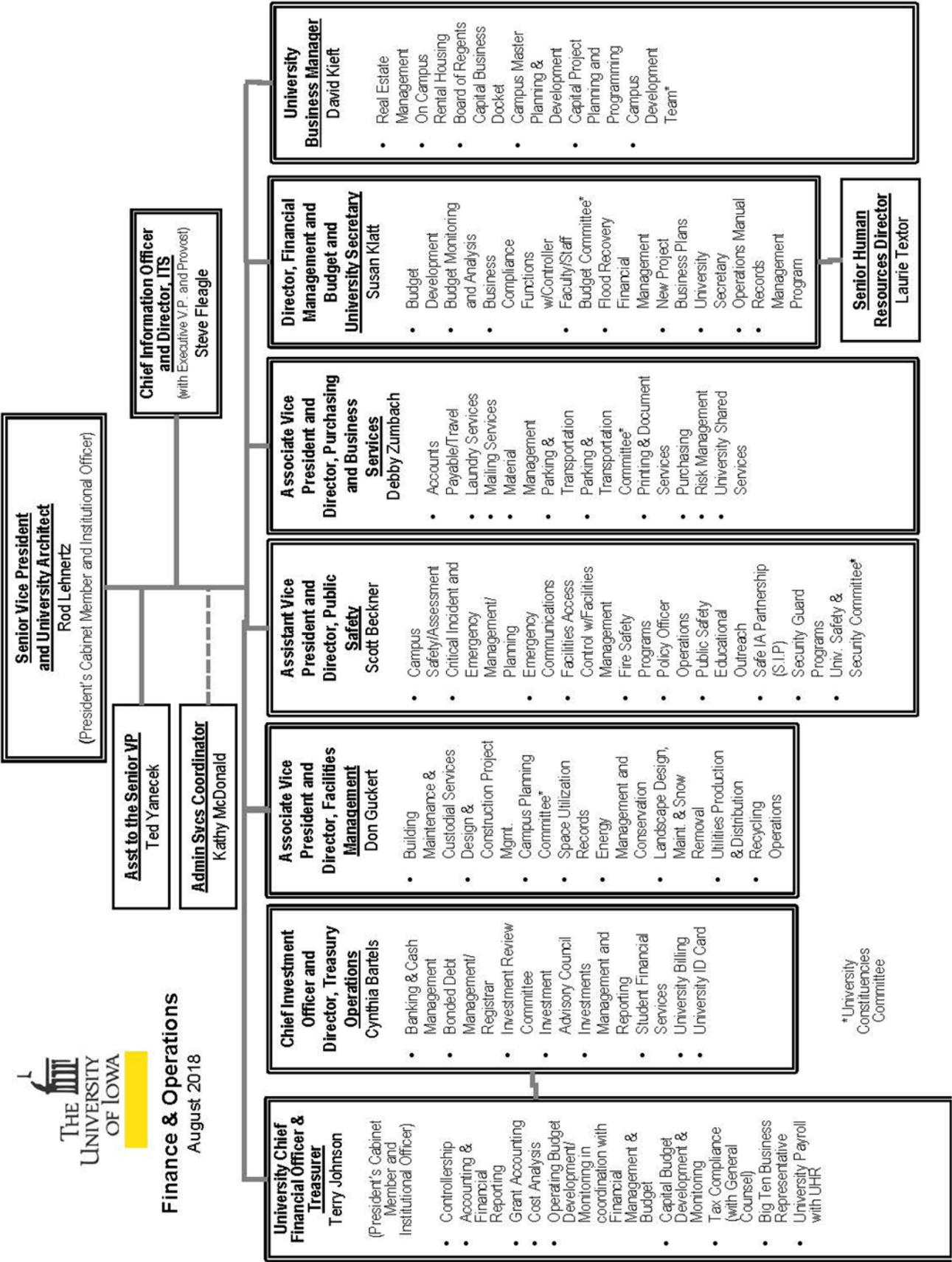
**Information Technology Services**

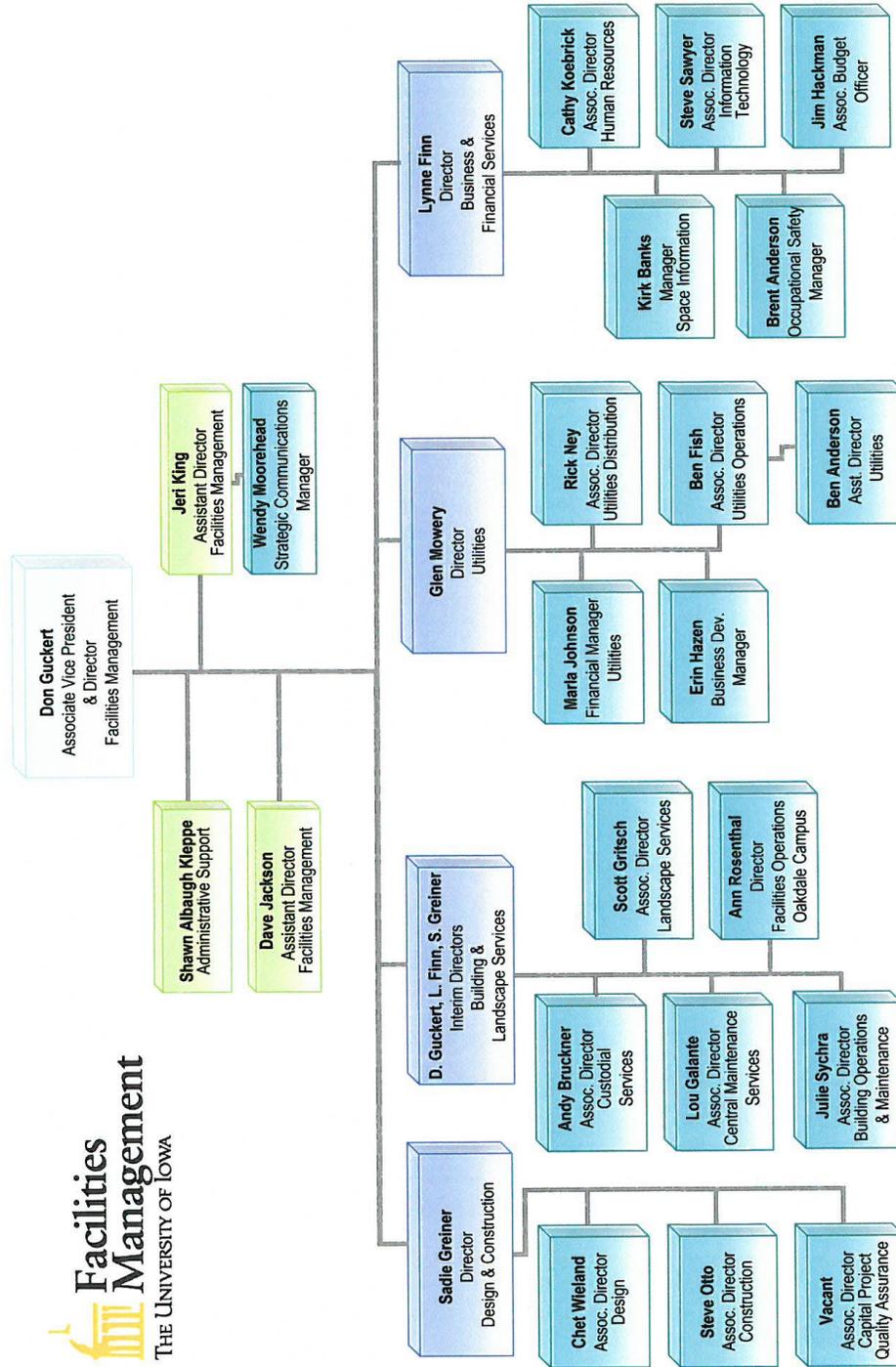
<https://its.uiowa.edu/>

<https://its.uiowa.edu/about>

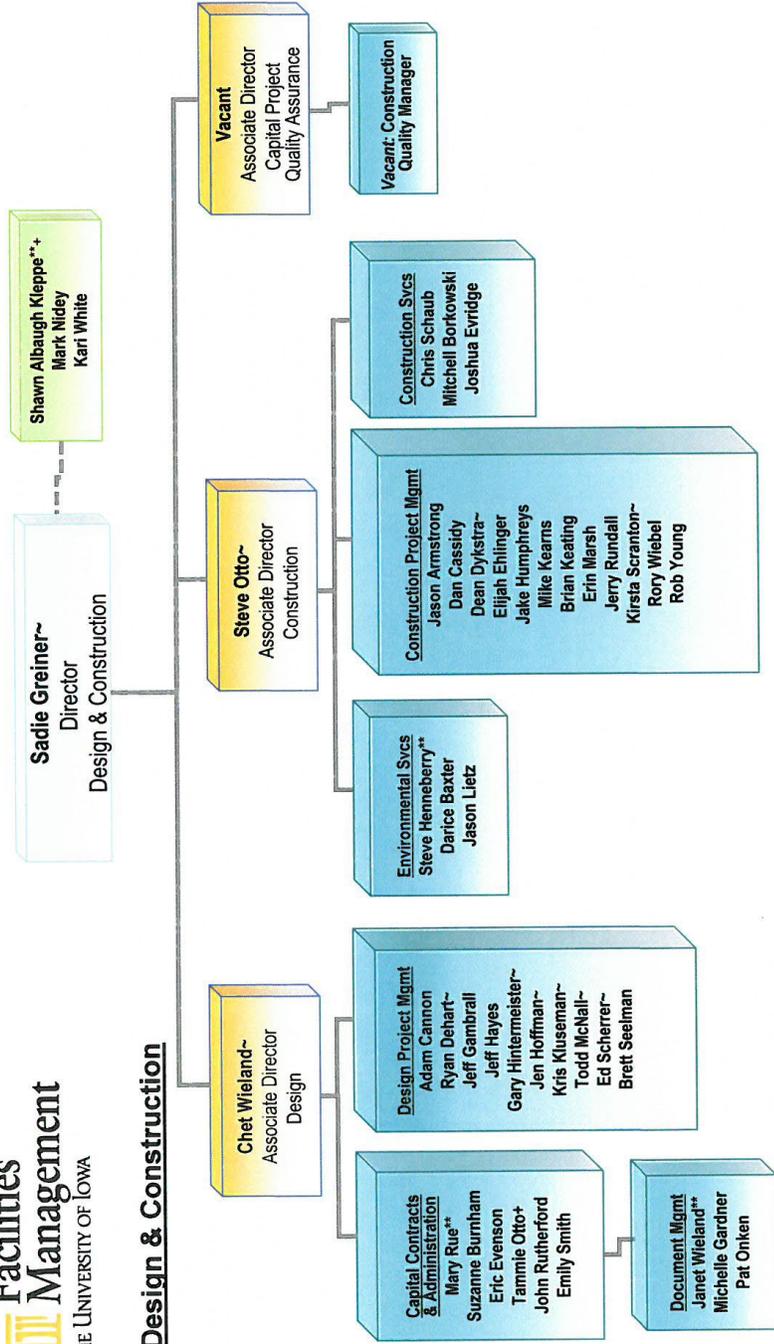


**Finance & Operations**  
August 2018





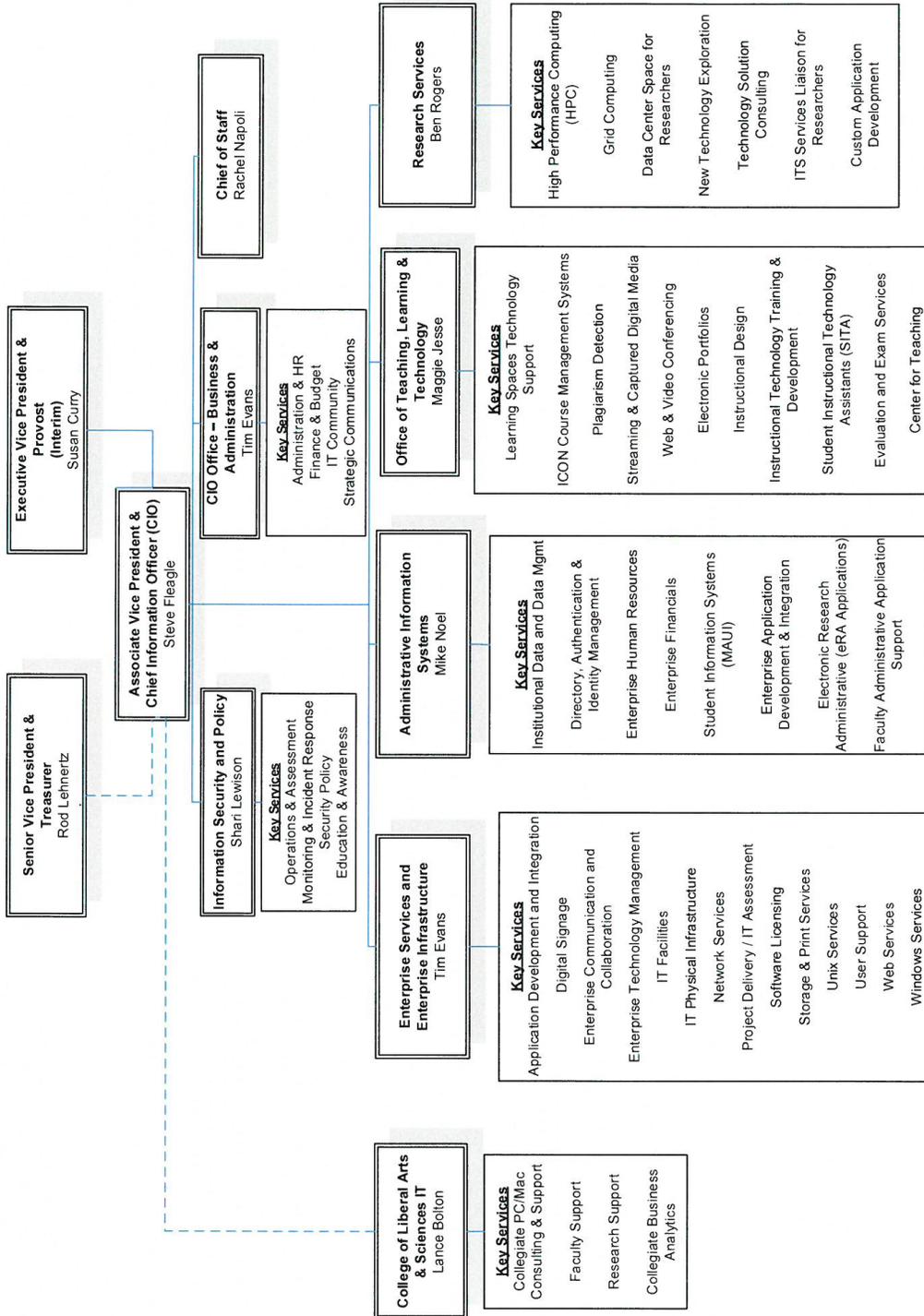
February 2018



~ Denotes a LEED Accredited Professional  
 \*\* Denotes team manager  
 + Denotes provides support to Director

# The University of Iowa Information Technology Services Departmental Structure & Key Services

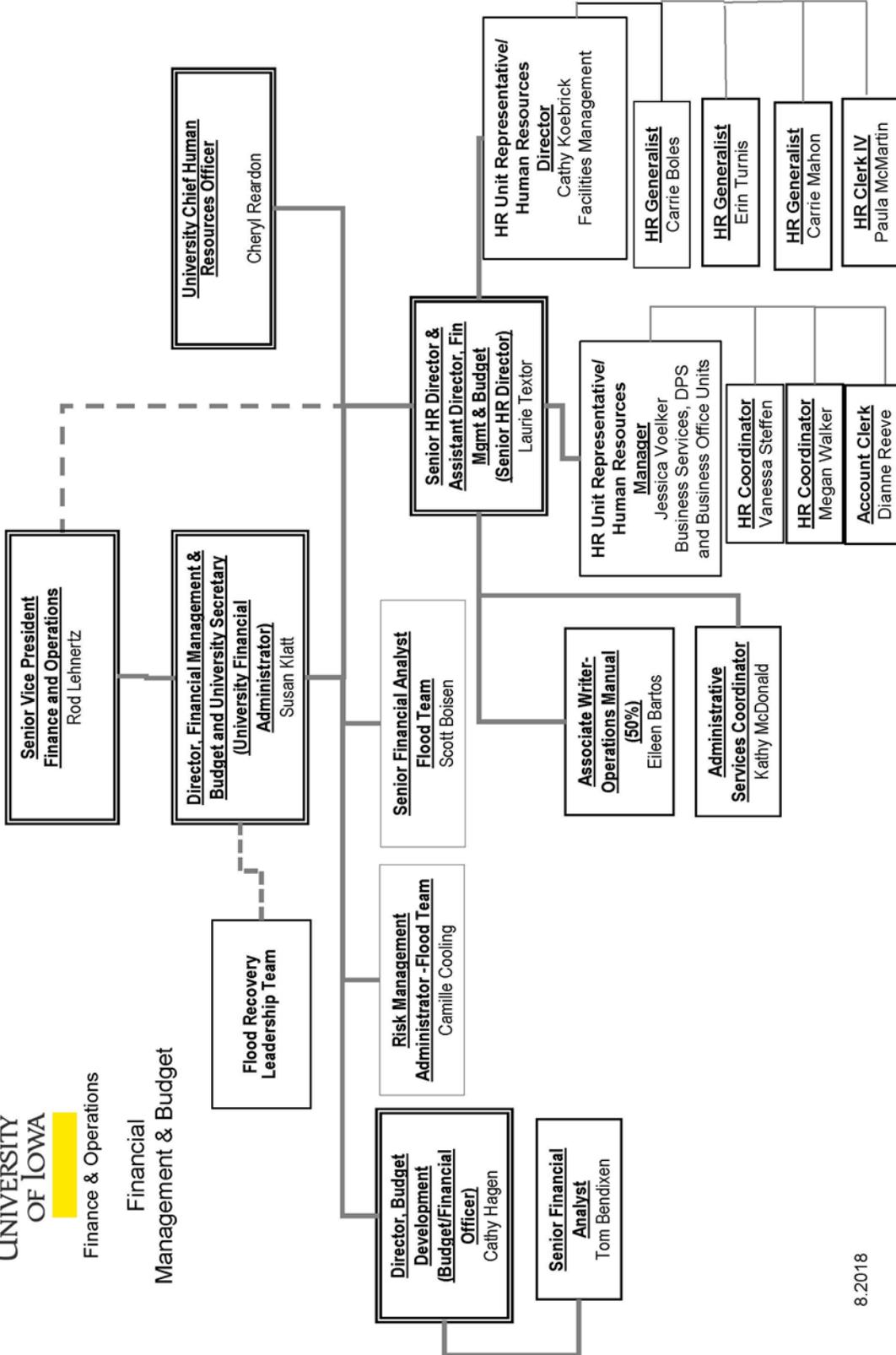
April 2018





Finance & Operations

**Financial Management & Budget**



8.2018

# Additional SWOT Analyses (Specific Departmental submittals)

## CFO/Controller/Treasurer

SWOT Analysis		Helpful	Harmful
Internal	<b>Strengths</b>	<b>Weakness</b>	
	Environment & culture of accountability with focus on collaboration, process improvement and results.	Need additional functional resources ... <ul style="list-style-type: none"> <li>to work on development of financial systems/tools</li> <li>to support tax compliance issues proactively (private business use tracking, UBIT activities, etc)</li> <li>to provide education &amp; training to campus on complex compliance issues (tax provisions, financial research compliance, accounting transactions, cash handling, reporting/analysis, etc.)</li> </ul>	
	Experienced staff with deep institutional knowledge, effective functional expertise and strong work ethic.	Need additional technical/programming resources... <ul style="list-style-type: none"> <li>to provide robust new reporting &amp; business analytics tools</li> <li>to upgrade existing web-based transactional &amp; reporting applications</li> <li>to minimize delays in reporting for PI/departamental research administrators</li> <li>which are integrated by joint leadership in order to provide transparency in prioritization &amp; resources management</li> </ul>	
	Larger departments are organized by teams to develop expertise in specific areas, increase efficiencies, and provide consistent service to campus	Certain manual processes need to be replaced (auditing cash handling procedures, UBIT compliance and graduate education form data collection from campus).	
	Mature & reliable processes which attempts to maximize use of technology with documentation available for critical procedures.	Lack of journal approval by campus for PayCV, WebCV, GLIE, & feeder system GL.	
	Robust central systems with substantial automated controls and integration with other systems (general ledger, grant information & management systems, Electronic Financial Reporting).	Limited opportunity for growth within the department and/or F&O. Also, staff workloads and stress levels can lead to burnout (GAO).	
	Productive working relationships with campus customers (Business Officers, Research Administrators, Department Administrators), central units/support functions (ITS, FBIS, Payroll, Business Services, Sponsored Programs) and external peer groups (Big 10 Controllers, University Tax Peer Group, Big 10 Sponsored Programs, etc.)		
External	<b>Opportunities</b>	<b>Threats</b>	
	Negotiating increase in F&A reimbursement	Declining funding from State Appropriations reduces available resources to dedicate to needed areas (like enhanced use of technology) and limited ability to properly compensate staff through annual raises.	
	New budget process & software will highlight opportunities in current systems/processes for improvement	Accounting transactions/processes are very decentralized	
	Enhancement to space analysis tools	Campus interpretation of CEA and new Budgeting Model	
	Possible elimination of State UBIT expense & related compliance efforts (State unrelated business income tax potentially not applicable to the University)	Lack of predictability/stability of DHHS Cost Allocation Office	
	Possible elimination of new excise tax on executive compensation (investigating University's tax status with IRS as being an "integral part of the state" instead of an instrumentality).	Tax exposure and increased cost of compliance... <ul style="list-style-type: none"> <li>Uncertain federal tax exposure created by changes in the new tax law (UBIT separate reporting, excise tax on compensation, and qualified transportation fringe subject to UBIT)</li> <li>Additional endowment investments in alternative investments create additional UBIT risk and tax reporting</li> <li>Potential for state legislature to pass unfavorable laws (general sales tax exemption was almost lost in response)</li> <li>Potential for increased multistate sales tax compliance in response to Supreme Court's recent Wayfair decision to require out of state businesses to collect sales tax.</li> <li>Anticipated changes to Form W-4 by IRS will create challenges for Payroll and employees for 2019.</li> </ul>	
	Productive and efficient training opportunities and guidance from KPMG GASB webinars, GASB staff, and NACUBO.	Salaries of staff are not competitive with similar positions within the University (especially when factoring in areas of responsibility).	
	Increase effective communication with State auditor's Office for implementation of new GASB guidelines to prepare annual audit and financial reporting.	Annual turnover in State Auditor staff, turnover with State Auditor manager every 3-4 years, and expected retirement of long-time senior in-charge State Auditor.	
	Better integration with Sponsored Programs processes, systems, and data, increase and improve service levels to researchers	Increase in the number and complexity of GASB standards. Short time frame between availability of GASB implementation guide and implementation date for report preparation and accounts restructure.	
	Streamlined central processes and increased support levels help reduce administrative burden on researchers	Increased efforts to monitor sponsor compliance... <ul style="list-style-type: none"> <li>Complexity of sponsor requirements, systems and methods for reporting/requesting funds</li> <li>Audit scrutiny to support Federal government policies to prevent fraud, waste and abuse.</li> </ul>	
Future use of RFID tags would streamline physical inventory process			

## **Parking and Transportation**

### **Strengths**

- Parking and Transportation-Cambus provides over 4,000,000 rides to campus students, faculty, staff, and visitors every year, the largest transit ridership in the area and contributes to the largest metropolitan area ridership in the state. Cambus also is unique in that as a Higher Education campus transit system, it receives federal funding. The Federal Transit Administration has given Cambus very high reviews for its operational effectiveness and compliance with federal regulations. As part of a recent triennial review the Federal Transit Administration wrote that Cambus was a well-run organization.
- Additionally, Parking and Transportation is engaging with its campus stakeholders to create a culture of collaboration and engagement. This culture is spreading throughout the department and creating workplace efficiencies and internal connections and partnerships. Leadership is well engaged and internal and external customer engagement is meaningful.

### **Weaknesses**

- The experience our customers expect when riding in a transit bus, parking their vehicle, or driving a university vehicle, has changed. There is a much higher expectation from our customers than we have historically had. Parking and Transportation needs to be more nimble and responsive.
- Parking is made up of a system with many exceptions, creating strains on efficiencies, controls, and staff.

### **Opportunities**

- Parking and Transportation has had some high level turnover and a fresh look at the way services are delivered. There are opportunity for additional shift the culture of campus wide collaboration and partnerships.
- Parking and Transportation has the ability to create a great first and last impression for those who come to work, play, study, and receive healthcare on the University of Iowa Campus. The opportunities to create lasting impressions are endless.

### **Threats**

- Parking on campus is in very high demand and on certain points on campus, we cannot meet the demands with reasonable parking options. Student storage parking demand is at historic highs. The need for patient parking is growing at approximately 3% per year while recent building construction has reduced the number of parking spaces on the west district of campus.
- Federal Tax Laws that went into effect in January of 2018 are/will have significant impacts on parking revenues and rates. Qualifying transportation fringe benefits are being charged an Unrelated Business Income Tax of 21%. This is estimated to cost Parking and Transportation \$1.5M-\$2.5M annually.

## **Purchasing**

### **Strengths**

- Purchasing handles over \$900M in purchases annually. While the spend for the University has continued to grow, triple what it was in 2003, the size of our staff has decreased, using best in class software and processes to keep up with the growing demand. Raising the bid threshold to \$50,000 to match the state's bid threshold allows Purchasing to focus on getting best pricing on high dollar contracts, versus being spread thin navigating through low dollar one time purchases.
- Purchasing has recently received the Achievement of Excellence in Procurement award for each of the years from 2014-2018. The Achievement of Excellence in Procurement® (AEP) award is earned by those organizations that demonstrate excellence by obtaining a high score based on standardized criteria. The criteria are designed to measure innovation, professionalism, productivity, e-procurement, and leadership attributes of the procurement organization.

### **Weaknesses**

- High turnover in staff has created difficulties in building a strong and experienced team. Recent change in management was necessary to improve the overall culture but takes a toll on progress.

### **Opportunities**

- Purchasing applied for and received the authority to use the \$50,000 bid threshold for all federal procurement. This allows us to unilaterally raise the workflow approvals to higher levels, reducing the workload for current staff. Purchases under \$10,000 will be approved automatically once department workflows are complete.

### **Threats**

- Hiring qualified staff for procurement positions has always been difficult and the amount of training time invested in new staff to become quality purchasing professionals is significant. The salary range and budget for these positions is not competitive with the market and staff are often enticed away with additional pay.

## **Risk Management**

### **Strengths**

- Active involvement in various committees and initiatives on campus to help identify and advise on potential risks to campus
- Able to collaborate with a wide variety of units across campus to discuss individual events or research projects and partner with them to be successful while mitigating and reducing risk

- Strong relationships with Purchasing, OGC, Facilities Management, International Programs and the IRB that allows us to consult and advise on contractual risk transfer
- Staff experienced in the insurance industry and with FEMA claims and reporting
- Staff with advanced degrees and legal/contract experience

### **Weaknesses**

- Legacy systems and practices need to be more efficient; for example: streamlining the collection of property values, full implementation of the new claims processing software (Origami) and updating the Driver's License Review System
- It is a constant struggle to devote the time necessary to keeping up-to-date on new and emerging issues/risks in order to advise and help mitigate the risk to campus
- We do not have an active ERM team/initiative at this time

### **Opportunities**

- This fall we will be bringing a new insurance broker onboard with strong higher education experience, more influence in the market and a larger team to provide a higher level of service
- Collaborate with other BOR and Big Ten schools to share best practices and experiences
- Utilize resources available through professional associations, such as URMIA, RIMS, and PRIMA, to learn about and prepare for new and emerging risks

### **Threats**

- Emerging risks in higher education including: TBI (traumatic brain injury), cyber threats, minors on campus and sexual molestation/abuse claims
- The University's financial position could impact our ability to purchase the appropriate types and limits of insurance
- Changes in federal or state regulations could impact our ability to utilize resources or funds in a disaster

### **Accounts Payable**

#### **Strengths**

- Audit expenses to ensure compliance with Board of Regents, IRS, and University policies
- Expertise on payables systems
- Act as a liaison between departments and vendors to resolve invoicing issues
- Vendor statement review to capture credits owed to the University, processed \$7,400,000 in credits CY18
- Process all payments for UIHC and campus in a timely manner which is critical to teaching, research and patient care
- 50% of all payments are processed electronically
- Cross training of AP staff allows seamless back up when there are absences

- Experts on Universities procurement tools
- Experts on payment issue resolutions
- Longevity of staff with an average of 19 years of experience
- Review of invoice exceptions to ensure pricing and receipt of good and services
- Ability to review and rush payments to avoid interruption in Universities services
- Keeping up with high volume of vendor and department payment inquiries

### **Weaknesses**

- Manually printing invoice which can lead to missing invoices
- Manual entry of invoices could cause an error in processing for payment

### **Opportunities**

- Automating review of vendor statements
- Implementing more vendors on automated invoice loading to People Soft
- Building knowledge bases and provide continued training for staff
- Building a culture of excellent customer service

### **Threats**

- Incorrect vendor billings which result in over payments
- Fraudulent activities

## **University Shared Services (USS)**

### **Strengths**

- Virtual centralized department structure where staff are located near their customers
- Provide expertise advice to departments on University policies and procedures
- USS management provides consistent and continuous training on all transaction types
- Increase efficiency by faster and more accurate transaction processing
- Highly skilled staff dedicated 100% time to creating financial transactions which reduces re-work and allows departments to focus on their mission
- Create a culture of excellent customer service
- Diverse staff with varying backgrounds and skillsets
- Separation of duties between USS and the departments allows for quicker fraud detection
- Cross trained staff can fill in at any org at any time to avoid interruption in service
- Experts creating transactions reduces the need for central audit review
- Certification program for eligible staff which auto passes their transactions after departmental workflow review
- Ability to adapt quickly to changes in University policies and procedures
- Act as a liaison with departments, Purchasing and Account Payable on complicated purchases

- Share our implantation plans with other institutions that are beginning their implementation
- Monitor Key Performance metrics to measure outcomes and provide feedback to customers
- Realigning staff who transitioned to USS but were not properly managed in their previous positions
- Reduced number of staff and made good use of available resources

### **Weaknesses**

- Dependency on Procurement holders for documentation

### **Opportunities**

- Implement USS at UIHC and CCOM
- Continue to grow and develop training program
- Increase menu of services provided by USS
- Reward talented staff members with salary increases

### **Threats**

- Budget constrictions on salary increases which could lead to losing talented staff
- Resistance to the USS model from faculty/staff
- Departmental Admins who continue to be a part of the transaction process which leads to the perception USS is not saving them any time

## **Laundry Services**

### **Strengths**

- Focus on Patient Care: Laundry Services is committed to supporting patient care for University of Iowa Hospital and Clinics. On a daily basis, we play a crucial role in the transportation and processing of soiled linens, ensuring that all laundered items are hygienically clean and turned around as quickly as possible. Our work affects the ability for the hospital to function successfully daily, so it is vital that we are as efficient as possible, and responsive to the hospital's continuously changing needs.
- Quality: Because the work we do affects patients directly, it is extremely important that we handle items and our environment utilizing guidelines and best practices outlined by the CDC and OSHA. We constantly monitor our washers and dryers for proper temperature levels and chemical formulas to meet safety standards for health care linen processing. Our staff take extra precautions to ensure both their own safety while handling soiled linens, but also the safety of the patient in the processing and handling of clean linens that are to be sent back to the hospital for use.
- Continuous Improvement: A combination of factors keep us focused on continuous improvement for the Laundry plant. Two factors in particular are our focus on patient care and safety, and a consistent increase in overall linen volumes from the hospital over the past five

years. As a result, we have made improvements to our operation, among which include a change over to the City of Coralville's water supply and the installation of a new chemical system that utilizes hydrogen peroxide rather than bleach. These two changes drastically reduced the amount of discards and rewashes of items due to staining, resulting in cost savings for the hospital by reducing their need to replenish inventory on certain items as often as they had in the past. In addition, the replacement of six 450 pound washers to much newer and more efficient models, and a redesign of our rail and bag control system have allowed us to reduce our wash and dry cycle times, increasing overall productivity to match the increased output from the hospital.

## **Weaknesses**

- **Aging Equipment:** While Laundry Services has made numerous improvements over the past few years, it will be important that we continue to do so as potential increases in patient capacity at the hospital will continue to affect our workloads in the future. The majority of improvements needed at this time will be on our clean production side where we have some older equipment in need of updates or replacement. We will be introducing new production tracking software later this year, which will allow us to monitor output and maintenance downtime for each individual workstation. This new data will help us prioritize changes and updates going forward.

## **Opportunities**

- **Better data management:** As mentioned above, the introduction of new productivity software for the plant, along with a new reporting system, will provide a "whole plant" view of our operation. This means that management will be able to quickly direct changes to work assignments based on the changing needs of the hospital any given day. In addition it will provide visibility to any production bottlenecks, washer and dryer efficiency, and will allow us to provide real time feedback to staff. This new, automatically captured data will allow for both short and long-term analyses of production and product trends, and we will be able to provide better reporting to the hospital for their use in inventory management.

## **Threats**

- **Capacity:** The biggest impact to our business at this time is the increase in linen volume from the hospital. We have taken steps over the past few years to prepare for this, including RFPs to outsource services for campus that did not fit into our (patient-focused) model, i.e. Uniform Rental and Dust Control programs. As we move forward, we will need to look at trends with our production numbers and hospital inventories, and work with the hospital's linen room to determine what our needs may be five years from now to plan our equipment, building, and staffing needs accordingly.

## **Printing & Mailing Services**

### **Strengths**

- **Service:** Printing & Mailing Services maintains an extremely experienced staff that are able to work with departments and individuals throughout the University, regardless of their prior knowledge of printing or mailing processes, to provide positive customer experiences that are customized to meet a variety of needs. Our Customer Service teams provide options and alternatives when necessary to help our customers navigate the intricacies of print and mail projects, understanding the need for a quality product while also taking into account a department's budgetary limitations. In a recent survey provided to our customers, 96% of respondents indicated their satisfaction and positive experiences in working with University Printing & Mailing Services.
- **Quality:** With a vested stake in the success of the University and its mission, we strive to provide the best possible quality product for our customers. We understand our products can serve as representations for a department or the University as a whole. Recruitment or fundraising pieces, conference materials, academic publications, and patient billing statements are just a few examples of the work we produce that external audiences will view. Because of this, we review jobs throughout our entire production process, communicate with our customers if we find any issues prior to distribution, and we follow up and respond to any quality concerns immediately.
- **Efficiency and Convenience:** As a one-stop shop for both printing and mailing services, we are able to manage any number of projects for our customers across the University. From the smallest copying job, to direct mail campaigns with numerous moving parts, we are able to move quickly within one central location to meet what are often very tight project deadlines for departments. Our printing and mailing staff work closely together to consider all of the details of a project prior to the start of a job, and appropriately manage these details to minimize issues, delays, or any need for rework. In addition to our centralized location at Mossman Business Services Building, we maintain two convenient walk-in copy centers located near the Pentacrest, in Pappajohn Business Building, and near the Hospital, in the Boyd Law Building. Faculty & Staff and students are all able to take advantage of the quick turnaround times offered by these two locations. These centers also allow us to move work around as needed based on workloads and capabilities at each location, again allowing us to meet our customer's needs in a timely manner. Finally, our on-staff courier and our integration with Campus Mail means we are able to deliver finished products to our customers often on the same day they are completed.

### **Weaknesses**

- **Resources and Staffing:** Being a self-sustaining unit, we continuously focus on "doing less with more". Keeping our staffing low, with a reduction of overall FTE's through natural attrition, means we can find ourselves short-handed during high volume periods. We have been able to meet our commitments by moving staff around, hiring temporary staff when needed for a project, or working overtime as needed.
- **Aging Equipment:** The printing and mailing industry is constantly changing, introducing new technologies and capabilities. Printing Services maintains a number of presses and bindery equipment that require specialized skill sets to operate, and need consistent maintenance and repairs. Due to being a self-sustaining unit, we are not always able to keep up with the latest

industry trends, but our equipment is suited to meet the needs of most of our customers. Occasionally we do need to outsource work that would be a better fit for a larger production facility, or requires specialized handling.

## Opportunities

- **Additional Services/Offerings:** One area of opportunity for printing services is to look at new and/or expanded service options for our customers. We offer a large variety of services currently, but based on recent survey results, there is interest from campus for us to look at offering additional printed promotional items.
- **New Technologies:** Digital printing capabilities are constantly changing, and upgrades to our services allow for expanded options for our customers. Some recent examples of this include the ability to print on different substrates, eg. vinyl or canvas, or various textured print effects such as raised ink. One other major area of opportunity is for us to look into electronic publishing options for our customers. As departments look to minimize costs, having the option to distribute visually dynamic, online versions of publications or reports to replace or supplement printed pieces is becoming more relevant than ever.
- **Self-Marketing:** Printing Services could do a better job of advertising its various products and services to campus. We have several services that could be advantageous to various customers that may be under-utilized due to a lack of knowledge on campus. For example, our VDP (Variable Data Printing) service offers departments the ability to create highly individualized print and mail pieces for their target audiences. Our website is also due for a redesign as it is currently outdated and somewhat difficult to navigate.

## Threats

- **Paper Costs/Availability:** The printing industry is facing challenges today in terms of increased paper costs and availability as the result of paper mill closures, and recent changes to the global recycling model. Access to recycled paper is becoming less prevalent, and printing services may need to look at new models in terms of how it sources its paper needs while maintaining a focus on sustainability such as utilizing FSC-certified paper.
- **Budget Cuts:** Budget cuts directly affect our bottom line. For us to remain successful, we need to make sure we are maximizing our efficiency while also reducing costs. If budget cuts continue as they have been, the result will be a continued reduction or discontinuation of repeat jobs from campus, and loss of revenue. Recent retirements, in combination with our inability to compete with the private sector in terms of salary offerings and raises has recently resulted in some natural attrition. We have been able to absorb most of our loss in staffing by realigning work assignments or by reviewing processes to eliminate waste wherever possible. However, as we move into the new school year and our volumes increase, we may find ourselves lacking the necessary coverage.

## **Surplus**

### **Strengths**

- Ensures the best resale value of SUI property through distribution through the University, public sales and online auctions.
- Successfully manages recycling of items that are not sellable to avoid sending to the landfill.

### **Weaknesses**

- Staffing, surplus is operated by 3 full time staff 1 ¾ time person and student help. The department is vulnerable if we were to lose a staff member for a lengthy period of time.

### **Opportunities**

- System revision for better tracking of the life of property. Potential for fraud is clear for items not tracked in departments, allowing for items to never make it to Surplus.

### **Threats**

- As budgets have tighten throughout campus we notice the value of items are dropping which will affect the amount returned to departments and the overall surplus budget.

## **Central Receiving/General Stores**

### **Strength**

- Central Receiving is a University-funded service that provides shipping and delivery of goods at no charge to University departments. We receive about 3500 tons of freight per year, with about 20 trucks arriving at the docks daily. Because our facility is located away from the campus area, we combine shipments from many trucks and send them out our deliveries, we help to reduce the number of vehicles on campus. We have the employees and equipment necessary to unload, receive, document and deliver almost any item shipped to the University.
- Central Receiving does very well at getting the product out same or next day. Delivery drivers are on time and we have had very few failures with regards to lost or damaged packages

### **Weaknesses**

- Overhead costs and keeping up with changing inventory needs.

## Opportunities

- We are in the process of converting General stores over to an ebuy program to reduce the amount of items in stock compared to having it shipped next day. With the chance of stock changing and overhead costs it makes more sense to buy the items as needed through an ebuy vendor.

## Threats

- None identified

## Finance and Business Information Systems

### Strengths

- Close relationship with our customers  
As part of UI Business Services, Finance and Business Information Services values the relationship with our customers as the most critical one and keeps investing into it over time. The two-way trust we have with our customers enables us to make unique contributions to their successes and helps us serve the entire campus through their services to departments, students, employees, patients, and visitors.
- Broad partnership with OneIT departments  
FBIS is one of the administrative satellite IT groups among OneIT departments. The collaboration with other IT teams allows us to focus on specific value-add services to our customers while relying on other units to provide commodity technical infrastructure services. The deepening partnership also encourages us to seek more supports from OneIT, join effort on enterprise-level initiatives, and pilot new systems to gain experiences for broader IT community.
- Innovative culture  
Though every other IT team probably claims they are smart, we truly have a group of very talent individuals who are committed to a culture of consistent quality, cost-effective innovation, and continuous learning. We are dedicated to help our customers take advantages from cutting edge technologies and creative solutions. Our customers are also very open to bring their challenges to us and work together to achieve great results.
- Teamwork  
We value teamwork among ourselves and with all stakeholders. We are proud of our accountability at both individual and team levels. We enjoy open and honest communication and feedback. We also strive to promote teamwork across departmental boundaries.
- Diversified workforce  
We benefit from a workforce with highly diversified background. Half of our team members are females and/or minorities. We have sub-teams specialized on IT operations, application development, and business analysis. We have people with advanced technical expertise and

strong social skills. The joint force allows us to consider ideas from various perspectives and execute project plans to satisfy multiple goals.

- Flexible funding models  
The multiple funding models and revenue sources allow us to be flexible in responding to dramatically changing demands from different customer departments while maintaining a relatively stable workforce with up-to-date skillsets. The internal processes we use to manage these revenues and allocations also keep us transparent on expenses and lean on operations.

### **Weakness**

- Indirect contribution to University missions  
As a team who serve Financial and Operations departments, who serve other campus departments and colleges, who, in turn, serve students, faculty, patients and other primary customers of the university, we sometimes feel remote to the main business objectives of the organization and uncertain on how significant our contributions are to the top-level missions. Information and challenges shared by customer departments are very helpful for us see where we fit into the big pictures. Multiple channels for feedback are also greatly appreciated.
- Career development constraints  
As a relatively small IT unit on campus, we don't have bandwidth to offer every step of all career paths. We choose and develop individuals to serve at the right level that they contribute the most to the team and our customers. But we may not have positions available for them to bring their career to the next stage. This constraint increases the risk of losing our top talents to other companies. A broader cross training, job shadowing, rotation and promotion across boundary can be extremely valuable to retain them within the university.

### **Opportunities**

- Higher expectation from customers  
Thanks to the growing trust between FBIS and our customer department, they are expecting more from IT services we provide. The dynamic business environment and increasing financial challenges only accelerate the pace. This opportunity draws us closer to them to understand their business practices to make more contributions to their value proposition through collaborations and innovations.
- Further collaboration with OneIT  
OneIT provides a shared platform for us to take advantage from the expertise, investment and funding models of other IT teams. We are networking and cooperating with them at various levels, and yet still far away from realizing the full potential of boundary-less collaboration.
- Emerging technical trends  
IT industry never runs out of newer and cooler technologies for us to bring value to the organization. The cycle is getting faster and the choices are more diversified. At present, we see cloud computing, Business Intelligence, and mobile platform support and development project big potentials to transform the key services we deliver to our customers and how we deliver them.
- Students internship  
We are fortunate to have enthusiastic students in computer science, business analytics, and other majors who seek internship to apply their knowledge to real-life projects. They give us opportunity to contribute to student success while increasing our capacity in handling entry-

level tasks. We also built solid tracking records of bringing them into the team as highly productive full-timers once they graduate.

### **Threats**

- **Uncertainty of operation environment**  
As frequent budget cuts and resource shortages catch more attention of our customers, they may not be as available and ready to work on long term IT investments. Once they make decisions on new projects, they often demand quick turn-around to realize immediate return. This sometimes causes bursts in project pipelines. Meanwhile, other OneIT departments, especially those who provide upstream services, are also adjusting the service categories and pricing models. These changes require us to be more responsive to maintain static operation levels and bridge emerging service gaps.
- **Higher market competition for IT personnel**  
With on-going talent shortage and recent salary freezes, we expect more severe competitions from other companies to hire away our valuable IT professionals. The turn-overs would not only drive up long term acquisition and development cost, but also cause us to lose business know-hows and technical expertise on mission critical systems.

## **Business Services Business Intelligence**

### **Strengths**

- **Automated Systems:** Electronic systems have been implemented for many of the primary functions in the Purchasing, Accounts Payable, and Travel organization. Most of the systems have been in place for some time and the team is very familiar with their operations. The current systems in operation include ProTrav, E-PRO (eVoucher and PReqs), PeopleSoft (AP, PO, Contract Management, and Inventory), DocuSign, eBuy (Jaggaer), GHX, eBid (Ionwave), APPO Webpages, and VendorTrac. Commercial off-the-shelf (COTS) software is maintained at the most current release with the latest patches/fixes. New enhancements to these systems are regularly implemented to further improve existing processes, making them more efficient.

### **Weakness**

- **Systems Integration:** It is a great strength that so many functions have been automated however many of the solutions were implemented as disparate systems because integrated solutions were not available at the time. In many cases, integration with existing systems would not have been easily achievable. As new solutions are implemented, integrated solutions are always considered first and COTS systems are reviewed regularly to determine if a survey of new and enhanced systems should be completed to identify the latest best-of-breed solutions. As an example, VendorTrac was developed in-house many years ago and is currently in the process of being replaced with PeopleSoft's eSupplier Connection module.

## Opportunities

- New Technology: New technology and development tools have become available which enables new functional capabilities and business process improvements as well as improved system support and maintenance (ex. C#, .NET, Bootstrap, mobile applications, and cloud computing). Developers typically prefer to work with the newest technology and tools which is important from a staff retention perspective and new technical staff members are often only familiar with the current technology and tools. Both the ProTrav and the E-PRO systems are in the process of being rewritten using the latest technology and tools.
- New Systems: An emphasis continues to be placed on identifying automated solutions for current business processes to help allow staff to focus on the highest value-add activities and to help meet ongoing budget constraints. Currently, projects for the implementation of Oracle's Governance, Risk, and Compliance (GRC) system, PeopleSoft's eSupplier Connection, and a new business intelligence (BI) solution are underway.

## Threats

- Aging Technology: Custom systems were developed with the technology and development tools previously available. As new technology and development tools have become available (ex. C#, .NET, and cloud computing) the ability to maintain the legacy systems and add new functionality with outdated technology and tools is diminished. Over time, this can force systems to be rewritten using the newest technology and tools so that systems are maintainable and new functional capabilities can be added.
- Ongoing/Increasing Maintenance Costs: As budgets tighten, planning for the maintenance support of existing and new systems is critical. Software publishers regularly increase maintenance costs for COTS software and programming staff costs continue to grow. The organization continues to focus on fully leveraging existing systems including implementing functional enhancements to help ensure the benefits of maintenance outweigh the costs.

## Information Technology

### Strengths

- Technologies: Robust, reliable, modern technologies are deployed.
- IT services: A broad set of IT services is delivered well for campus.
- IT workforce: The workforce is skilled and devoted.
- IT culture: There is a longtime culture of collaboration and engagement across IT and with UI customers.
- Strategic approach: A new strategic plan, a shared vision for IT units that aligns with UI goals, is in place.
- Effective and efficient: Efficiency and effectiveness is in our DNA, having been through continuous rounds of consolidation, efficiency efforts, and reviews for the past dozen or more years.

## Weaknesses

- Number of services: The large number of services can create support challenges.
- Staffing levels: Staffing is thin, workloads at capacity, and skill needs ever-evolving. Keeping up is hard.
- Funding: Funding and funding models are inconsistent across campus units. Budget challenges persist.
- IT organizational evolution: We are still in transition to a full “OneIT” organization, but also beginning more focused harmonization efforts with Health Care IT (HCIS).

## Opportunities

- Cloud: Cloud infrastructure, platforms and services are becoming more broadly viable for our campus.
- IT in teaching and learning: Unizin provides access to a more integrated teaching and learning ecosystem: tools, content, and data collection.
- Data usage: We are developing better data collection and analytics for university planning, operations, and decision making, as well as for research and student success.
- Innovation: Consolidation and efficiency efforts look to shift efforts from commodity IT services and infrastructure into innovation and support for research, teaching, and learning.
- OneIT organization: Evolving IT organization provides more opportunities for staff development, additional areas for efficiency and effectiveness improvements, and better integration for customers.

## Threats

- Increased use of IT: Nearly all UI departments rely on IT. Demand for and use of services are growing with no end in sight. Scaling up services without corresponding increases in budget is a challenge.
- Budget/funding: Funding uncertainties constrain the ability of IT to take risks that foster innovation and campus advancement. Continuing budget reductions risk reducing IT to bare-minimum “utility” services.
- Rapid changes in IT: All areas of IT are changing rapidly: technologies, security threats, cloud, data collection and analytics, IT devices, etc. This presents a competitive threat to UI if we cannot keep up.
- Staff recruitment and retention: IT success is dependent on its workforce. Keeping up with the market for compensation, skill development, and career advancement is a challenge as the private-sector economy improves and government-sector funding decreases.

## ***Appendix B***

### ***Review Committee's Request for Additional Information***



**COLLEGE OF LAW**

464 Boyd Law Building  
Iowa City, Iowa 52242-1113  
319.335.9883  
joseph-yockey@uiowa.edu

19 September 2018

Mr. Rod Lehnertz  
Senior Vice President for Finance and Operations and University Architect  
University of Iowa

*Re: Request for additional information for faculty review of F&O operations*

Dear Rod:

Thank you for the self-study of the various units of the Finance and Operations office (F&O). The self-study has proven very helpful as we think about the nature and scope of our review.

While the report provides considerable background, we do, however, have several clarifying questions that we would like to ask before we begin our own surveying and interviewing. We are keen to produce a review that has value for F&O and for faculty governance, and our questions are offered in a spirit of meaningful collaboration.

One set of questions concerns who among university employees and faculty (F&O's "customers") you included in your self-study, as well as how they were included. Another set of questions concerns what metrics you have available to bring greater specificity to the claims in the self-study and accompanying documents. A third set asks for details about the allocation of funds within F&O, as well as the office's efforts to contain costs and improve efficiency. A final set of questions deals with F&O units' roles and responsibilities in response to major challenges since the last review. The flood of 2008, for good reason, gets special mention in the self-study, but other challenges, such as the change in the budget model, do not. The paragraphs below describe our thought process, and the appendix lists specific items for your consideration.

First, regarding the self-study report, did the various units that created it seek the input of both rank-and-file employees and management employees (e.g., through surveys or interviews)? Did they, for example, use data from Working at Iowa or some other mechanism? Similarly, do the various units whose work explicitly affects faculty (and students) regularly, or even irregularly, seek from those constituencies their perception of the units' work? Perhaps there have been questionnaires or surveys or other forms of input sought from appropriate charter committees. Our work would be simplified and enhanced if you could provide us answers to these questions and any relevant metrics.

Next, your self-study indicates a perception of a “fat middle” that runs counter to the actual efficiency and funding of operations. Because the allocation of funds within the University is of direct concern to faculty, we would like greater insight into the process of setting budgets for F&O and its units, as well as how the units have coped with the seemingly inevitable budget reversions and overruns across the campus and within F&O. Specifically, it would be helpful for the committee to see how actual expenditures compare to the original budgets for each unit for at least the past two fiscal years. It also would help to obtain details regarding measures of activity volume and some indication of how operational efficiency has (or has not) improved over time.

Similarly, we know the valiant effort that you and F&O have devoted to flood recovery. Any available specific information about this continuing effort in the last decade would help us appropriately evaluate the balance of those challenging responsibilities with the ongoing functions of the institution. In addition, information about the management of other major challenges would help us produce a review with real use value. Current major changes like the significant cuts in state funding and the change in the budgeting model, and on-going challenges like the relationship between UIHC and UI, are, we suspect, integral to the work of some of your units—but the self-study is largely silent on the specific details surrounding such major challenges.

In seeking these clarifications, we hope that we can agree on a reasonable and convenient response that provides us with additional detail in a defined amount of time. For example, it would be most helpful if you could respond to our questions by October 19, but please let me know what you believe is doable. We hope to begin surveying in October and to begin interviewing in November. These aren’t immovable deadlines, but they are serious aspirations. I’m happy to talk about possible ways to make this project more manageable.

In closing, we look forward to speaking with you and your colleagues in F&O as the review goes forward. We know we will learn a great deal, and we hope that our review will make F&O, the University, and the faculty stronger as a result of our interaction and dialogue.

Sincerely,

/s/ JWY

Joseph W. Yockey  
Professor of Law  
Chair, Senate Review Committee of F&O

cc: Ramji Balakrishnan  
Brian Burnett  
Barbara Eckstein  
Megan Foley Nicpon  
Alicia Gerke  
Lia Plakans  
Laura Zaper

## **Survey and other inputs**

1. Employee input
  - a. A description, along with applicable data, relating to any surveys (e.g., Working at Iowa) or other methods of obtaining data from your employees regarding the self-study or the functioning of F&O units.
2. Customer input
  - a. A description, along with applicable data, relating to any surveys or other methods of obtaining data from your “customers” (employees and faculty) regarding services that you provide.

## **Budgeting within the F&O office**

1. Setting and monitoring budgets
  - b. Is the office appropriately resourced? Are all budgeted funds always spent?
  - c. What is the process for setting budgets? For instance, what is the review process for budget requests made by and allocations made to F&O?
  - d. How has the F&O budget changed during the past five years? It would be helpful to have data on budgets and actuals, along with measures of activity volume.
  - e. What is the control over expenses? How do you deal with budget overruns?
  - f. How have the budgeted allocations to individual units changed over time? Again, it would be useful to have budget and actual cost data along with measures of activity volume, by unit, for the prior five years.
  - g. What kinds of actions are taken for budget overruns?
  - h. Please describe the change in staffing over the past five years. Here, it would be helpful to have a table of staffing levels, over time, with a note that provides the reasoning for major changes, if any.
2. Evaluating Initiatives
  - i. What is the process for evaluating capital investments? What is the process for prioritizing among competing initiatives?
  - j. How do you evaluate the need for staff additions?
  - k. What is the mechanism for prioritizing and evaluating discretionary programs?

## **Measures of Activity Volume**

1. Aggregate F&O operations
  - a. What are appropriate measures of activity? In other words, how is performance evaluated for F&O at the aggregate level? What are the relevant benchmarks (e.g., values for other schools)? It would be good to have data regarding targets, actuals, and benchmarks.
  - b. What is the process for (internal) strategic review? When was the last review? Who are the persons who participate in any such review?
  - c. Is there a periodic review of services to evaluate what services to insource versus outsource? Please provide specific examples as required.
2. Evaluation of Units within F&O
  - d. What are the key performance indicators (KPIs) for each F&O unit? Again, it would be helpful to have time-series data regarding targets and actuals for the review period. If possible, we would appreciate the categorization of KPIs into measures that face outward (e.g., customer satisfaction) and inward (e.g., number of transactions per employee).
  - e. In addition to the above KPIs, please describe and summarize any other ad-hoc (internal) customer-related data that you collect (e.g., via surveys). Likewise, please describe and provide data on measures of process efficiency.
  - f. Finally, so that we understand how your office evaluates sub-units, it would be helpful to obtain further clarity into how you set KPI targets and the process for monitoring/re-evaluating KPIs.
3. Evaluation within individual units of the F&O
  - g. To the extent possible, it would be helpful to obtain performance data for sub-units within larger units (e.g., reviews of purchasing within shared services).

## **Effects of major environment / process changes**

1. Budget process
  - a. Please provide a description of the budget model. That is, what is the model that determines the allocation of the GEF among colleges for F&O related matters?
  - b. Please comment on how the current iteration of the budget model was developed. Please comment on any impact in the F&O office as the model evolved over the past five years. What challenges do you anticipate going forward?

- c. How are F&O costs allocated to units? How were the allocation bases determined? What role do “customer” inputs play in this selection?
- 2. Budget implementation
  - a. How are budget priorities communicated to units throughout campus (e.g., colleges)?
  - b. What is the frequency of budget-actual comparisons provided to units?
  - c. What is the process for adjusting for variances / reversions?
  - d. What is the role of units (e.g. colleges) in configuring the response to budget shortfalls / reversions and other exigencies?
- 3. Other major changes
  - a. Flood recovery and management
  - b. Other changes, if any.

## ***Appendix C***

### ***Interview Schedule***

## ***Review of Office of Vice President for Finance and Operations***

***Monday, December 3 (B5 Jessup)<sup>1</sup>***

9:15 am - 10:00 am	<b>Lynne Finn &amp; Don Guckert (Facilities Management – Business &amp; Financial Services)</b> <ul style="list-style-type: none"><li>• Joe Yockey</li><li>• Ramji Balakrishnan</li><li>• <i>Alicia Gerke</i>***</li><li>• Brian Burnett</li></ul>
10:00 am – 10:45 am	<b>Peter Matthes (Senior Advisor to the President and Vice President for External Relations)</b> <ul style="list-style-type: none"><li>• Joe Yockey</li><li>• <i>Ramji Balakrishnan</i>***</li><li>• Alicia Gerke</li><li>• Brian Burnett</li></ul>
11:00 am – 11:45 am	<b>Rod Lehnertz (Senior Vice President for Finance &amp; Operations)</b> <ul style="list-style-type: none"><li>• <i>Joe Yockey</i>***</li><li>• Ramji Balakrishnan</li><li>• Alicia Gerke</li><li>• Brian Burnett</li></ul>
11:45 am – 1:00 pm	Review Committee Members take Brian to lunch
1:00 pm – 1:45 pm	<b>Jerry Anthony (Faculty Chair, Campus Planning Charter Committee)</b> <ul style="list-style-type: none"><li>• Joe Yockey</li><li>• Megan Foley Nicpon</li><li>• Barbara Eckstein</li><li>• <i>Brian Burnett</i>***</li></ul>

<sup>1</sup>Names in italics and designated with \*\*\* are the assigned note-takers for each interview.

2:00 pm – 2:45 pm	<b>Debby Zumbach (Director of Purchasing)</b> <ul style="list-style-type: none"> <li>• Joe Yockey</li> <li>• <i>Barbara Eckstein***</i></li> <li>• Brian Burnett</li> </ul>
3:00 pm – 3:45 pm  <i>NOTE ROOM CHANGE TO 105 JESSUP</i>	<b>Susan Klatt (Director of Financial Management &amp; Budget)</b> <ul style="list-style-type: none"> <li>• <i>Joe Yockey***</i></li> <li>• Megan Foley Nicpon</li> <li>• Ramji Balakrishnan</li> <li>• Brian Burnett</li> </ul>
Evening	Brian Burnett to have dinner with Rod Lehnertz
<b><i>Tuesday, December 4 (B5 Jessup)</i></b>	
9:00 am – 9:45 am	<b>Scott Beckner (Director of Public Safety)</b> <ul style="list-style-type: none"> <li>• Joe Yockey</li> <li>• Megan Foley Nicpon</li> <li>• Lia Plakans</li> <li>• <i>Alicia Gerke***</i></li> <li>• Brian Burnett</li> </ul>
10:00 am – 10:45 am	<b>Ted Yanecek (Assistant to Senior Vice President Lehnertz)</b> <ul style="list-style-type: none"> <li>• Joe Yockey</li> <li>• Megan Foley Nicpon</li> <li>• <i>Lia Plakans***</i></li> <li>• Brian Burnett</li> </ul>
11:00 am – 11:45 am	<b>Laura McLeran (Senior Advisor to President, Associate Vice President for External Relations)</b> <ul style="list-style-type: none"> <li>• Joe Yockey</li> <li>• <i>Megan Foley Nicpon***</i></li> <li>• Barbara Eckstein</li> <li>• Brian Burnett</li> </ul>

11:45 am – 1:00 pm	Review Committee Members take Brian to lunch
1:00 pm – 1:45 pm	<b>Don Szeszycki (Provost Office – Director of Administration and Planning)</b> <ul style="list-style-type: none"> <li>• Barbara Eckstein</li> <li>• <i>Ramji Balakrishnan***</i></li> <li>• Brian Burnett</li> </ul>
2:00 pm – 2:45 pm	<b>Cathy Hagen (Financial Management &amp; Budget – Director, Budget Development)</b> <ul style="list-style-type: none"> <li>• Megan Foley Nicpon</li> <li>• <i>Barbara Eckstein***</i></li> <li>• Ramji Balakrishnan</li> <li>• Brian Burnett</li> </ul>
3:00 pm – 3:45 pm	<b>Sadie Greiner (Facilities Management – Director of Design &amp; Construction)</b> <ul style="list-style-type: none"> <li>• <i>Megan Foley Nicpon***</i></li> <li>• Barbara Eckstein</li> <li>• Ramji Balakrishnan</li> <li>• Brian Burnett</li> </ul>
<b><i>Wednesday, December 5 (105 Jessup)</i></b>	
1:00 pm – 2:30 pm	<b>Terry Johnson &amp; Cynthia Bartels (Chief Financial Officer; Director of Treasury Operations)</b> <ul style="list-style-type: none"> <li>• Megan Foley Nicpon</li> <li>• <i>Lia Plakans***</i></li> <li>• Barbara Eckstein</li> <li>• Ramji Balakrishnan</li> <li>• Alicia Gerke</li> </ul>

***Thursday, December 6 (B5 Jessup)***

3:00 pm – 3:45 pm

**Sarah Gardial (Dean, Tippie College of Business)**

- Joe Yockey
- Lia Plakans
- Barbara Eckstein
- *Ramji Balakrishnan\*\*\**

5:30 pm – 7:00 pm

**Review Committee Interview De-brief (2520B UCC)**

*Brian to join by phone*

## ***Appendix D***

### ***Faculty Survey Template***

**F&O REVIEW COMMITTEE 2018-19**  
**SURVEY OF FACULTY (DECEMBER, 2018)**

---

**Survey #1: General Faculty Audience**

**Targeted respondent group:** All faculty with at least 0.50 FTE (tenured, tenure-track, clinical, research, instructional, adjunct).

Working with HR, we will also request respondent demographic information (e.g., sex, faculty status, Collegiate home)

We will ask respondents to identify their length of employment status as one of the following:

- 0-2 years
- 3-6 years
- 7-10 years
- 11-15 years
- More than 15 years

**Welcome/Intro email:**

*Dear Colleagues:*

*The Faculty Senate is charged with reviewing each of the University's central academic offices and officials at least once every seven years. These reviews are conducted in collaboration with the Office of the President and are an important part of shared governance on our campus.*

*This year, President Bruce Harreld and Faculty Senate President Russ Ganim established a committee to review all of the [Office of Finance and Operations \(F&O\)](#), including the departments of Treasury Operations, Facilities Management, Purchasing and Business Services, and Public Safety.*

*On behalf of the committee that is tasked with conducting this holistic review, I'm writing to seek your feedback. Kindly complete our survey. Help us best assess the strengths of programs and where the University might do better.*

*The value of our review depends on a large number of responses to our surveys and interviews.*

*Thank you for your assistance.*

*Joseph Yockey, Faculty Senate Secretary & Review Committee Chair  
Brian Burnett, Senior Vice President, Finance & Operations, University of Minnesota  
Ramji Balakrishnan, Tippie College of Business  
Barbara Eckstein, College of Liberal Arts & Sciences  
Megan Foley Nicpon, College of Education  
Alicia Gerke, Carver College of Medicine  
Lia Plakans, College of Education*

**Performance Evaluation**

	Very satisfied	Satisfied	No Basis to Evaluate	Dissatisfied	Very Dissatisfied
How satisfied are you with University Shared Services (for travel requests and travel expense reimbursements)					
How satisfied are you with campus building maintenance & custodial services?					
How satisfied are you with campus recycling operations?					
How satisfied are you with the university's performance in snow/ice removal?					
How satisfied are you with the performance of the Department of Public Safety on matters relating to campus safety and security?					
Overall, how satisfied are you with the performance of the University of Iowa Police?					
How satisfied are you with university parking services?					

How satisfied are you with the availability of parking on campus?					
How satisfied are you with university transportation services (e.g., Cambus)?					
How satisfied are you with the university's printing services?					
How satisfied are you with the university's approach to campus planning?					

**Narrative Response Questions**

- 1) Do you have any additional comments for the review committee? For example, please feel free to explain the reasons for some or all of your survey responses.
- 2) What do you appreciate most from F&O on the University of Iowa campus?
- 3) What do you wish F&O would concentrate more on or improve to support the mission of the University of Iowa?

To provide additional feedback to the review committee, please write to Laura Zaper at [laura-zaper@uiowa.edu](mailto:laura-zaper@uiowa.edu)

[End of Survey #1]

\*\*\*\*\*  
\*\*\*\*\*

## ***Appendix E***

### ***Collegiate Staff Survey Template***

## Survey #2 – Targeted University Audiences

**Targeted respondent group:** Collegiate Assistant Deans for Finance & Administration; Collegiate Accounting Managers; Collegiate Facilities Directors.

Working with HR, we will request respondent demographic information (e.g., sex, collegiate home).

We will ask respondents to identify their length of employment status as one of the following:

- 0-2 years
- 3-6 years
- 7-10 years
- 11-15 years
- More than 15 years

### Welcome/Intro email:

*Dear Colleagues:*

*The Faculty Senate is charged with reviewing each of the University's central academic offices and officials at least once every seven years. These reviews are conducted in collaboration with the Office of the President and are an important part of shared governance on our campus.*

*This year, President Bruce Harreld and Faculty Senate President Russ Ganim established a committee to review all of the [Office of Finance and Operations \(F&O\)](#), including the departments of Treasury Operations, Facilities Management, Purchasing and Business Services, and Public Safety.*

*On behalf of the committee that is tasked with conducting this holistic review, we are writing to seek your feedback. Kindly complete our survey. Help us best assess the strengths of programs and where the University might do better.*

*The value of our review depends on a large number of responses to our surveys and interviews.*

*Thank you for your assistance.*

*Joseph Yockey, Faculty Senate Secretary & Review Committee Chair*

*Brian Burnett, Senior Vice President, Finance & Operations, University of Minnesota*

*Ramji Balakrishnan, Tippie College of Business*

*Barbara Eckstein, College of Liberal Arts & Sciences*

*Megan Foley Nicpon, College of Education*

*Alicia Gerke, Carver College of Medicine*

*Lia Plakans, College of Education*

**Understanding the Office of Finance & Operations (“F&O”)**

	Very well	Somewhat well	Not very well	Not well at all	Not Sure
How well do you feel you understand the roles and responsibilities of F&O?					

	Strongly agree	Agree	No Basis to Evaluate	Disagree	Strongly Disagree
My overall assessment of the leadership of Finance & Operations is favorable.					
My overall assessment of the effectiveness of F&O is favorable.					
I understand the organizational structure of F&O					

	Strongly agree	Agree	No Basis to Evaluate	Disagree	Strongly Disagree
F&O is effective in communicating how its policies and decisions affect faculty					
F&O is effective in explaining the university’s budget model					

F&O is effective in communicating the challenges it faces					
F&O is effective in communicating its major achievements					
F&O is effective at advocating for the University of Iowa at the state level					

	<b>Strongly Agree</b>	<b>Agree</b>	<b>No Basis to Evaluate</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
F&O considers an appropriate amount of input from other university stakeholders when developing and/or implementing new initiatives					
F&O adequately responds to questions or concerns					
F&O responds to questions or concerns in a timely manner					
F&O understands how its actions affect my					

college, unit, or department					
---------------------------------	--	--	--	--	--

### **Narrative Response Questions**

- 1) Do you have any additional comments for the review committee? For example, please feel free to explain the reasons for some or all of your survey responses.
- 2) What do you appreciate most from F&O on the University of Iowa campus?
- 3) What do you wish F&O would concentrate more on or improve to support the mission of the University of Iowa?

To provide additional feedback to the review committee, please write to Laura Zaper at [laura-zaper@uiowa.edu](mailto:laura-zaper@uiowa.edu)

[End of Survey #2]

## ***Appendix F***

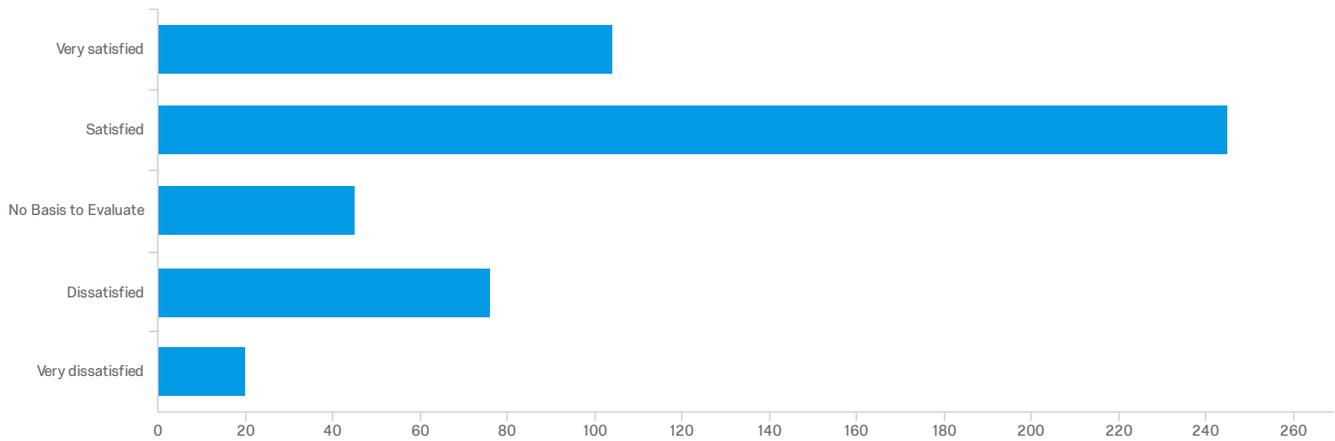
### ***Quantitative Survey Results***

# Default Report

Faculty Survey of Office of Finance and Operations

December 20, 2018 4:01 PM MST

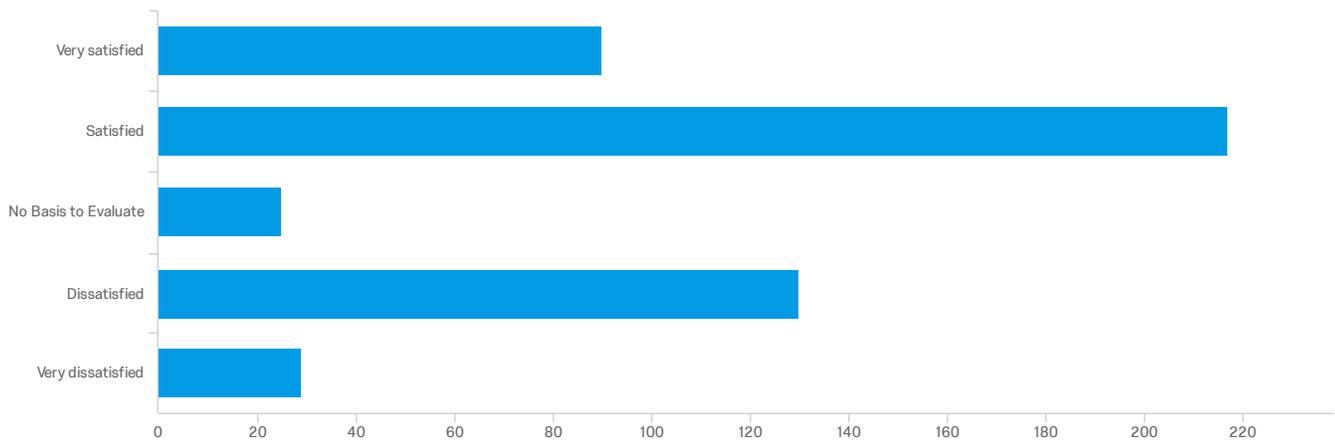
Q1 - How satisfied are you with University Shared Services (for travel requests and travel expense reimbursements)?



#	Field	Choice Count
1	Very satisfied	21.22% 104
2	Satisfied	50.00% 245
3	No Basis to Evaluate	9.18% 45
4	Dissatisfied	15.51% 76
5	Very dissatisfied	4.08% 20
		490

Showing rows 1 - 6 of 6

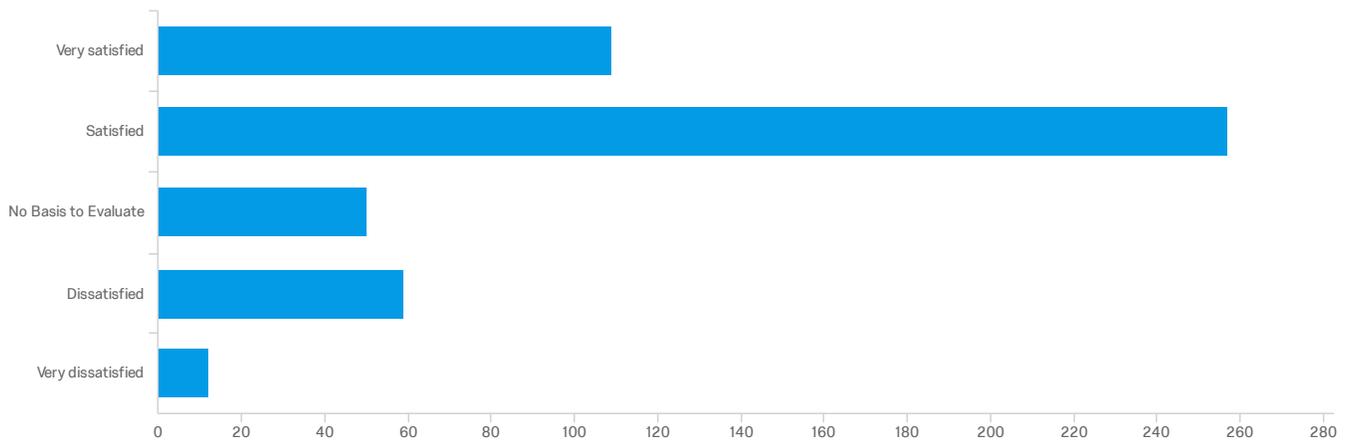
## Q2 - How satisfied are you with campus building maintenance & custodial services?



#	Field	Choice Count
1	Very satisfied	18.33% 90
2	Satisfied	44.20% 217
3	No Basis to Evaluate	5.09% 25
4	Dissatisfied	26.48% 130
5	Very dissatisfied	5.91% 29
		491

Showing rows 1 - 6 of 6

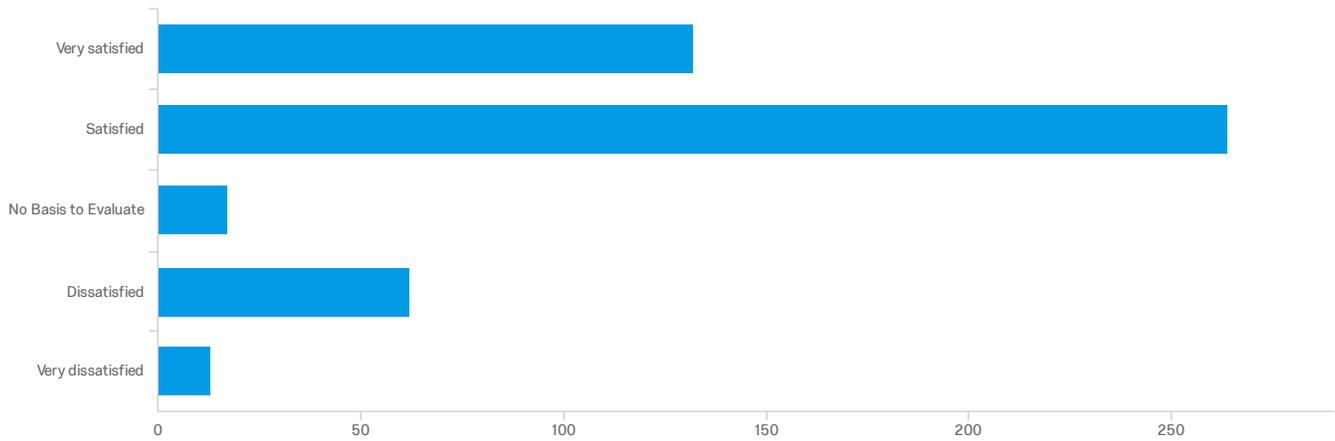
### Q3 - How satisfied are you with campus recycling operations?



#	Field	Choice Count
1	Very satisfied	22.38% 109
2	Satisfied	52.77% 257
3	No Basis to Evaluate	10.27% 50
4	Dissatisfied	12.11% 59
5	Very dissatisfied	2.46% 12
		487

Showing rows 1 - 6 of 6

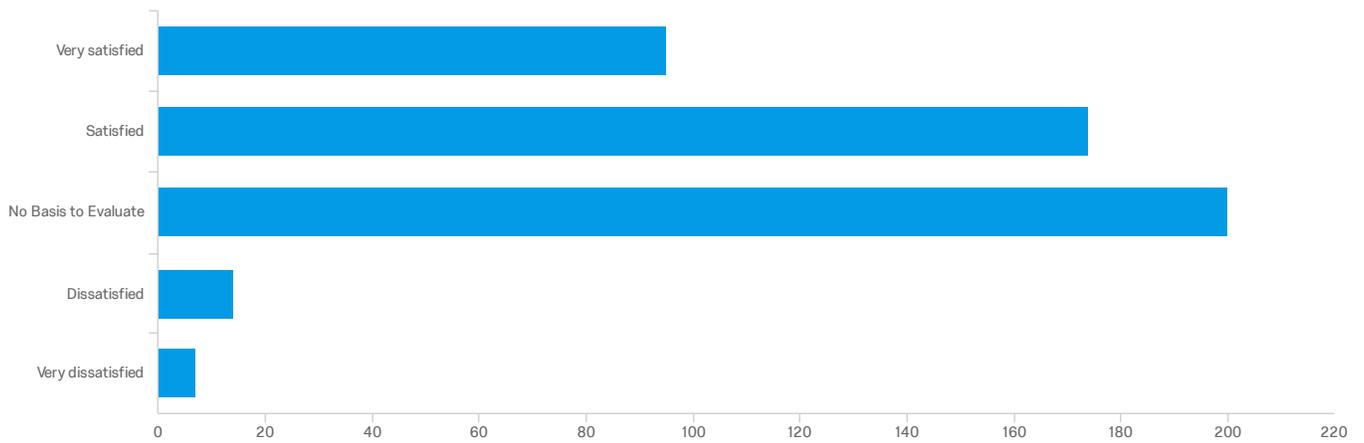
## Q4 - How satisfied are you with the university's performance in snow/ice removal?



#	Field	Choice Count
1	Very satisfied	27.05% 132
2	Satisfied	54.10% 264
3	No Basis to Evaluate	3.48% 17
4	Dissatisfied	12.70% 62
5	Very dissatisfied	2.66% 13
		488

Showing rows 1 - 6 of 6

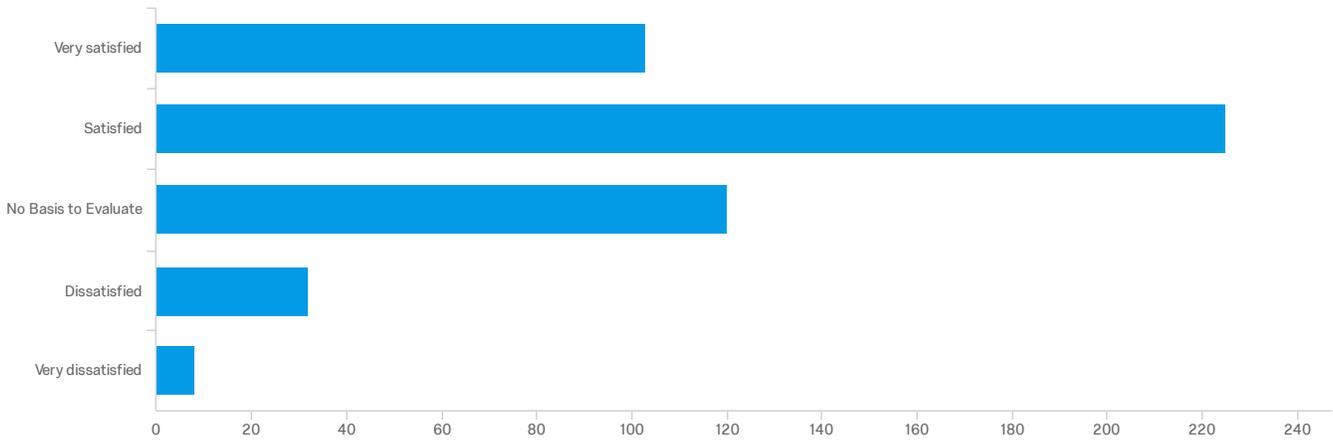
## Q6 - Overall, how satisfied are you with the performance of the University of Iowa Police?



#	Field	Choice Count
1	Very satisfied	19.39% 95
2	Satisfied	35.51% 174
3	No Basis to Evaluate	40.82% 200
4	Dissatisfied	2.86% 14
5	Very dissatisfied	1.43% 7
		490

Showing rows 1 - 6 of 6

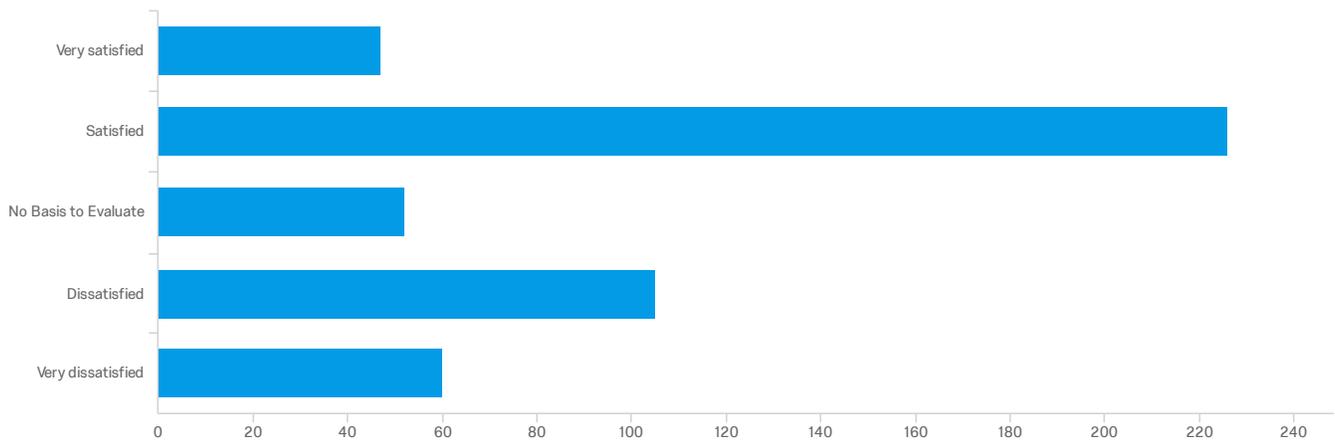
Q5 - How satisfied are you with the performance of the Department of Public Safety on matters relating to campus safety and security?



#	Field	Choice Count
1	Very satisfied	21.11% 103
2	Satisfied	46.11% 225
3	No Basis to Evaluate	24.59% 120
4	Dissatisfied	6.56% 32
5	Very dissatisfied	1.64% 8
		488

Showing rows 1 - 6 of 6

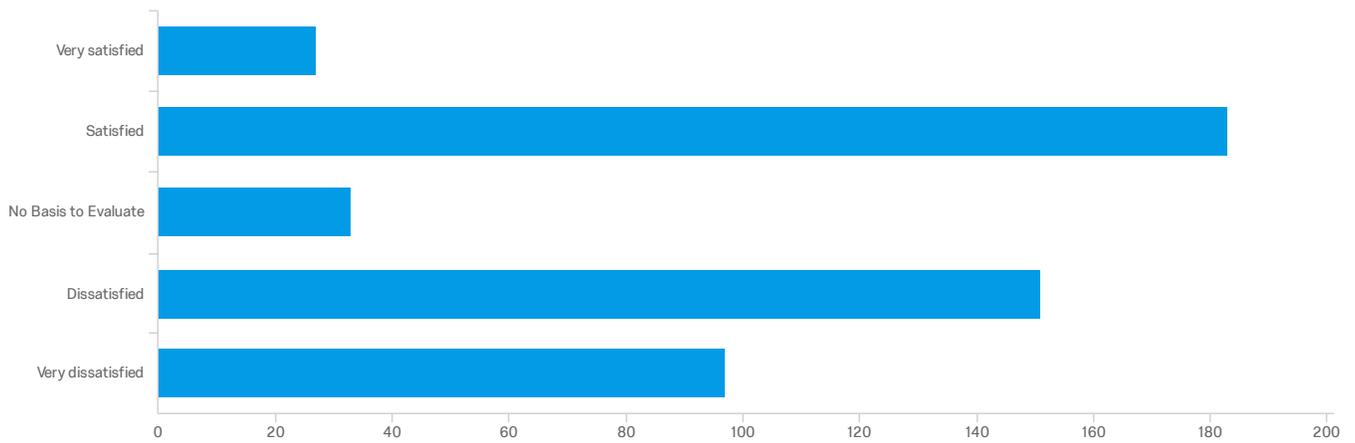
## Q7 - How satisfied are you with university parking services?



#	Field	Choice Count
1	Very satisfied	9.59% 47
2	Satisfied	46.12% 226
3	No Basis to Evaluate	10.61% 52
4	Dissatisfied	21.43% 105
5	Very dissatisfied	12.24% 60
		490

Showing rows 1 - 6 of 6

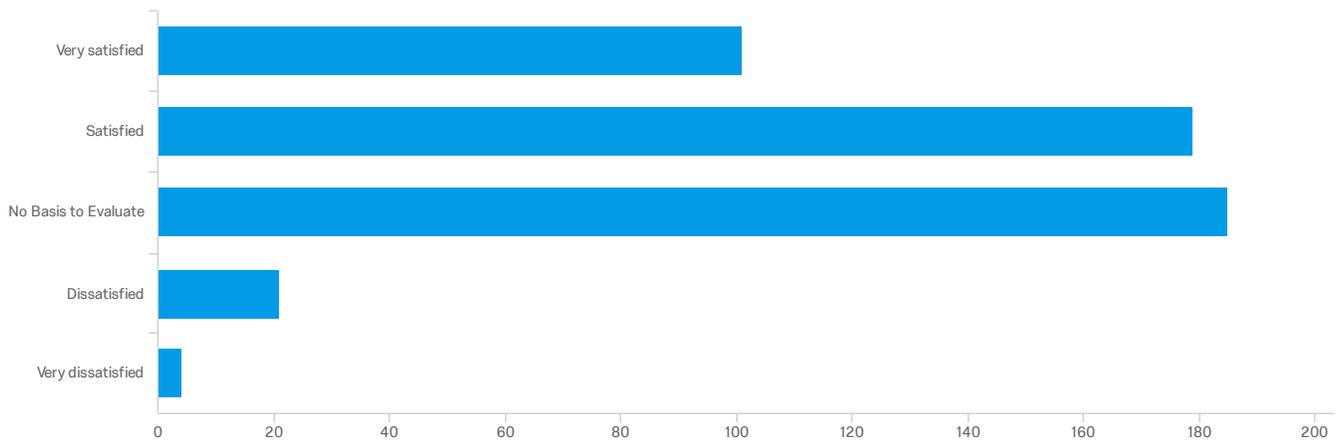
## Q8 - How satisfied are you with the availability of parking on campus?



#	Field	Choice Count
1	Very satisfied	5.50% 27
2	Satisfied	37.27% 183
3	No Basis to Evaluate	6.72% 33
4	Dissatisfied	30.75% 151
5	Very dissatisfied	19.76% 97
		491

Showing rows 1 - 6 of 6

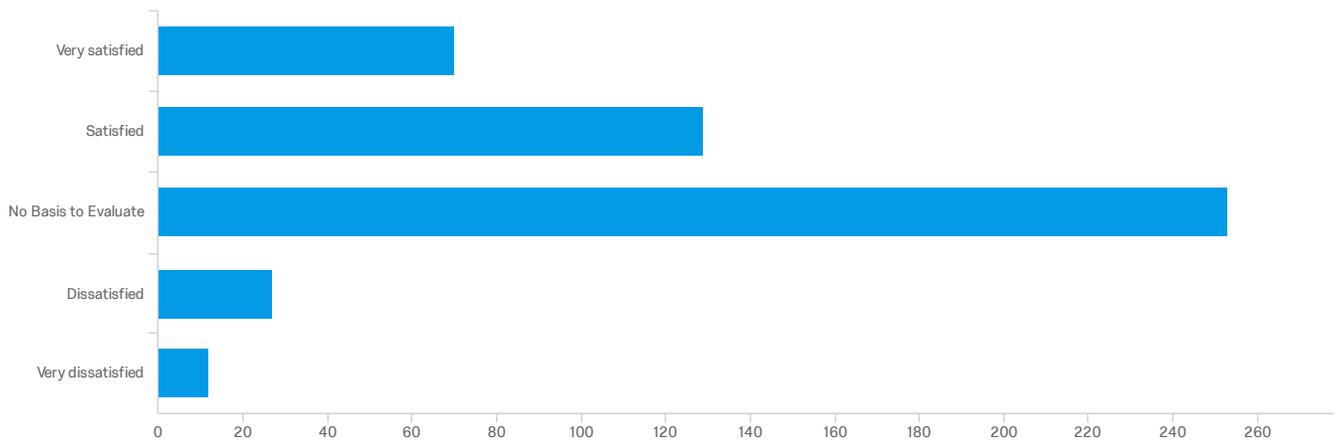
## Q9 - How satisfied are you with university transportation services (e.g., Cambus)?



#	Field	Choice Count
1	Very satisfied	20.61% 101
2	Satisfied	36.53% 179
3	No Basis to Evaluate	37.76% 185
4	Dissatisfied	4.29% 21
5	Very dissatisfied	0.82% 4
		490

Showing rows 1 - 6 of 6

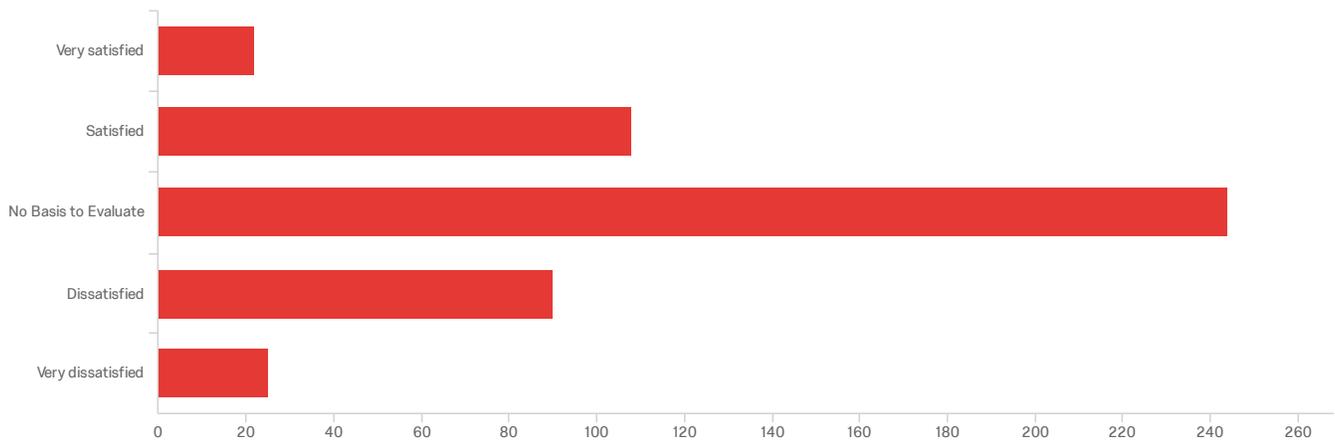
## Q10 - How satisfied are you with the university's printing services?



#	Field	Choice Count
1	Very satisfied	14.26% 70
2	Satisfied	26.27% 129
3	No Basis to Evaluate	51.53% 253
4	Dissatisfied	5.50% 27
5	Very dissatisfied	2.44% 12
		491

Showing rows 1 - 6 of 6

### Q13 - How satisfied are you with the university's approach to campus planning?



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	How satisfied are you with the university's approach to campus planning?	1.00	5.00	2.98	0.89	0.79	489

#	Field	Choice Count
1	Very satisfied	4.50% 22
2	Satisfied	22.09% 108
3	No Basis to Evaluate	49.90% 244
4	Dissatisfied	18.40% 90
5	Very dissatisfied	5.11% 25
		489

Showing rows 1 - 6 of 6

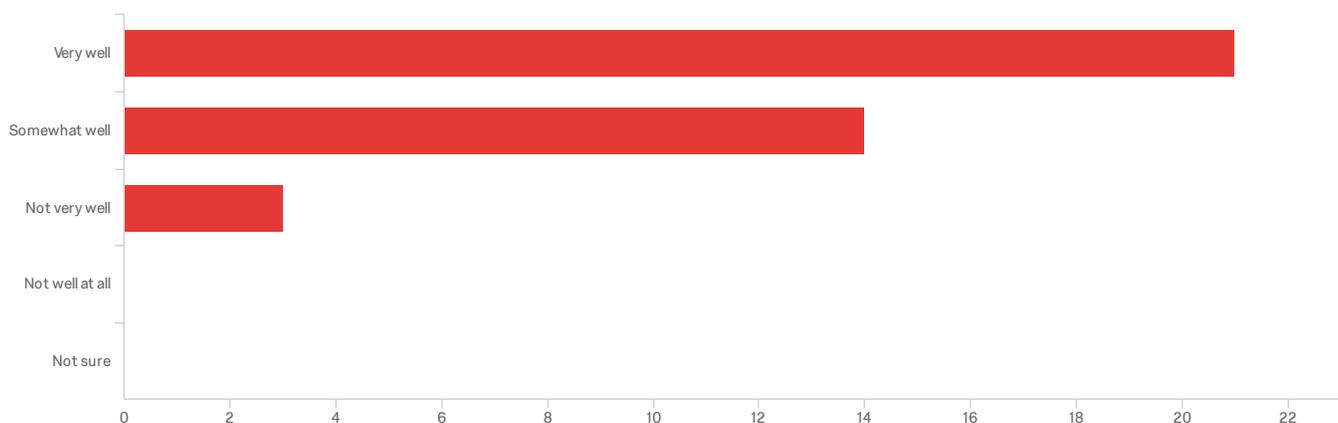
# Default Report

Survey of Office of Finance and Operations

December 26, 2018 1:39 PM MST

Q1 - How well do you feel you understand the roles and responsibilities of Finance &

Operations?

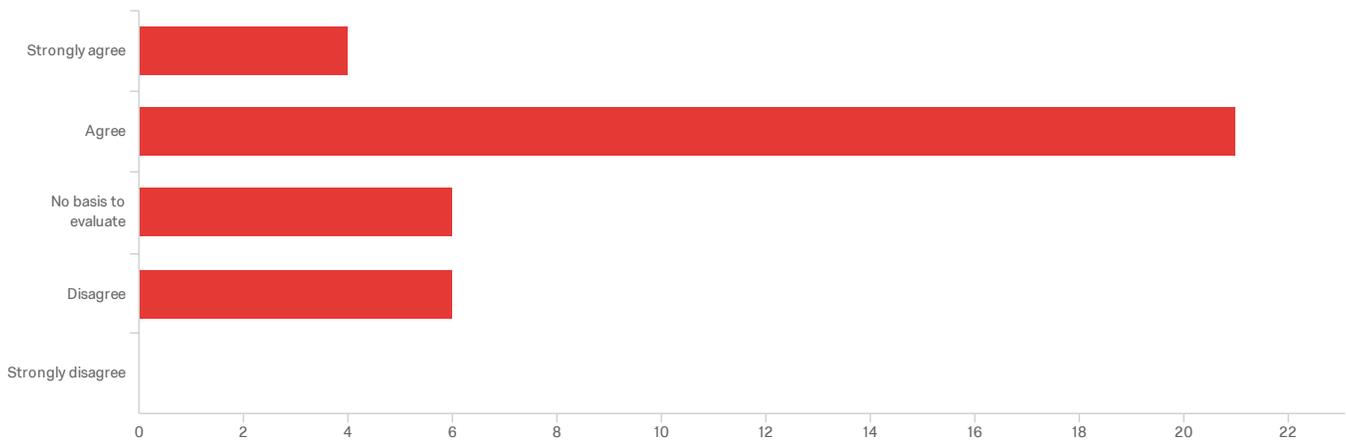


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	How well do you feel you understand the roles and responsibilities of Finance & Operations?	1.00	3.00	1.53	0.64	0.41	38

#	Field	Choice Count
1	Very well	55.26% 21
2	Somewhat well	36.84% 14
3	Not very well	7.89% 3
4	Not well at all	0.00% 0
5	Not sure	0.00% 0
		38

Showing rows 1 - 6 of 6

Q2 - My overall assessment of the leadership of Finance & Operations is favorable.

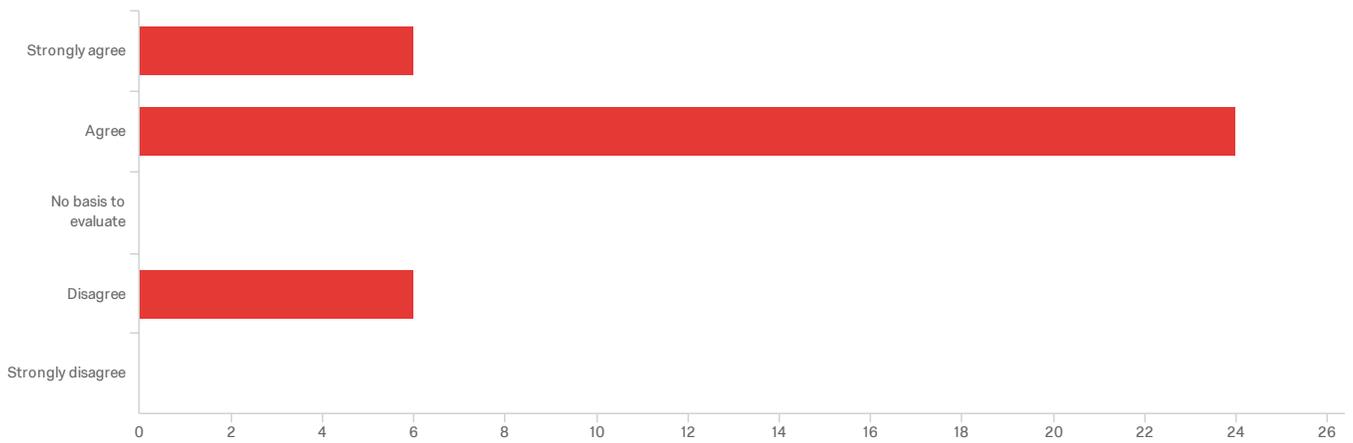


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	My overall assessment of the leadership of Finance & Operations is favorable.	1.00	4.00	2.38	0.88	0.78	37

#	Field	Choice Count
1	Strongly agree	10.81% 4
2	Agree	56.76% 21
3	No basis to evaluate	16.22% 6
4	Disagree	16.22% 6
5	Strongly disagree	0.00% 0
		37

Showing rows 1 - 6 of 6

Q3 - My overall assessment of the effectiveness of Finance & Operations is favorable.

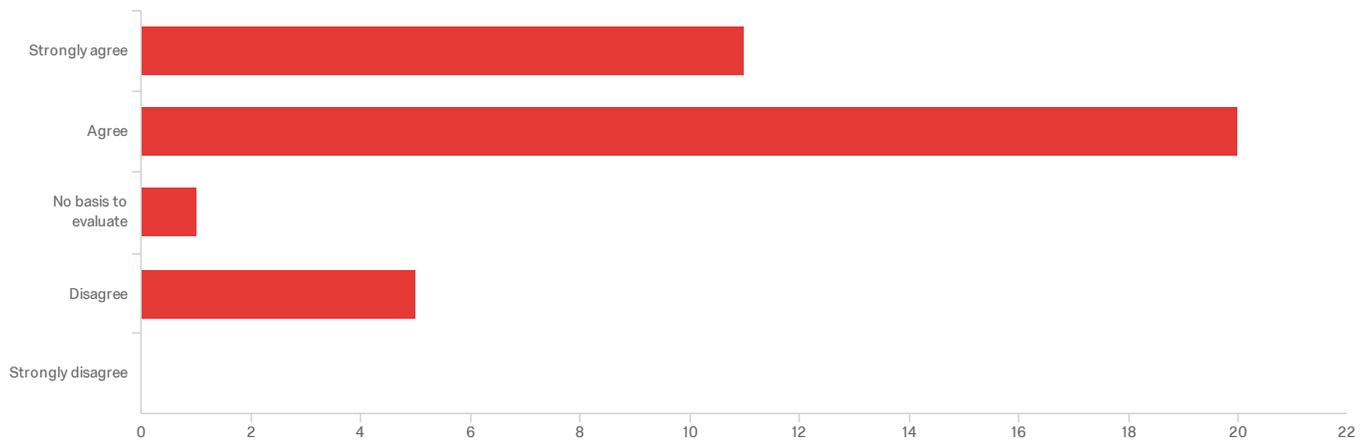


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	My overall assessment of the effectiveness of Finance & Operations is favorable.	1.00	4.00	2.17	0.90	0.81	36

#	Field	Choice Count
1	Strongly agree	16.67% 6
2	Agree	66.67% 24
3	No basis to evaluate	0.00% 0
4	Disagree	16.67% 6
5	Strongly disagree	0.00% 0
		36

Showing rows 1 - 6 of 6

## Q4 - I understand the organizational structure of Finance & Operations.



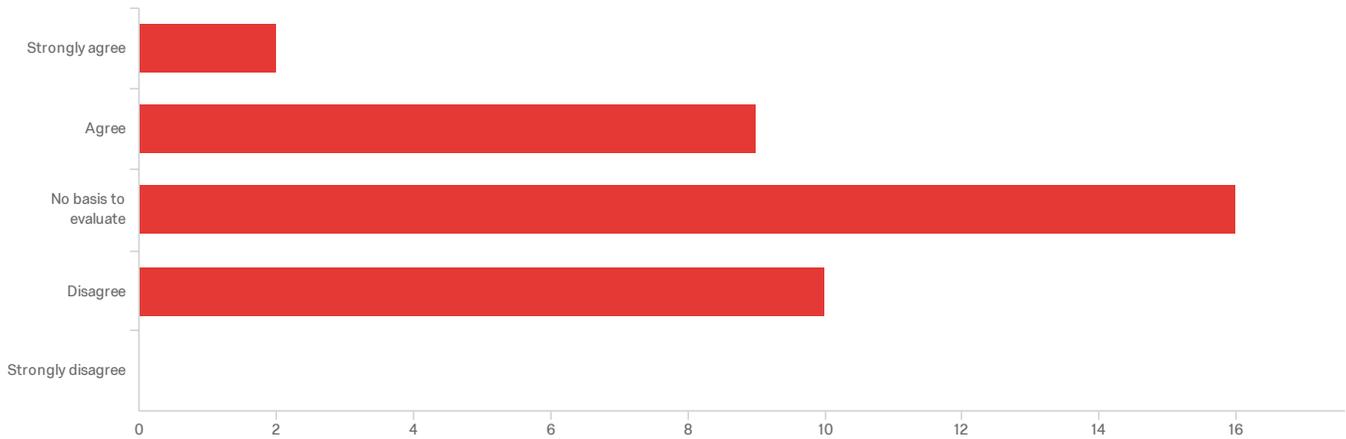
#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	I understand the organizational structure of Finance & Operations.	1.00	4.00	2.00	0.93	0.86	37

#	Field	Choice Count
1	Strongly agree	29.73% 11
2	Agree	54.05% 20
3	No basis to evaluate	2.70% 1
4	Disagree	13.51% 5
5	Strongly disagree	0.00% 0
		37

Showing rows 1 - 6 of 6

## Q6 - Finance & Operations is effective in communicating how its policies and decisions

affect faculty.

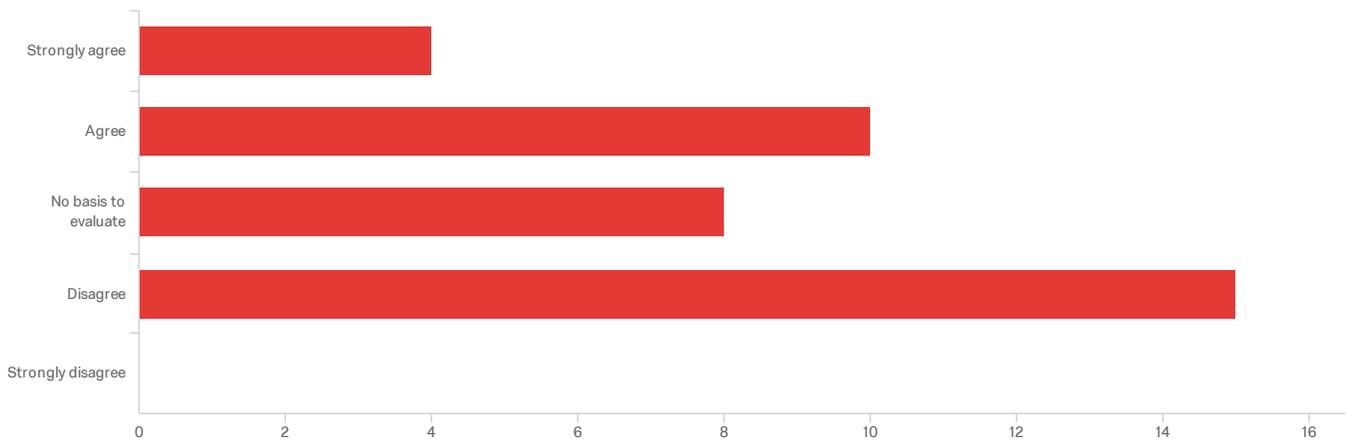


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Finance & Operations is effective in communicating how its policies and decisions affect faculty.	1.00	4.00	2.92	0.85	0.72	37

#	Field	Choice Count
1	Strongly agree	5.41% 2
2	Agree	24.32% 9
3	No basis to evaluate	43.24% 16
4	Disagree	27.03% 10
5	Strongly disagree	0.00% 0
		37

Showing rows 1 - 6 of 6

Q5 - Finance & Operations is effective in explaining the university's budget model.

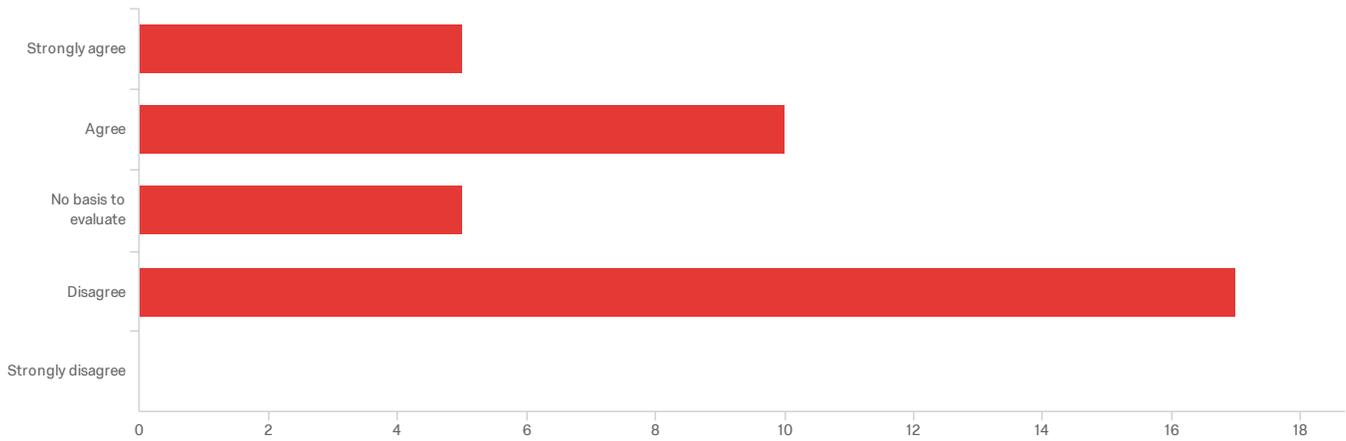


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Finance & Operations is effective in explaining the university's budget model.	1.00	4.00	2.92	1.05	1.10	37

#	Field	Choice Count
1	Strongly agree	10.81% 4
2	Agree	27.03% 10
3	No basis to evaluate	21.62% 8
4	Disagree	40.54% 15
5	Strongly disagree	0.00% 0
		37

Showing rows 1 - 6 of 6

Q7 - Finance & Operations is effective in communicating the challenges it faces.

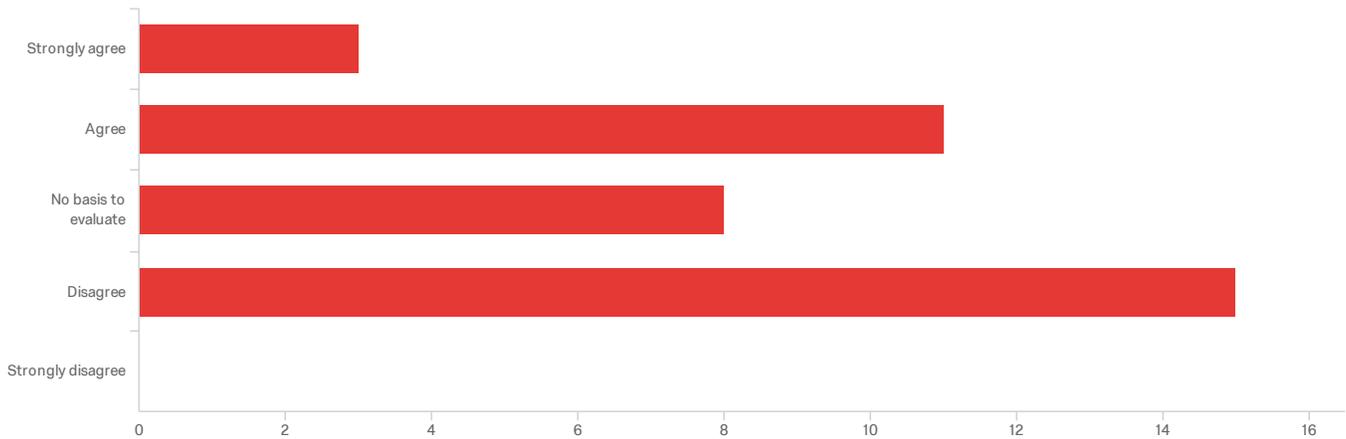


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Finance & Operations is effective in communicating the challenges it faces.	1.00	4.00	2.92	1.12	1.26	37

#	Field	Choice Count
1	Strongly agree	13.51% 5
2	Agree	27.03% 10
3	No basis to evaluate	13.51% 5
4	Disagree	45.95% 17
5	Strongly disagree	0.00% 0
		37

Showing rows 1 - 6 of 6

Q8 - Finance & Operations is effective in communicating its major achievements.

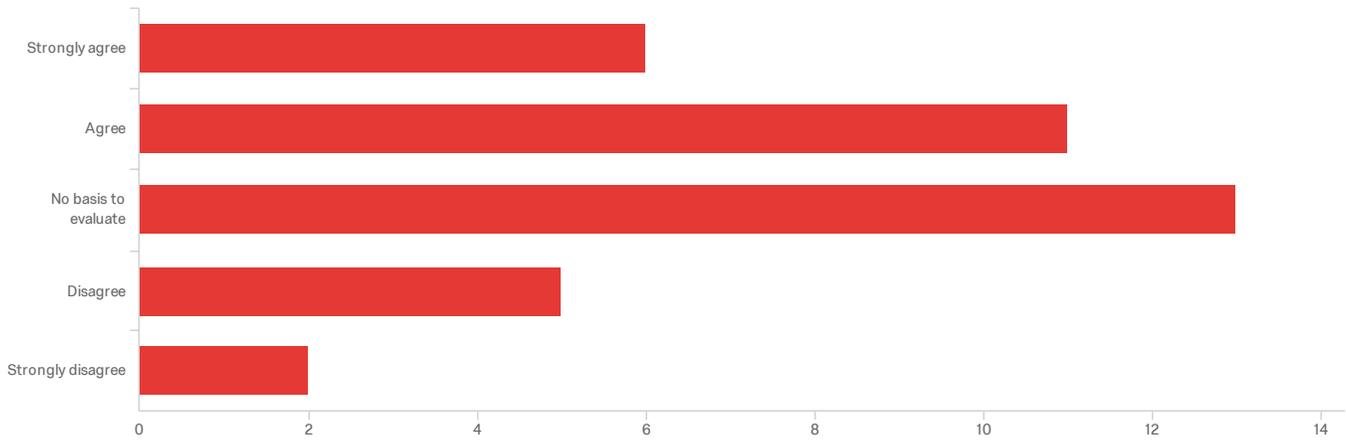


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Finance & Operations is effective in communicating its major achievements.	1.00	4.00	2.95	1.01	1.02	37

#	Field	Choice Count
1	Strongly agree	8.11% 3
2	Agree	29.73% 11
3	No basis to evaluate	21.62% 8
4	Disagree	40.54% 15
5	Strongly disagree	0.00% 0
		37

Showing rows 1 - 6 of 6

Q9 - Finance & Operations is effective at advocating for the University of Iowa at the state level.

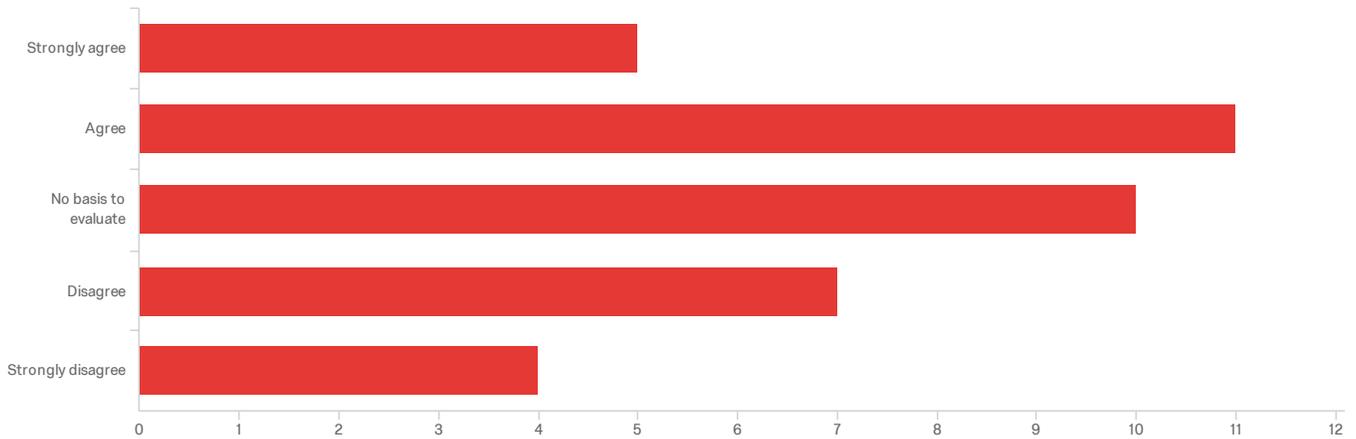


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Finance & Operations is effective at advocating for the University of Iowa at the state level.	1.00	5.00	2.62	1.07	1.15	37

#	Field	Choice Count
1	Strongly agree	16.22% 6
2	Agree	29.73% 11
3	No basis to evaluate	35.14% 13
4	Disagree	13.51% 5
5	Strongly disagree	5.41% 2
		37

Showing rows 1 - 6 of 6

Q10 - Finance & Operations considers an appropriate amount of input from other university stakeholders when developing and/or implementing new initiatives.

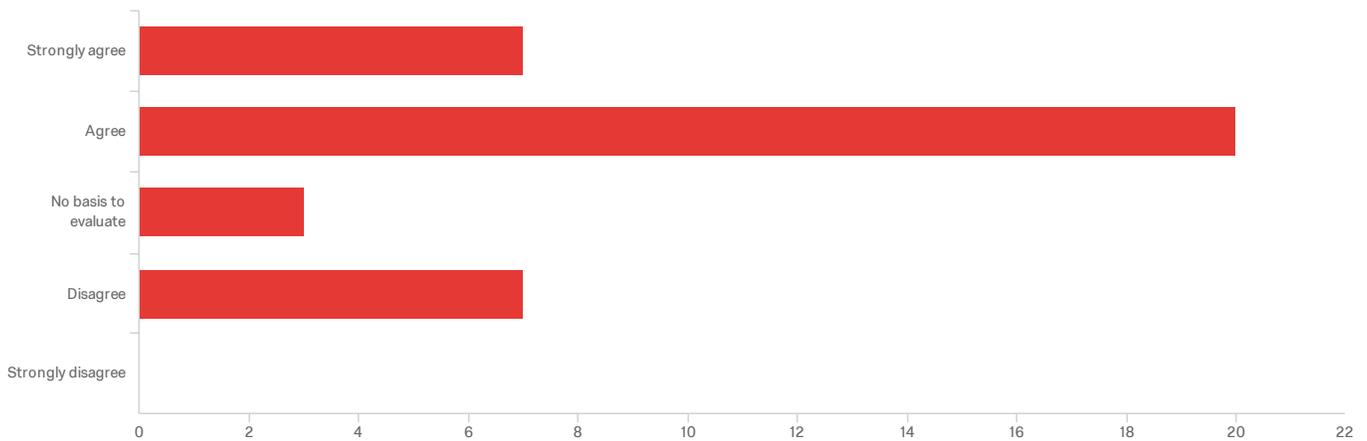


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Finance & Operations considers an appropriate amount of input from other university stakeholders when developing and/or implementing new initiatives.	1.00	5.00	2.84	1.20	1.43	37

#	Field	Choice Count
1	Strongly agree	13.51% 5
2	Agree	29.73% 11
3	No basis to evaluate	27.03% 10
4	Disagree	18.92% 7
5	Strongly disagree	10.81% 4
		37

Showing rows 1 - 6 of 6

### Q13 - Finance & Operations adequately responds to questions or concerns.

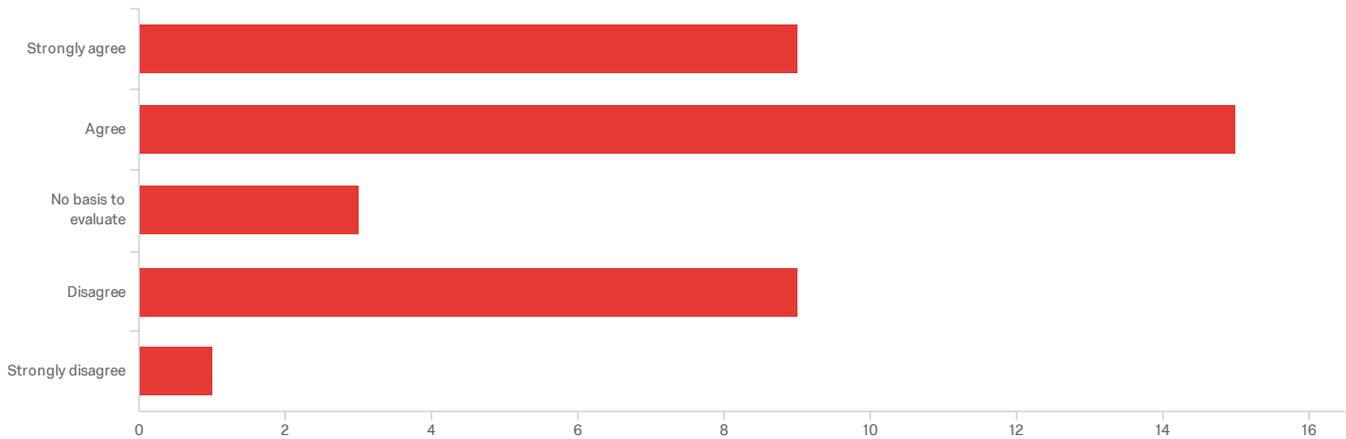


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Finance & Operations adequately responds to questions or concerns.	1.00	4.00	2.27	0.98	0.95	37

#	Field	Choice Count
1	Strongly agree	18.92% 7
2	Agree	54.05% 20
3	No basis to evaluate	8.11% 3
4	Disagree	18.92% 7
5	Strongly disagree	0.00% 0
		37

Showing rows 1 - 6 of 6

Q14 - Finance & Operations responds to questions or concerns in a timely manner.

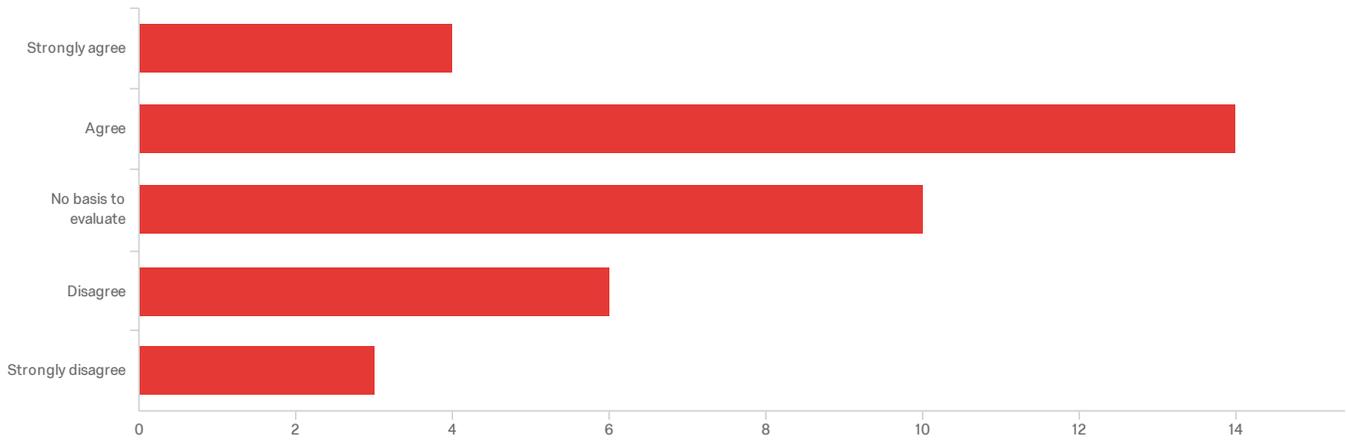


#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Finance & Operations responds to questions or concerns in a timely manner.	1.00	5.00	2.41	1.17	1.38	37

#	Field	Choice Count
1	Strongly agree	24.32% 9
2	Agree	40.54% 15
3	No basis to evaluate	8.11% 3
4	Disagree	24.32% 9
5	Strongly disagree	2.70% 1
		37

Showing rows 1 - 6 of 6

Q15 - Finance & Operations understands how its actions affect my college, unit, or department.



#	Field	Minimum	Maximum	Mean	Std Deviation	Variance	Count
1	Finance & Operations understands how its actions affect my college, unit, or department.	1.00	5.00	2.73	1.11	1.22	37

#	Field	Choice Count
1	Strongly agree	10.81% 4
2	Agree	37.84% 14
3	No basis to evaluate	27.03% 10
4	Disagree	16.22% 6
5	Strongly disagree	8.11% 3
		37

Showing rows 1 - 6 of 6