Indiana University Student Services Initiative Phase III Report

SSI Project Team
May 2013

Contents

Executive Summary

Indiana University completed an institution-wide benchmarking project to assess many administrative activities including student services. At the end of this project the Student Services Initiative was started. In January of 2012 a report detailing Phase I opportunity analysis was released, concluding that Indiana University could move into a Shared Services model for certain processes to increase customer service, identify and make use of best practices, and reduce operating costs through efficiency. The new model would remove duplication to allow the campuses to focus resources on key university initiatives including recruitment, retention, and completion goals. The administration announced that University Student Services and Systems (USSS, formerly Student Enrollment Services), would provide leadership on the university-wide impacts and manage the back office functions in the Shared Services model.

The publication of the Phase I report launched Phase II, in which the report was widely discussed on all campuses in January and February, 2012. The project management team visited the campuses to explain the report and answer questions.

In March 2012, Phase III of the project was started. Project teams consisting of campus and USSS subject matter experts were formed to review 187 business processes in the areas of admissions, financial aid, student records, student financials (bursar), and other system-wide processes. The goal was to achieve standardization of business processes, identify improvements through technology, and develop processes which could be moved into the Shared Services model. The review of the business processes also clearly identified the campus differences in processes. The project also collected data to determine detailed staffing needs for campus offices and for central, Shared Services offices.

In advance of the July 1, 2013, several important changes have already been made:

- Key staff in the areas of systems, security, and reporting from the Bloomington Office of Enrollment Management were moved to USSS.
- A University Registrar was appointed.
- An interim University Bursar was appointed.
- A University Military and Veterans' Services Coordinator was appointed.
- Functional systems staff from USSS were moved to UITS to better address technology needs.
- There has been movement to Shared Services by certain modules since the Phase I report.
- Work reassignments were made in response to retirements under the Early Retirement Program and the proscription on filling vacant positions without justification and approval of exception.
- A one stop shop model was implemented at IUB.
- Development work has begun on enterprise application for imaging, which is expected to play a major role in subsequent automation efforts.

The Shared Services model will be implemented during 2013-14, prioritized by student service considerations, FTE savings, and technology configuration and deployment. The first release of moving business processes into shared services will begin on July 1, 2013.

Implementation Plan

- Move additional back office administrative activities from local campuses to shared services for admissions application processing, financial aid processing, student records activities in schedule of classes building and transcript processing, and student financials billing and collections, while retaining activities requiring a high degree of personal interaction with students and faculty on each campus.

- Invest up to $4 million in one-time funds to complete the automation and standardization required to successfully implement the Shared Services model.

- Ask faculty councils to review current academic policies for opportunities to harmonize these across all campuses.

- Require campuses to review all vacant positions prior to any postings for applicants.

- Using delivered SIS functionality, replace local systems with enterprise resource planning (ERP) system functions to provide the necessary and useful functions.

- Provide business intelligence resources and reporting support to minimize duplication of effort.

- Coordinate delivering CRM system functionality beyond admissions to other modules and departments.

- Implement role-based security and other security tools for granting and maintaining access to numerous systems in order to gain efficiencies.

- Implement OnBase for document management and imaging on all campuses. Standardize document and imaging processes across all IU campuses for student services functions.

- Proceed with the implementation of the recommendations of the report conducted by the offices of Executive Vice President Applegate and Vice President Zaret along with Associate Vice President Viers regarding international student and scholar services.

- Develop university-wide automated processes for evaluating and loading transfer credit based on the determinations of transferability made by the campus academic units. The Transfer Office reporting to Executive Vice President Applegate will provide functional leadership for this effort.

- Consolidate staff members at the campuses doing system-wide processes within university administration.

Savings

The review and analysis of 187 business process by campus student services experts shows the following:

– Total net FTE savings in student services offices: 25 FTE since Phase I, 45 FTE for Phase III, for a total of 70 FTE.

– Total net savings: $1.1 million since Phase I, plus $2.5 million from Phase III business process redesign, for a total of $3.6 million.

– Total moving into shared services: 29 FTE.

– The processes and personnel in academic schools and departments processes were not part of the detailed analysis. However, changes to processes will have significant downstream impact, freeing up resources in the schools and departments of a projected $4.8 million.

Components	Savings ($ millions)
Attrition from pre-SSI levels of funded compensation	$ 1.086
Savings identified through business process review	
Release 1	1.171
Release 2 & 3	1.387
Subtotal, Savings in Student Services Offices	$ 3.644
Savings anticipated in academic & other offices	4.800
TOTAL SAVINGS	$ 8.444

Components	Savings FTE
FTE Reductions in Student Services Offices	
Attrition from pre-SSI levels of funded compensation	25
Savings identified through business process review	
Release 1	19
Release 2 & 3	26
TOTAL FTE Savings in Student Services Offices	70

Objectives of Shared Services

Shared services achieves its objectives of efficiency and responsiveness by:

- Eliminating redundancy through process and technology standardization
- Consolidating and redesigning non-core support functions into service centers
- Redesigning organization and responsibilities in the local units
- Driving shared responsibility for results using two-way Service Level Agreements with a sustainable metrics model

Shared services is a model in which a stand-alone organization performs back-office and/or customer facing services on behalf of its customers, which may include students, as well as deans, faculty, and other campus leadership. End-state shared services includes local and shared transaction processing, customer support, and shared services governance and service management.
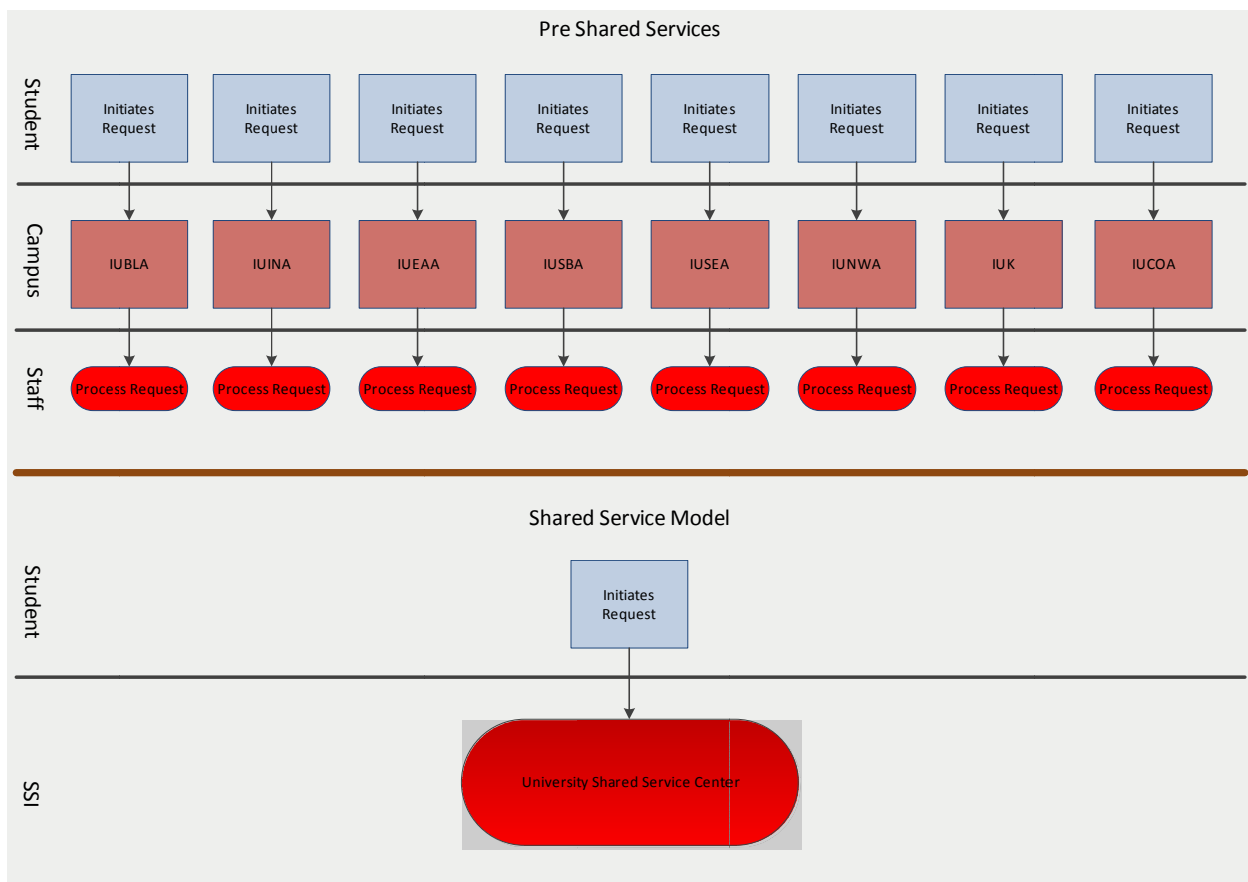
Vision for Student Services Operations

The project team reviewed the business processes with the goal of identifying the back-office student services that can be performed in a Shared Services model in order to:

1. Improve customer service
2. Make use of best practices
3. Remove duplication across the campuses
4. Reduce operating costs through increased efficiency

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

- Students, faculty, and other customers of student services will not see quality of service reduced through implementation of a shared service model.

- Strategic policy and individual decisions involving the recruitment, retention, and academic advising of students are determined by each campus. Face-to-face customer service is also the province of each campus, and it will be supported through the Shared Services model for back-office operations.

- Enhanced student service and business process improvements through system development projects will be coordinated through shared services.

- Functional system management, support of the student system, and business process review will be managed by shared services through a shared service model for all campuses.

- Operational business process management is provided using a Shared Services model to ensure optimal service to students and other customers, such as academic units. Processes will be continuously reviewed to identify improvements in student service, efficiency, and compliance.

- Enhanced service through the development of a one-stop model on the campuses will be implemented by each campus to the extent possible.

Redesigning Campus-Based Services

A key recommendation from the original benchmark study was that campuses develop a 'one-stop' approach for the student-facing services remaining on campus. Each IU campus is at a different stage in implementing a one-stop shop with IUPUI having the most advanced model today. In March, IU Bloomington went live with *Student Central,* a one stop shop for financial aid and registration. Each campus will be responsible for developing its own plans and approach to implementing their 'one-stop shop' using the Shared Services model to support back-office processing.

The standardization and automation of back office processes with a focus on self-service will result in fewer student/family issues and questions when navigating financial aid, admissions support, student records, advising, and bursar operations at each campus. Shared services allow

campus staff to focus on individual student issues through a new combined service model instead of non-strategic, back-office processing.

## Role of University Student Services and Systems

The original report driving the SSI recommended that the Shared Services organization be housed in University Student Services and Systems (USSS-formerly SES). USSS was established during the PeopleSoft implementation to be a central resource for student services. Certain processes are already being completed under the central model. The recommendation is based on the general principle: that administrative matters affecting all campuses should be handled by university administration (UA) to insure a standardized process, mitigate risk, and designate a central decision maker to assure appropriate responsiveness to each campus's needs. A single, central organization also promotes fairness (and the perception of fairness) in setting priorities, clear lines of authority and accountability, avoidance of duplication of expertise and activities, consistency in reporting, both internally and externally, and enterprise-wide adoption of systems and solutions.

UITS and USSS work very closely together to insure that the SIS and other enterprise systems operate efficiently and are updated properly. The central role of USSS allows the enrollment and academic needs of UA and the campuses to be expressed to UITS with a single voice, and for UITS to work more effectively with a single "customer." In addition, USSS can provide expertise to the enrollment and academic functions to allow them to express their technology needs effectively to UITS. This approach will diminish the go-it-alone campus-specific development which has resulted in shadow systems, duplication, and inefficient use of resources.

Service Level Agreement Recommendations

A key differentiator between true Shared Services organizations and centralization is the use of service level agreements (SLAs). The SLA is similar to a contract in that it defines the expectations of both the delivery organization and the customer, and governs the process to meet those expectations. Meeting the expectations of the SLA will be the top priority of the new Shared Services organization. Each SLA will differ depending on the particular service and customer needs, but the project team recommends that most contain the following elements:

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

Phase III Analysis

The Phase III analysis broke down the entirety of 'student services' into six primary functions:

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

Each function was further split into business process groups, and each business process group was further broken down into specific business processes. The project team worked at the level of the detailed business processes to analyze how work would be split between the campuses and the Shared Services organization. Business process review sessions were held with subject matter experts from the campuses and USSS. The results of their analysis were summarized at the level of the business process groups. For each of the six functions, we show a summary of the key facts of the analysis, a depiction of how extensively the business process groups will be split between the campuses and the Shared Services organization, the number of FTE expected to support each business process group in the future, and the required technology and standardization of policies and procedures necessary to work effectively at that level of FTE. The campuses fully cooperated with the goals of the project and completed the business process reviews according to established timelines.

Focus on FTE: The business process redesign model considered how much of each individual's time is spent on each process. Because of the granularity of our 187 processes, most employees were accounted for in multiple processes. The aggregations of all the fractional FTE across all business processes within module areas and then across modules at each campus allowed budget targets to be established.

The specific assignment of employees will thus be driven by the analyses and by the resulting dollar constraints. It is expected that partial time of several employees will be able to be redeployed into activities and efforts outside the business processes. Savings from the student services offices have already been realized through attrition. Some of the savings from implementation will come from redeployment of existing employees.

Governance Recommendations

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

The following bodies, all of which already exist at IU, will provide the governance of student services.

Academic Leadership Council

The Academic Leadership Council (ALC) consists of three executive vice presidents and university and campus academic officers. The ALC provides academic direction and priorities for system-wide activities.

USSS Council

The USSS Council consists of enrollment officers from all IU campuses, plus USSS, UITS, and VPCFO representation.

This committee will:

- Advise shared services leadership on campus issues and business needs
- Provide feedback on student information systems (SIS) proposals and updates
- Facilitate communications regarding systems, compliance, and student issues
- Work in partnership on improvements to student systems with a focus on student recruitment and retention

Process User Groups

The financial aid, student records, student financials, advising, system management, and admissions councils meet monthly and will:

- Discuss best practices on process, policy, and procedures
- Conduct reviews of SLA's and look for improvements
- Identify and implement process improvements
- Approve requests for service changes and additions
- Share best practices between USSS and campuses
- Address and resolve shared services issues as they arise

Project Overview

The Student Services Initiative launched in April 2011 with the Trustees' decision to implement Shared Services. The effort will continue through July 2014.

April 2011	Trustees announce decision to implement shared student services.
July 2011 – Jan 2012	Phase 1 analysis completed and report delivered to Trustees. Report detailed FTE reductions and recommendations for improvements by module.
Jan 2012 – March 2012	Phase II completed: circulation of Phase I report to all campuses, presented with in-depth discussion and Q&A sessions.
March 2012 – March 2013	Phase III analysis conducted, including more detailed recommendations and FTE reductions by module, as well as detailed implementation plan by releases. Concurrent implementation of initial changes and improvements. Includes: - Shift to shared services of systems, security, and reporting staff - Enterprise application imaging development work - Appointment of University Registrar, Interim University Bursar, and Veteran's Services Coordinator
Beginning July 2013	Implementation of Release 1 improvements and reductions
Beginning December 31, 2013	Implementation of Release 2 improvements and reductions
Beginning July, 2014	Implementation of Release 3 improvements and reductions

Financial Benefits

Across the campuses, there are 468.63 FTE performing in-scope activities. Of those, 74 FTE are in shared services*.

FTE in student services, through process improvements and transition to shared services, will decrease to 424 FTE, with a base budget reduction of $2.558 million. Savings already achieved through the Early Retirement Incentive Program and through elimination of vacant positions amounts to $1.086 million. The combined budget savings in student services offices is $3.644 million.

By the end of Release 3, there will be a significant team in shared services, but a substantial amount of FTE will remain on the campuses to provide local service.
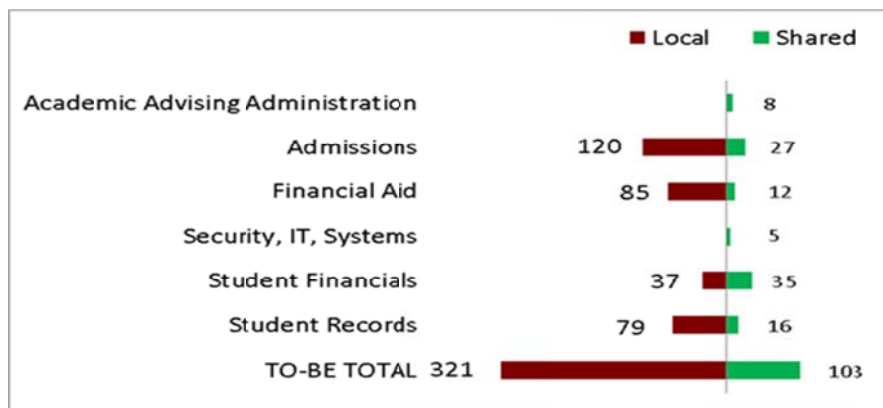
*The Bloomington campus Bursar's office is transitioning from serving the Bloomington campus only to serving a dual role of Shared Services for student financials as well as providing local service to the Bloomington campus. For purposes of this report, all FTE in the Bloomington campus office are reported as "shared."

Budget savings targets were calculated based on the FTE staffing analysis. Overall, through reductions from improved efficiency of processes and through shifting of work to shared service staff, the campuses will see reduced expenditures of $4.438 million. Of this, $1.880 million will shift to fund the staffing of the shared service offices, for a net reduction of $2.558 million.

	Projected To-be Change	Projected Addt'l IT Change	Subtotal: BPR Change	0.15 S&E, Overhead Change	Total BPR Savings/ Shift
Campuses	$ (1,450,192)	$ (2,408,967)	$ (3,859,159)	$ (578,874)	$ (4,438,033)
University Admin	432,039	1,202,593	1,634,632	245,195	1,879,827
TOTAL	$ (1,018,153)	$ (1,206,374)	$ (2,224,527)	$ (333,679)	$ (2,558,206)

A study of Indiana University by the Hackett Group identified 1.29 FTE in academic units devoted to student services to every FTE in student service offices. There will be reductions in work in the schools and academic departments, particularly in the areas of schedule of classes building, room scheduling, and advising. Faculty and staff time freed up from current manual

processes once automated processes are implemented will be able to be redeployed to key academic priorities. Based on the analysis of savings in the student services offices, we estimate these savings to total $4.8 million across the university. These savings would come from:

- Technology enhancements to class scheduling
- Room scheduling software
- Use of document imaging, CRM systems
- Standardized reporting environment
- New security model/access to systems
- Transfer articulation agreements and enhanced transfer credit processing
- Attendance roster enhancements

Non-Financial Benefits

- **Process efficiencies:** Standardization, automation, and focus on continuous improvement leads to greater process efficiency.
- **Increased customer satisfaction:** Greater process efficiencies lead to more timely turnaround and increased satisfaction in those services for students, faculty, and staff.
- **Responsiveness to strategic partners:** Shared governance structure and service level agreements ensure partnership with campus administration and module owners.
- **Consistency:** A drive toward standardization across campuses leads to consistency, which in turn drives continuous improvement.
- **Transparency:** Measuring and reporting on key metrics provides strategic partners and Shared Services management the information needed to manage processes effectively.
- **Documentation:** Business processes are documented with process flows and clearly state staffing requirements.

Recommendations by Module

ADMISSIONS

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

During the review and subsequent analysis, candidate business processes were identified for streamlining and efficiency improvements. The identified admissions efficiencies will be highly dependent upon the consolidation and automation of back office application processing. These gains are specifically predicated on the leveraging of imaging technology which is currently deployed via fairly independent campus solutions. The objective will be to deploy a robust enterprise wide admissions document management system with fluid interfaces between the University's ERP Student System. This will provide the opportunity to consolidate processing and electronically distribute campus specific admissions materials for admission decisions. Further, expanding the use of tools such as CRM and address verification software will also contribute to the streamlining of the overall admissions processes.

FTE
Admissions will transition 19.59 FTE to Shared Services, and will have an overall decrease of 13.41 FTE.

	As-is	To-be No-IT	To-be IT	Increase / (Decrease)
Local	153.02	148.37	120.02	(33.00)
Shared	7.00	8.16	26.59	19.59
TOTAL	**160.02**	**156.54**	**146.61**	**(13.41)**

■ Local ■ Shared

Admissions: As-Is
153.02 7.00

Admissions: To-Be
120.02 26.59

NOTES:
- As Is and To Be amounts include staff transitioning to UITS
- Source: FTE Data updated as of December 31, 2012
- Increase/decrease is As Is less To-Be IT

Operating Model

Local admissions offices make final admission decisions and maintain personal candidate and prospect contact; admissions shared services processes applications and supporting documents.

Campus Admissions Activities:

Campus admissions office interacts with and assesses prospects and candidates, and makes final admission decision, manages the admissions function locally, acts as center of excellence for highly skilled resources, and interacts with deans and faculty. Activities include*:

- Interacts directly with candidates and prospects
- Makes final admission decision and creates admission letter
- Manages high school recruiters and recruiting events. Manages "suspects"
- Creates admissions materials
- Manages local scholarship providers
- Scans applications, transcripts and other documents received locally
- Admissions management and strategic planning
- Reporting
- Interaction and relationship with deans and faculty

Shared Services Admissions Support Activities:

Admissions Support: shared services provide leadership around admissions support business processes, including*:

- Provide leadership and coordination for the university surrounding admissions support for business processes

Shared back-office processes provide university wide admissions support processing for all campuses, including*:

- Application processing
- Receive/process college transcripts
- Receive/process high school transcripts
- Suspense file management
- Test credit processing
- Transfer credit processing

*Note: Lists are representative. A complete list of local and shared activities is included in the Appendix.

Implementation Overview

Admissions Support Shared Services Release 3 is highly dependent on the deployment of an enterprise wide document management system with workflow.

July 1, 2013
Release 1

Processes to be implemented, including:
Suspense file management
Manage prospects
Collect/process application fees & waivers
Technology to be implemented:
Reporting improvements
SIS configuration/development
CRM configuration

Release 2

Processes to be implemented, including:
Cancel applications
Post decision updates
Maintain external course catalogs
Technology to be implemented:
SIS configuration/development
CRM configuration

Release 3

Processes to be implemented, including:
Application processing
Receive/process high school / college transcripts
Receive/process other/miscellaneous materials
Technology to be implemented:
Imaging
Workflow
OCR
SIS configuration

FINANCIAL AID

Summary
During Phase 3, the Financial Aid team evaluated 51 business processes, having merged several smaller or closely related processes from the Phase 1 inventory. This second, more critical evaluation of financial aid work led to a number of gains fully realized over the course of the analysis phase, including agreement on a common method for determining the indirect cost of attendance for students, and a batch process for cancelling aid for students who do not attend. Many other processes are ready to be transitioned in time to capitalize on efficiencies at the start of the 2013-14 awarding season, pending the addition of staff to the Shared Services team.

Although the team initially felt that document imaging, work flow and CRM would be critical to the evolution of Shared Services; this no longer appears to be the case. Timing on these projects will not impede our progress. A number of low volume and/or student-facing operations we initially thought could be shared are now slated to stay local, where these advances can be implemented for local savings over time.

Several SIS development ideas emerged as we dug deeper into process analysis in Phase 3. While each will result in gains, none are prerequisites for transitioning the work. It is quite possible that all processes identified as candidates to move will be in place by the end of 2013.

FTE
Financial Aid is transitioning 5.09 FTE to shared services, and will have an overall decrease of 8.63 FTE.

	As-is	To-be No-IT	To-be IT	Increase/ (Decrease)
Local	99.30	85.57	85.57	(13.72)
Shared	7.00	12.40	12.09	5.09
TOTAL	**106.30**	**97.97**	**97.66**	**(8.63)**
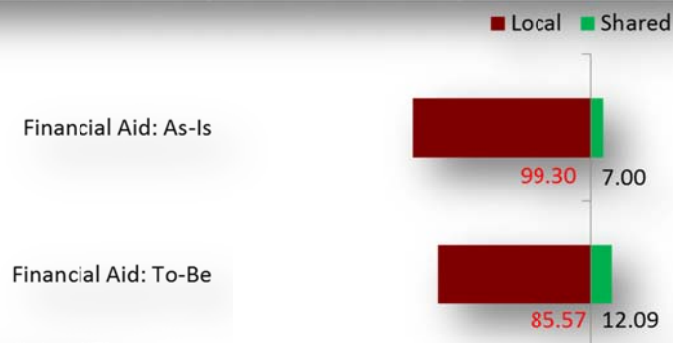
■ Local ■ Shared

Financial Aid: As-Is

99.30 | 7.00

Financial Aid: To-Be

85.57 | 12.09

NOTES:
- As Is and To Be amounts include staff transitioning to UITS
- Source: FTE Data updated as of December 31, 2012
- Increase/decrease is As Is less To-Be IT

Operating Model

Local Financial Aid handles interaction with students, faculty and campus leadership, and other local activities. Shared Services financial aid provides university-wide leadership and performs back office activities.

Campus Financial Aid Activities:

Campus Financial Aid Office manages the local Financial Aid function, acts as center of excellence for highly skilled resources, and interacts with students, faculty and campus leadership, including*:
- Management and strategic planning
- Local reporting
- Interaction and relationship with deans and faculty
- Resource to One-Stop
- Orientation and outreach, maintains publications and website
- Management of external scholarship and institutional loans
- Financial aid communications

One-Stop Shop (Recommended) provides high-touch integrated student centric campus-specific services and combines Bursar, Financial Aid and Registrar activities, including*:
- Face to face integrated student service
- Multi-functional: combines Bursar, Financial Aid, and Registrar activities
- Financial Aid activities include counseling, inquiries and problem solving

Shared Services Financial Aid Activities:

Financial aid shared services provides leadership in matters of state and federal legislation, regulatory interpretation, including*:
- Supports and ensures university compliance with rules and regulations
- Develops and maintains operational reports and audits
- Maintains and modifies the SIS, as needed

Shared Back Office performs shared back office activities, including processing grants and loans and conducting compliance audits, including*:
- Stafford, private and PLUS loan processing
- Pell grant processing
- ISIR processing
- Mass packaging (batch determination of aid eligibility)
- R2T4 and unofficial withdrawals (returns unearned funds)
- Loan entrance and exit counseling
- Packaging audits (compliance audits)
- Establishing a model for cost of attendance determination for academic year / summer

*Note: Lists are representative. A complete list of local and shared activities is included in the Appendix.

Implementation Overview

In order to transition to shared services, financial aid requires SIS development as well as hiring and team restructuring.

July 1, 2013
Release 1

- **Processes to be implemented, including:**
  - Satisfactory Academic Progress evaluation
  - Mass packaging (aid eligibility)
  - R2T4 and unofficial withdrawals
  - Pell grant processing
  - Stafford, PLUS, and private loan processing
- **Technology to be implemented:**
  - SIS configuration/development

Release 2

- **Processes to be implemented, including:**
  - Financial aid notification generation
  - Missing information letter
  - Packaging (eligibility) audits
- **Technology to be implemented:**
  - SIS configuration/development

Release 3

- **Financial Aid has no processes in Release 3**

NOTE: Detailed list of the processes included in each Release is in the Appendix

STUDENT FINANCIALS

Summary

In Phase III the Student Financials (SF) Team evaluated 28 business processes specific to the SF functions and four processes common to all of the modules. Because of the relatively small size of most bursar operations, the majority of the complex setup and table maintenance functions had already been moved to a shared environment or hosted at the larger campuses at the time of implementation of the SIS.   In the Phase III analysis the team revisited those processes or parts of processes which remain local and identified areas in which harmonization of operational policies or calendars (where academic calendars permit) might allow for a shared-service approach.

The focus of the operations on the smaller campuses is largely customer service, whether it is delivered at a "teller window," where personal payments are accepted, or in response to issues raised by phone, email, or in person. The SF Team identified a number of areas where these contacts might be improved and possibly reduced by more effective communications to students delivered as a shared service – though appearing to come from the home campus. In another review, the team decided to "push" audit reports to campuses for analysis and correction of error conditions, if necessary.   This will lead to cleaner data and contribute to reduced contacts as well.

The focus of the Student Services Initiative was on the "back-office" processes that can be delivered remotely and in those areas only incremental gains in efficiency were possible, given the centralization of technical support functions already in place. However, the team remains convinced that by providing more support to the local efforts of the campuses by means of proactive communications and tools for students, cleaner data and reduced manual processing of charges and payments, even more efficiency will be achieved downstream as campuses are able to serve more students with fewer staff in local offices.

FTE
Student Financials will have an overall decrease of 6.13 FTE.

	As-Is	To-be No-IT	To-be IT	Increase/ (Decrease)
Local	41.00	36.80	36.80	(4.20)
Shared	36.75	34.82	34.82	(1.93)
TOTAL	**77.75**	**71.62**	**71.62**	**(6.13)**

Operating Model

Local Bursar manages the Campus Bursar function and maintains local relationships with deans and faculty. Shared services bursar manages tuition calculation, billing, and refunding.

Campus Bursar Activities:

Campus Bursar manages the Campus Bursar function, acts as a center of excellence for highly skilled resources, and interacts with deans and faculty, including*:
- Management
- Strategic planning
- Local reporting
- Student organization account administration
- Resource to One-Stop
- Interaction and relationship with deans and faculty
- Other local, out-of-scope activities

One-Stop Shop (Recommended) provides high-touch integrated student centric campus-specific services and combines Bursar, Financial Aid and Registrar activities, including*:
- Face to face student counseling and comprehensive issue resolution
- Multi-functional: combines Bursar, Financial Aid, and Registrar activities
- Bursar activities include cash acceptance and posting, inquiries and problem solving

Shared Services Bursar Activities:

University Bursar provides leadership and coordination for the university surrounding Student Financials business processes

Potential Shared Back Office performs typical shared financial activities, organized by campus, including routine transactions and processing, including*:
- Post charges and payments
- Calculate tuition & fees
- Student billing
- Refunding; stale dated checks
- Private loan processing
- Account integrity

*Note: Lists are representative. A complete list of local and shared activities is included in the Appendix.

Implementation Overview

As part of the transition to shared services, the Office of the Bursar will require some SIS configuration.

July 1, 2013 **Release 1**	**Processes to be implemented, including:** Calculate tuition and fees Student billing Collections Private loan processing **Technology to be implemented:** Most do not require technology development **Other notes** Regional campus collections will be transitioned to Student Loan Administration
Release 2	**Processes to be implemented:** Post charges and payments Late fees Refunding **Technology to be implemented:** SIS configuration/development
Release 3	**Student Financials has no processes in Release 3**

NOTE: Detailed list of the processes included in each Release is in the Appendix

STUDENT RECORDS

Summary

During Phase 3 the Student Records team evaluated 45 business processes. Processes that are essentially the same across campuses and require no IT for implementation will be transitioned as soon as staff have been hired and trained. There are a few system-wide processes that are being done by a campus registrar's office on behalf of all campuses; these processes will be moved from the local campus to USSS to provide the shared service. One business process, BL Athletic Certification, is being performed by USSS and will be transitioned to the local campus, and thereby matching the configuration at all of the other campuses.

Other processes could be improved by enhancing or extending current applications and systems. Students would be able to complete more transactions online and would receive more timely notifications. With additional IT development registrars, faculty and staff in the academic units would have more tools available for records processing. More batch processes would result in fewer manual updates to SIS. For labor and resource intensive processes like building and maintaining the Schedule of Classes, efficiencies can be gained by distributing more update access to the academic units and developing more streamlined system triggers and utilities.

FTE

Student Records is transitioning 6.20 FTE to Shared Services, and will have an overall decrease of 16.49 FTE

	As-is	To-be No-IT	To-be IT	Increase/ (Decrease)
Local	101.57	99.16	78.88	(22.69)
Shared	10.00	11.54	16.20	6.20
TOTAL	**111.57**	**110.70**	**95.08**	**(16.49)**

NOTES:
- As Is and To Be amounts include staff transitioning to UITS
- Source: FTE Data updated as of December 31, 2012

Operating Model

Local Registrar offices will manage curriculum, enrollment, scheduling, grade collection and diploma production/distribution. Shared Services Registrar will manage transcripts and documents, maintain catalog, and perform remote student support.

Campus Registrar Activities:

Campus Registrar manages curriculum, enrollment, and scheduling activities, acts as center of excellence for highly skilled resources, and interacts with deans and faculty, including*:
- Manages enrollment process
- Manages campus based policies
- Manages schedule of classes and coordinates room scheduling
- Determines academic standing, degrees and honors
- Manages local ceremonies
- Manage diploma production and distribution
- Manage early alert and grade roster activities/processes
- Strategic planning
- Campus based reporting
- Resource to One-Stop
- Interaction and relationship with deans and faculty

One-Stop (Recommended) provides high-touch integrated student centric campus-specific services and combines Bursar, Financial Aid and Registrar activities, including*:
- Face to face student counseling and comprehensive issue resolution
- Multi-functional: combines Bursar, Financial Aid, and Registrar activities
- Registrar activities include: in person drop/add, record services inquiries and problem solving

Shared Services Registrar Activities:

Shared Services in the Office of the University Registrar provide leadership on legislation and policy interpretation, including*:
- Provides leadership for IU around state & federal legislation and policy interpretation
- Sets direction and works with campus directors to determine institutional actions regarding student records
- Maintains and modifies SIS as needed

Shared back office operations: performs shared back office activities including*:
- Transcript production
- Immunization (compliance)
- Enrollment and degree certifications
- Bio-demographic updating
- Waitlist processing
- Maintain course catalog and academic structure
- Implement academic and operational calendars

*Note: Lists are representative. A complete list of local and shared activities is included in the Appendix.

Implementation Overview

Student Records has several processes moving, the highest of the modules. Release 1 has several processes that require no significant systems changes; Release 3 is heavily dependent on Imaging and Workflow.

**July 1, 2013
Release 1**

- **Processes to be implemented, including:**
  - Waitlist processing (registration operations)
  - Enrollment and degree certifications
- **Technology to be implemented:**
  - Academic Program Proposal Evaluation And Review (APPEAR): Tracking system for changes to academic programs and structures
  - Calendar tool
  - Batch process for term activations
  - Reporting – Sex offender registry, grade distribution reports

Release 2

- **Processes to be implemented, including:**
  - Transcript production
  - I to F grade lapse processing
  - Immunization (compliance)
- **Technology to be implemented:**
  - Extend transcript order system
  - SIS development/enhancements
  - Workflow configuration/development
  - Batch processing – academic standing
  - Email and other notifications

Release 3

- **Processes to be implemented, including:**
  - Policy interpretation/enforcement
  - Bio-demographic updating
  - Review and determine residence classifications
  - Document management imaging, filing, archiving
  - Administrative enrollments / withdrawals
  - Program plan maintenance
  - Annual notifications
  - eSpecial credit
- **Technology to be implemented:**
  - Imaging
  - Workflow
  - SIS configuration/development
  - CRM configuration

ACADEMIC ADVISING ADMINISTRATION

In scope Academic Advising Administration activities include back office processing that has already been transitioned to shared services. No additional FTE movement is necessary.

- Academic Advising on the local campuses has significant face to face interaction with students, faculty and deans
- Typical processes such as advising, assigning students to advisors, and handling exceptions, are high touch activities best retained on local campuses
- Shared Services handles back office processing to support local campuses
- Some activities, such as academic advising report programming, would benefit from harmonization of policies between campuses and would result in greater efficiencies

SYSTEM-WIDE SUPPORT FUNCTIONS

Summary

In addition to the direct service functions analyzed in the rest of the operating model, there are support functions performed across all module areas. Some of the functions provide technical support, such as system management, security and access, production support, and training and end user documentation. The teams separated out for analysis those system-wide support processes from the 'direct delivery' processes, and then aggregated them for this presentation – many of the staff who provide those services work across several of the business functions. There are good possibilities for extensive use of Shared Services to perform these functions in the future.

- Handling security, training & documentation, production support, and system management are already largely focused in USSS and UITS
- Some activities will significantly benefit from process improvements, e.g., managing security will be significantly improved by implementing role based security rules
- There may be opportunities to move more activities, such as in training and documentation, into Shared Services
- In the future, there may be a need to sort roles and responsibilities related to production support between Shared Services System-wide team and UITS

The chart below displays the consolidated FTE associated with these system-wide processes.

	Bloomington	IUPUI and IUPUC	East	Kokomo	Northwest	South Bend	Southeast	University Admin	Total
Academic advising	-	-	-	-	-	-	-	4.73	4.73
Admissions	3.11	1.83	0.06	-	-	0.01	-	4.39	9.39
Financial aid	1.83	2.36	0.03	-	-	0.21	0.48	4.75	9.66
Student financials	1.91	0.64	0.01	0.04	0.03	0.04	0.03	-	2.69
Student records	2.08	0.90	0.09	0.17	-	0.01	0.13	5.18	8.55
Systemwide/Cross-M	-	-	-	-	-	-	-	4.45	4.45
Grand Total	8.92	5.73	0.19	0.21	0.03	0.26	0.64	23.50	39.47

Security Administration

During Phase III, the security team evaluated business processes associated with data stewardship, security design and development, and access administration. Analysis uncovered deficiencies in the areas of policy development and enforcement, data management training, and timely access provisioning and de-provisioning across the university. The current access model requires complex maintenance with unique access procedures for a growing number of fairly independent student related systems. It is becoming increasingly difficult to effectively facilitate the essential security management processes without an augmentation of security management resources as new systems are deployed.

The new model will incorporate shared service leadership in the areas of:

- Policy development and communication
- Third party release of student information
- Authorization and training of security resources
- Access administration for all systems containing student data

A shared service team of university data managers will aid in access profile creation and work with university developers to create tools necessary for streamlining the access administration process. This leadership and support will empower the local campus to get employees up and running faster during onboarding and reduce the complexity of security maintenance at the local level. Campus data management resources will have a continued role in policy enforcement and access approval for high risk security (scholarship administration, fee remissions, completion of degrees, etc.) in order to align campus operations and coordinate training.

Shifting access administration responsibilities requires a phased approach and ongoing analysis is essential for the success of this transition. Processes that require minimal technology requirements and provide the greatest gains in efficiency will be implemented in Shared Services during Release 1. Some processes already being implemented include: SIS access assignment, access de-provisioning, data management authorization and training, and policy enforcement aids (i.e. a FERPA website that may be utilized by all campuses). Additional access processes may be moved to Shared Services prior to the development of technology solutions if efficiencies may be gained. Moving SIS access assignment into a shared service will enable efficiencies in access provisioning as shown here.

As Is - SIS Access Request Flow
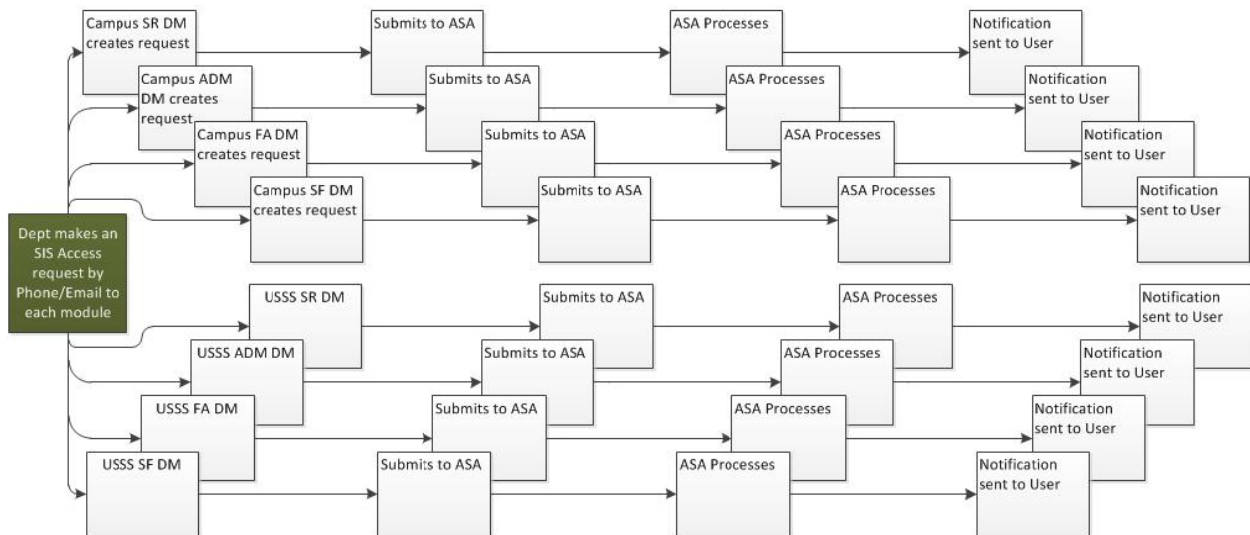
New SIS Access Process
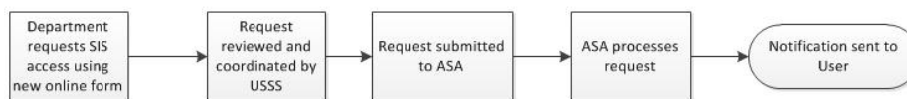
Other processes requiring IT development will be in Release 2 and 3 including:

- Workflows to support the University Data Steward approval processes (i.e. release of information, 3rd party software reviews, approval of data usage, response to breaches etc...)
- Access assignment responsibilities for other systems: IUIE, Kuali Workgroup maintenance, CRM, ADS management

Successful implementation of Release 2 and 3 are dependent upon the development of access and compliance tools and role based security rules requiring collaboration between campus data management, Shared Services Security team, UITS, and University Human Resources. Implementation of these changes will result in resource efficiencies at the data management and UITS security administration levels with additional savings to the university community as a whole through timely access assignment.

Systems Administration

This area represents the activities associated with maintaining central systems to ensure the ongoing reliability of student systems. This includes the following tasks in support of new development project work, vended software, and existing system enhancement work.

- Evaluate, analyze and compose project requests based on customer needs
- Gather and document system requirements; analyze and prepare detailed user specifications and application documentation
- Manage projects including design, resource planning, task management, testing and communication of system patches, fixes, upgrades, and enhancements
- Assist in the implementation of vended products including participation in vendor evaluations, writing Requests for Proposals, vendor demos, completing fit/gap analysis, selection and implementation
- Develop and execute test plans
- Testing for upgrades and enhancements

Currently, 80% of the systems activities are handled by USSS and UITS. Campus responsibilities include participating in the system development process, writing business processes for specific office functions, and testing. An early step in the SSI Project was to move a portion of the USSS business analysts to UITS to work closely with the development teams.

Key recommendations include:

- Develop and document standard development methodology;
- Establish a system manager role for support of electronic documents (E-Docs);
- Pursue the use of automated testing tools to accommodate functional testing across all SIS modules, E-Docs, etc.; and

- Evaluate campus / departmental systems and determine whether application will be supported as enterprise system within UITS, be retired, and/or continued use supported by local office.

Production Support

Support the end users of student systems including; SIS, IUIE, IU Developed and Vended software solutions. Some of the activities include;

- Review, evaluate, analyze impact and request appropriate SIS updates (i.e. configuration changes, modification to budget and packaging formulas, new checklists to support business processes, etc.)
- Create and maintain internal master job calendars of events, reports and processes
- Management of reported issues, including routing issue to appropriate experts, issue research, resolution and communication of resolution

Production support will continue to be categorized as a combination process with support provided by the campus, USSS, and UITS staff.

Key recommendations include:

- Document roles and responsibilities surrounding SIS production support model by campus, USSS, and UITS (help desk, functional and technical teams).
- Standardization on Production Support Tracking Tool – currently there are at least two tools used to communicate and track SIS production support issues, i.e., Footprints and Jira.
- Coordinate with campus level support – explore opportunities to assist campus offices with their support structures, i.e., standardize use of tools, issue escalation processes, etc.
- Tracking direct production support contacts (e.g. phone calls, email, etc.) that are not logged or tracked and therefore not included in support statistics and/or systematically captured for training/communication purposes.

End User Documentation and Training

Oversee the management and administrative aspects of the training operations. This includes developing training materials, developing training delivery schedules, and working to develop training instance strategies for enterprise and local training opportunities. This process will also cover the development of business process documentation and job aids. This process will focus on the documentation and training needs for student-related business processes and system processes.

Key recommendations include:

- Create centralized training and documentation virtual kiosk to administer training courses,

- o Course offerings, both global and local, or campus specific
- o Tracking functionality
- o End User training site
- Appoint a training and end user documentation coordinator within USSS to aid in the consolidation of end user training materials and job aid
- Ensure campus trainers contribute to the training and documentation site so that all campuses can benefit from the training materials and documentation created

Staffing Changes by Campus

Each campus will see shifts and reductions in staffing across the various student services offices. These changes will occur as processes are moved to Shared Services and as system developments are completed and implemented, not all at once. The tables below display by campus and by module the staffing identified in the business process redesign for the current status ("as-is"), for the model after processes not dependent on technology are put in place ("to-be"), and for the model after the technology enhancements are implemented ("to-be IT").

The budget shifts and reductions accompanying these staffing changes are calculated on the basis of appointed staff. There are impacts, however, on the level of hourly and student staffing as well. The tables distinguish between the two categories.

The FTE in these tables does not represent the total staffing in the student services offices. There are many cases of employees performing work outside the business processes that were reviewed for this project. The staffing identified here is what was identified in the business processes that were analyzed.

Bloomington

Full-time Equivalents (FTE)		Appointed Staff			Hourly/Student		
Campus	Module Name	As-is	To-be	To-be IT	As-is	To-be	To-be IT
BL	Admissions	54.18	51.96	42.73	40.33	39.98	24.36
	Financial aid	22.53	18.28	18.28	6.37	6.37	6.37
	Student financials	27.28	25.35	25.35	2.00	2.00	2.00
	Student records	41.92	40.69	29.52	6.42	5.67	3.28
BL Total		145.90	136.28	115.88	55.12	54.01	36.01

Please see *recommendations by module* (P. 16-28) or *Appendix A* for a breakdown of processes being moved to Shared Services.

Total budget reductions (both efficiency-related and shifts to shared services) are displayed in this table:

	Projected To-be Change	Projected Addt'l IT Change	Subtotal: BPR Change	S&E, Overhead Change	Total BPR Savings/ Shift
Bloomington	$ (597,722)	$ (1,131,987)	$ (1,729,709)	$ (259,456)	$ (1,989,165)

IUPUI and IUPUC

Full-time Equivalents (FTE)		Appointed Staff			Hourly/Student		
Campus	Module Name	As-is	To-be	To-be IT	As-is	To-be	To-be IT
IN	Admissions	29.60	27.77	19.12	25.08	24.21	21.85
	Financial aid	26.24	20.66	20.66	9.23	8.43	8.43
	Student financials	15.64	14.01	14.01	0.75	0.73	0.73
	Student records	20.09	19.64	15.61	3.00	3.00	2.86
IN Total		91.57	82.08	69.40	38.06	36.37	33.86
CO	Admissions	3.00	2.91	2.07	2.21	2.09	1.41
	Student financials	1.55	1.15	1.15			
	Student records	2.20	2.02	1.61	0.74	0.74	0.70
CO Total		6.75	6.07	4.83	2.95	2.83	2.12

Please see *recommendations by module* (P. 16-28) or *Appendix A* for a breakdown of processes being moved to Shared Services.

Total budget reductions (both efficiency-related and shifts to Shared Services) are displayed in this table:

	Projected To-be Change	Projected Addt'l IT Change	Subtotal: BPR Change	S&E, Overhead Change	Total BPR Savings/ Shift
IUPUI/IUPU Col	$ (470,229)	$ (680,194)	$ (1,150,423)	$ (172,563)	$ (1,322,986)

East

Full-time Equivalents (FTE)		Appointed Staff			Hourly/Student		
Campus	Module Name	As-is	To-be	To-be IT	As-is	To-be	To-be IT
EA	Admissions	7.00	6.77	5.47			
	Financial aid	5.02	4.46	4.46	1.00	0.98	0.98
	Student financials	0.90	0.81	0.97	0.93	0.84	0.68
	Student records	2.80	2.72	2.21	0.50	0.48	0.45
EA Total		15.71	14.76	13.11	2.43	2.31	2.11

Please see *recommendations by module* (P. 16-28) or *Appendix A* for a breakdown of processes being moved to Shared Services.

Total budget reductions (both efficiency-related and shifts to Shared Services) are displayed in this table:

	Projected To-be Change	Projected Addt'l IT Change	Subtotal: BPR Change	S&E, Overhead Change	Total BPR Savings/ Shift
East	$ (48,666)	$ (72,559)	$ (121,225)	$ (18,184)	$ (139,409)

Kokomo

Full-time Equivalents (FTE)		Appointed Staff			Hourly/Student		
Campus	Module Name	As-is	To-be	To-be IT	As-is	To-be	To-be IT
KO	Admissions	4.40	4.21	3.05	1.00	0.98	0.78
	Financial aid	4.02	3.34	3.34	1.45	1.25	1.25
	Student financials	1.86	1.29	1.29	0.90	0.79	0.79
	Student records	3.92	3.81	2.99	1.00	0.97	0.84
KO Total		14.21	12.65	10.67	4.35	3.99	3.66

Please see *recommendations by module* (P. 16-28) or *Appendix A* for a breakdown of processes being moved to Shared Services.

Total budget reductions (both efficiency-related and shifts to Shared Services) are displayed in this table:

	Projected To-be Change	Projected Addt'l IT Change	Subtotal: BPR Change	S&E, Overhead Change	Total BPR Savings/ Shift
Kokomo	$ (93,441)	$ (84,890)	$ (178,331)	$ (26,750)	$ (205,081)

Northwest

Full-time Equivalents (FTE)		Appointed Staff			Hourly/Student		
Campus	Module Name	As-is	To-be	To-be IT	As-is	To-be	To-be IT
NW	Admissions	7.59	7.32	5.34	2.25	2.25	2.08
	Financial aid	6.81	6.00	6.00			
	Student financials	3.91	3.63	3.63			
	Student records	4.79	4.55	3.40	1.00	1.00	0.95
NW Total		23.09	21.51	18.37	3.25	3.25	3.03

Please see *recommendations by module* (P. 16-28) or *Appendix A* for a breakdown of processes being moved to Shared Services.

Total budget reductions (both efficiency-related and shifts to Shared Services) are displayed in this table:

	Projected To-be Change	Projected Addt'l IT Change	Subtotal: BPR Change	S&E, Overhead Change	Total BPR Savings/ Shift
Northwest	$ (82,153)	$ (138,285)	$ (220,438)	$ (33,066)	$ (253,504)

South Bend

Full-time Equivalents (FTE)		Appointed Staff			Hourly/Student		
Campus	Module Name	As-is	To-be	To-be IT	As-is	To-be	To-be IT
SB	Admissions	7.90	7.63	5.50			
	Financial aid	7.13	6.33	6.33	1.23	1.23	1.23
	Student financials	4.73	3.73	3.73			
	Student records	5.33	5.28	4.18	1.00	1.00	0.72
SB Total		25.09	22.98	19.75	2.23	2.23	1.95

Please see *recommendations by module* (P. 16-28) or *Appendix A* for a breakdown of processes being moved to Shared Services.

Total budget reductions (both efficiency-related and shifts to Shared Services) are displayed in this table:

	Projected To-be Change	Projected Addt'l IT Change	Subtotal: BPR Change	S&E, Overhead Change	Total BPR Savings/ Shift
South Bend	$ (88,874)	$ (131,675)	$ (220,549)	$ (33,082)	$ (253,631)

Southeast

Full-time Equivalents (FTE)		Appointed Staff			Hourly/Student		
Campus	Module Name	As-is	To-be	To-be IT	As-is	To-be	To-be IT
SE	Admissions	10.33	10.23	7.55			
	Financial aid	7.77	6.73	6.73			
	Student financials	2.12	1.97	1.97	2.53	2.10	2.10
	Student records	6.93	6.85	5.77	1.75	1.74	1.41
SE Total		27.15	25.78	22.01	4.28	3.84	3.50

Please see *recommendations by module* (P. 16-28) or *Appendix A* for a breakdown of processes being moved to Shared Services.

Total budget reductions (both efficiency-related and shifts to Shared Services) are displayed in this table:

	Projected To-be Change	Projected Addt'l IT Change	Subtotal: BPR Change	S&E, Overhead Change	Total BPR Savings/ Shift
Southeast	$ (69,107)	$ (169,377)	$ (238,484)	$ (35,773)	$ (274,257)

University Administration (Office of USSS)

Full-time Equivalents (FTE)		Appointed Staff			Hourly/Student		
Campus	Module Name	As-is	To-be	To-be IT	As-is	To-be	To-be IT
UA	Academic advising	8.00	8.00	7.90			
	Admissions	6.90	8.06	26.49	-	0.49	14.01
	Financial aid	6.33	11.73	11.42		0.00	0.00
	Security, IT, systems	4.45	4.45	4.45			
	Student records	9.02	10.56	15.22			
UA Total		34.70	42.80	65.47	-	0.49	14.01

The shifting of staffing to Shared Services is apparent in the table, with significant increases in the three primary modules of admissions, financial aid, and student records. Staffing for student financials appears in the Bloomington campus table, where much of the university-wide processing of bursar back-office work is already taking place.

Funding shifts from campuses to provide for staffing of the Shared Services offices is displayed in this table, along with the university-wide budget savings for each step:

	Projected To-be Change	Projected Addt'l IT Change	Subtotal: BPR Change	S&E, Overhead Change	Total BPR Savings/ Shift
Univ Admin	$ 432,039	$ 1,202,593	$ 1,634,632	$ 245,195	$ 1,879,827
TOTAL	$ (1,018,153)	$ (1,206,374)	$ (2,224,527)	$ (333,679)	$ (2,558,206)

Implementation Approach

The Shared Services transition will be phased in 3 releases between July 2013 and July 2014.
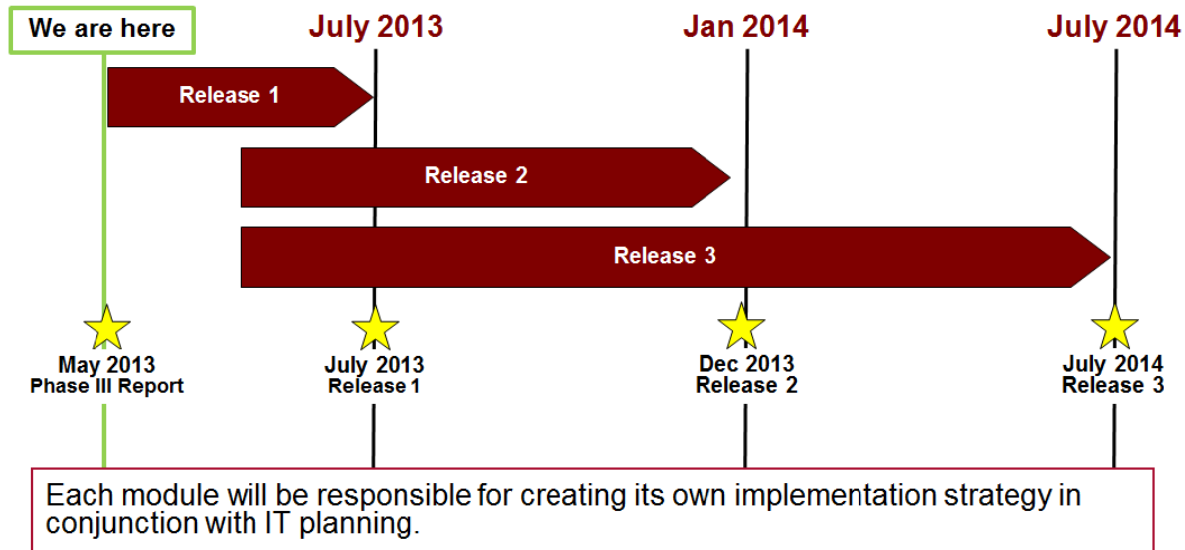
Release 1
Transitioned with simple configuration and/or process changes
- Examples: Admissions support – collect process application fees; ; Financial aid – Mass packaging (aid eligibility); Student financials- Student billing; Student records – Maintain course catalog
- Several Financial Aid processes, e.g. loan and grant processing require staffing prior to Release 1

Release 2
Require more complex technology configuration or build, complex process design and training, or staffing
- Among the build needed are: Workflow, SIS configuration/development, enhanced reporting, standardization of processes
- Examples: Admissions support – Cancel applications, post decision updates, : Financial aid – Financial aid notification generation, missing information letters, ad hoc reporting; Student financials – Post charges and payments, refunding; Student records – Transcript production, immunization

Release 3
Require significant technology build.
- Among the build needed are: Imaging, Workflow, SIS configuration/development, CRM development
- Examples: Admission – Application processing, receive/process high school transcripts, receive/process college transcripts; Student records – Schedule Build, Bio-demographic updating, policy interpretation/enforcement

Implementation Guidelines for Business Processes

The specific implementation approach used to transition from the "current state" to the "to be state" may vary for each of the detailed business processes. However, the following fundamental elements will be used as a high-level implementation guide.

- Each business process will be further reviewed to ensure the correct placement on the initial transition timeline.
- Implementation teams composed of representatives from the local (campuses) and Shared Services (USSS) will be identified and charged with outlining the implementation details required for a successful transition, including:
  - o Review and refinement of business process with a focus on the delineation of implementation requirements.
  - o Identification of specific tasks to be transitioned.
  - o Training/documentation and system configuration requirements related to tasks.
  - o Identification of the specific timing of the transition, to include an appropriate overlap between local and shared.
  - o Documentation of service level agreements.
- Staffing planning and execution
  - o A comprehensive shared service resource plan to include FTE, organizational assignments, space requirements, etc., associated with implementation timelines.
  - o Shared Services related job descriptions, which may appropriately incorporate a consolidation of activities across multiple business processes.
  - o Positions recruitment process
    - Specific position posting and recruitment corresponding to the resource implementation plan/timelines.
    - Recruitment/hiring process, including input from local (campus) and shared service representatives.
    - Onboarding to including execution of training plans, etc.

Technology Dependencies

Transitioning to Shared Services will require several configurations or changes to technology, process, and people. Please see Appendix B for a detailed list of technology related projects by module.

Harmonization Considerations

In reviewing the business processes, harmonization considerations were identified in the areas of admissions, financial aid, student records, and student financials. The harmonization considerations were not built into the recommendations but we are engaged in internal conversations to discuss next steps. Additional savings, including more savings in the academic departments, could be realized through harmonization. However, this is not within the scope of the SSI project. The following policies and practices will be taken to faculty governance and academic administrative bodies for consideration starting with the 2013-14 academic year.

Financial Aid

- **Loan Proration:** Conform IUB loan proration process with other campuses.
- **Establishing Cost of Attendance (Summer and Academic Year):** Harmonize policy across school (completed).

Admissions*

- **Test Credit Processing:** Harmonize score rules.
- **Maintain Transfer Credit Articulations:** Appropriately harmonize academic policy.
- **Inter-Campus Transfer**: Create a seamless process for students to transfer. Consolidate all transfer policies, and make consistent across campuses. Establish new process with workflow routing. Establish a cross-campus owner.

Student Records*

- **Extended X and Pass/Fail**: Set the date to occur during the same week of any Term across all campuses or eliminate the deadlines altogether.
- **I to F Grade Lapse Notifications**: Eliminate the requirement to notify students once the grade has lapsed to 'F'; policy already stipulates that student notifications be sent prior to the grade lapsing.
- **Grades Forgiveness/Bankruptcy**: Create one policy for those campuses which have a policy.
- **Student Drops / Withdrawals**: Follow Department of Education policy recommendations across all campuses and standardize levels of approval and dates.
- **Grade Context Record**: Extend Bloomington policy to other campuses or eliminate Bloomington Grade Context Policy.
- **Mid-Term / Early Evaluation Grades**: Align with Student Performance Rosters.
- **Rules Determining Resident and Nonresident Student Status**: Update and re-evaluate rules and make them understandable to our constituents (In Progress).
- **Special Credit Fees**: Standardize across campuses.
- **Calendar**: Harmonize academic and term processing calendars, or at least create common start and end dates and break dates.

- **Transcript Fees**: Standardize transcript fee across all campuses or eliminate fees and recoup income through tuition or fees.
- **Release of Student Information:** Standardize data constituting directory information across campuses.
- **Determining Academic Standing:** Standardize parameters for determining Probation/Dismissal across academic units and/or campuses.

Student Financials

- **Veterans:** Harmonize procedures related to school certification among the veterans support offices.
- **Refunding:** Harmonize timing and selection of refunds to improve nightly batch schedule functionality.
- **Financial penalties:** Late payment fees, returned check/ACH charges, stop-payment fees, and collection costs.

*Subject to academic approval

Additional Accenture Recommendations

In addition to the recommendations discussed above, Accenture has identified the following opportunities for further efficiencies and savings. The project team determined these would not be implemented at this time but will be considered for subsequent business process redesign efforts.

1. **Move additional back office administrative activities from local campuses to Shared Services**
   – Admissions Support
     • *Central Receipt of Documents*: Documents are mailed to a central location for scanning and processing
     • *Prospect Card Entry*: Create a shared group to input prospect cards in a timely manner
     • *Inventory and Fulfillment*: Create a shared inventory and fulfillment group to handle admissions materials
   – Student Records
     • *Document Imaging and Archiving*: Create a central organization to manage document imaging and archiving as well as historical archiving
   – Student Financials
     • *Central Receipt of Checks:* Pursue central receipt of all payment and use of lockbox
     • *Move Cashiering:* Move cashiering function to One-Stop Shop and take active steps to reduce in person checks/cash volume
   – Cross-Module
     • *Reporting:* Create a central group for regular and ad hoc reporting to service all modules.

2. *Actively pursue One-Stop /Customer service enhancements*
   – One-Stop Shop would:
     • enable separation of inquiries and transaction processing for the local and shared modules, creating operational efficiencies by allowing modules to focus on transaction processing
     • include Student Financials for comprehensive and efficient customer service
     • be in a separate organization with a separate lead, having dotted line relationship to the modules
     • be driven by metrics and SLAs
     • act as the face of the module to the customer

3. *Create shared Contact Center to supplement One-Stop Shop/Customer Service enhancements for all campuses*
   – A central Contact Center would provide the same type and level of service as One-Stop, only remotely.
     • Resources would be dedicated to and expert in specific campus policy and procedures.
   – The Contact Center would:

- Provide the same type and level of service as One-Stop, only remotely (phone, email, online chat, fax): cross-functional, direct relationship with students, allowing comprehensive real time inquiries and problem solving
- Be a separate organization, like One-Stop, with a separate lead and a dotted line relationship to modules
- Be central and co-located, but with resources dedicated to (and expert in) specific campus policies and procedures
- Create separation of inquiries and transaction processing for the local and shared modules, creating operational efficiencies by allowing modules to be focused on transactions
- Have hours of service that reflect customer needs and expectations (long and late night hours, weekends), and include extensive use of self service

4. *Emphasize Service Management*
  - Metrics and SLAs: Establish a metrics driven culture, using service targets and operational measures, to drive client satisfaction and operational effectiveness
    - Technology, Process and People requirements would include:
      - Identify and document KPIs and SLAs
      - Create processes and roles to collect and publish metrics
      - Change Management in Shared Services around operating as metrics driven culture
  - Service Management Processes: Establish management (operational) processes including creation and publishing of metrics, customer (client/ stakeholder) management, continuous improvement, transition management, and communication
    - Technology, Process and People requirements would include:
      - Define Service Management processes
      - Create roles and identify FTE
  - Process owners: Identify experts in University-wide processes, to coordinate smooth and efficient operations and identify and implement ongoing process improvements continuous improvement, transition management, and communication
    - Technology, Process and People requirements would include:
      - Define Process Owner role
      - Identify FTE

Appendix A

Detailed Operating Model by Module – Shared vs. Local

Activities are performed primarily in local campus modules, primarily in Shared Services, or in both as defined by the business process review sessions.

Financial Aid

Process Number and Category	Process Name	Local	Shared	Combination
Award Management & Processing				
FA-01	Alternative/Private Loans		X	
FA-04	Consortium Agreements	X		
FA-05	CVO		X	
FA-07	Dependency Verification	X		
FA-08	Disbursement Override Management			X
FA-15	Financial Aid Notification Generation			X
FA-18	Institutional & Title VII/VIII Loans	X		
FA-23	Loan Proration		X	
FA-24	Mass Packaging		X	
FA-25	Missing information Letters (MIL)		X	
FA-29	Overawards		X	
FA-30	Overseas Study Awarding	X		
FA-31	Packaging Audits (MYT, Multi-campus, Perkins, etc)		X	
FA-32	Pell Grant Processing		X	

Process Number and Category	Process Name	Local	Shared	Combination
FA-33	PLUS Loan Processing		X	
FA-36	Quality Assurance	X		
FA-38	Repeat Coursework Monitoring		X	
FA-44	Special Circumstances Appeals	X		
FA-45	Stafford Loan Processing		X	
FA-46	State Aid Reconciliation (all programs - new)	PENDING LEGISLATION		
FA-47	State Grant Processing	PENDING LEGISLATION		
FA-48	State Part Time Grants	PENDING LEGISLATION		
FA-49	State Scholarship Processing	PENDING LEGISLATION		
FA-50	Verification	X		
Reconciliation and Clean Up				
FA-02	Cancellation of Aid		X	
FA-37	R2T4 and Unofficial Withdrawals		X	
FA-51	Work-Study Awarding & Reconciliation	X		
FA-52	Work-Study Management and Employer Relations			X

Financial Aid (Cont.)

Process Number and Category	Process Name	Local	Shared	Combination
Ongoing Tasks and Processing				
FA-03	Client Contact (inc IUPUI Call Ctr)	x		
FA-09	Document Management/Imaging/Filing AND Processing Incoming Correspondence (Mail, Faxes, etc)			x
FA-16	FISAP		X	
FA-17	Income Verification Forms for Public Agencies	X		
FA-19	ISIR Processing		X	
FA-20	ISIR Rejects and C Flags	X		
FA-22	Loan Entrance and Exit Counseling		X	
FA-27	Orientation	X		
FA-28	Outreach	X		
Scholarships and Fee Remissions				
FA-06	Departmental Award Mgmt			X
FA-14	External Scholarship Management	X		
FA-26	New Scholarships Management	X		
FA-43	Renewal Management	X		

Process Number and Category	Process Name	Local	Shared	Combination
Planning and Set Up				
FA-10	Estabish Cost of Attendance for Academic Year		X	
FA-11	Estabish Cost of Attendance for Summer		X	
FA-12	Expenditures for Campus-Based Aid	X		
FA-13	Expenditures for Institutional Aid	X		
FA-21	Item Type Management			X
FA-35	Publications	X		
FA-40	Review Public Website and Consumer Information	X		
Satisfactory Academic Progress (SAP)				
FA-41	SAP Communication and Appeal Processing	X		
FA-42	SAP Setup and Evaluation		X	
Reporting				
FA-39	Other: Reporting (ad hoc)		X	

Process Number and Category	Process Name	Local	Shared	Combination
Other Financial Aid Processes & Activities				
FA-99.51	Out Of Scope	X		
FA-99.55	Management/Administration	X		
SR-05f	Compliance Management Processes: Veteran's Services (including in person)	X		

Admissions

Process Number and Category	Process Name	Local	Shared	Combination
Applicants				
AD-01	Admissions Counseling	X		
AD-02	Application Processing		X	
AD-03	Application Processing Readiness Planning	X		
AD-04	Athlete processing	X		
AD-05	Cancel Applications		X	
AD-06	Collect/Process Application Fees & Waivers		X	
AD-07	Criminal Disclosure Review	X		
AD-09	Maintain Test Credit Articulations	X		
AD-12	Post Decision Updates	X		
AD-13	Receive/Process College Transcripts		X	
AD-14	Receive/Process High School Transcripts		X	
AD-15	Receive/Process Other/Miscellaneous materials		X	
AD-17	Scholarship processing			X
AD-18	SEVIS/International review	X		
AD-19	Test Credit Processing		X	

Process Number and Category	Process Name	Local	Shared	Combination
Applicants				
AD-20	Transfer Credit Processing		X	
AD-32	Respond to Admissions Materials Requests	X		
AD-33	Campaign Development & Management	X		
Post Admit Recruiting/Post Decision Activities				
AD-08	Decision Letter Process		X	
AD-10	Matriculate Admits		X	
AD-11	Orientation for New Applicants	X		
AD-16	Record Intent to Enroll		X	
External Organization Management				
AD-21	Create School Organizations	X		
AD-22	High School Counselors (ext org contacts)	X		
AD-23	Maintain External Course Catalogs		X	
AD-24	Maintain Transfer Credit Articulations		X	

Admissions (Cont.)

Process Number and Category	Process Name	Local	Shared	Combination
Global Functions				
AD-25	Load Test Score		X	
AD-27	Suspense File Management		X	
AD-28	Professional Development			X
AD-29	Reporting		X	
AD-30	Duplicate Record Resolution		X	
AD-31	Maintain and Update Control Tables		X	
AD-39	Volunteer Coordination	X		
Audience Recruiting Management				
AD-26	Parent Records and Processing		X	
AD-35	Manage Recruiters	X		
Prospects				
AD-34	Manage Prospects		X	
AD-36	Recruitment Materials Inventory	X		

Process Number and Category	Process Name	Local	Shared	Combination
Suspects				
AD-37	Suspect Management	X		
Event Management				
AD-38	Recruiting Events	X		
Systems and Cross Module				
AD-08m	Communications with Audiences	X		
FA-26	Scholarships and Fee Remissions: New Scholarships Management	X		
SF-01.01	Calculate Tuition & Fees		X	
SF-06.01	TPC's Deptl Fee Remissions	X		
AD-99.51	Out Of Scope	X		

Student Records

Process Number and Category	Process Name	Local	Shared	Combination
Curriculum Management				
SR-01a	Maintain Academic Structure and Support Academic Policies			X
SR-01b	Develop, Publish, and Maintain School Bulletin (Catalog)	X		
SR-01c	Maintain Course Catalog		X	
SR-01d	Schedule of Classes Build		X	
SR-01e	Room Scheduling and Schedule of Classes Maintenance	X		
SR-01f	Class Enrollment Access Controls		X	
Manage Enrollment				
SR-02a	Establish Academic and Operational Calendars			X
SR-02b	Develop and Publish Registration Guide(s)	X		
SR-02c	Pre-Registration (Student Term Setup)			X
SR-02d	Registration Operations (Pre-Registration --> Drop Retain (end of 1st Wk)			X
SR-02e	Maintain Academic Enrollment (Drop w/ Penalty --> Fully Graded, Approval Required)			X
SR-02f	Collect and Distribute Class Attendance Data			X

Process Number and Category	Process Name	Local	Shared	Combination
Manage Enrollment				
SR-02g	Collect and Respond to Student Performance Indicators (SPF, Mid-Term)			X
SR-02h	Block Enrollment Processing		X	
Records Management				
SR-03a	Bio-Demographic Updating (e.g., Names, etc)		X	
SR-03b	Review and Determine Residence Classifications		X	
SR-03c	Transcript Production		X	
SR-03d	Evaluate and Record Transfer, Test, & Other Credit			X
SR-03e	Grades Processing			X
SR-03f	Enrollment and Degree Certifications		X	
SR-03g	Program/Plan Updating			X
SR-03h	Document Management Imaging, Filing, and Archiving			X
SR-03i	Historical Records Management			X

Student Records (Cont.)

Process Number and Category	Process Name	Local	Shared	Combination
Degree Completion				
SR-04a	Academic Standing Processing (Probation, Dismissal)	X		
SR-04b	Degree Processing			X
SR-04c	Determine Honors			X
SR-04d	Support Campus Ceremonies	X		
Compliance Management				
SR-05a	Audit SIS and IUIE Data		X	
SR-05b	Policy Interpretation/Enforcement			X
SR-05c	Athletic Certification (moving Shared Services to local)	X		
SR-05d	Immunization		X	
SR-05e	Annual Notifications		X	
SR-05f	Veteran's Services (including in person)	X		
SR-05g	Citizenship Verification		X	
Records Services and Customer Support				
SR-06a	Focus on List of Business Processes and FTE's	X		

Process Number and Category	Process Name	Local	Shared	Combination
Other Registrar Office Business Processes				
SR-07a	Batch Processing		X	
SR-07b	Run and Maintain Data Feeds		X	
SR-07c	Maintain and update SIS Control tables		X	
SR-07d	Professional Development	X		
SR-07e	Inventory Management and Purchasing		X	
SR-08f	Systems and Cross Module Processes: Reporting		X	

Process Number and Category	Process Name	Local	Shared	Combination
Systems and Cross Module				
SR-08e	Systems and Cross Module Processes: Duplicate Record Resolution	X		
SR-08g AA	AA 1A Build and Maintain Academic Advisement Reports (AAR programming)			X
SR-08h AA	AA 1B Maintain Student Exceptions			X
SR-08i AA	AA 2B Repeat Rules	X		
SR-08j AA	AA 2D Advisor Assign Batch			X
SR-08k AA	AA 3A Provide service to faculty curriculum/policy committees			X
SR-08l AA	AA 4A Academic Advising Functionality Training	X		

Student Financials

Process Number and Category	Process Name	Local	Shared	Combination
Fee Assessment				
SF-01.01	Calculate Tuition & Fees		X	
Billing				
SF-02.01	Student Billing		X	
SF-02.02	Customer Service	X		
SF-02.03	Account Integrity			X
SF-02.04	Bankruptcy/Deceased		X	
Payments and Charges				
SF-03.01	Cashiering	X		
SF-03.02	Post Charges and Payments			X
SF-03.03	Write-Off		X	
SF-03.04	Returned Items		X	
SF-03.05	Late Fees		X	
SF-03.06	Deferral Contracts		X	
SF-03.07	Short Term Loans	X		
SF-03.08	Guaranteed Tuition Certificates (GTC)		X	

Process Number and Category	Process Name	Local	Shared	Combination
Financial Aid				
SF-04.02	Authorizations - Title IV		X	
SF-04.03	Misc Scholarships	X		
SF-04.04	Repayments (aka R2T4)		X	
SF-04.05	Private Loan Processing		X	
Third Party Contracts				
SF-06.01	TPC's Deptl Fee Remissions	X		
SF-06.02	External Third Party Sponsors			X
Refunding				
SF-07.01	Stop-pay/Reissue	X		
SF-07.02	Refunding		X	
SF-07.03	Stale Dated checks			X
Collections				
SF-08.01	Collections			X

Student Financials (Cont.)

Process Number and Category	Process Name	Local	Shared	Combination
Accounts/Reconcile				
SF-09.01	Reconcile GL Accounts			X
SF-09.02	Item Type & RC String Maintenance		X	
Other Student Financial Processes				
SF-98.01	Bio/Demo Data Maintenance			X
SF-99.01	Batch File Processing		X	
SF-99.51	Out Of Scope	X		
SF-99.52	Out Of Office	X		
Systems and Cross Module				
SF-99.02	Veteran's Chap 33	X		

Academic Advising Administration

Process Number and Category	Process Name	Local	Shared	Combination
Monitor Degree Requirement Processes				
AA-01a	Build and Maintain Academic Advisement Reports (AAR programming)		X	
Academic Records Management				
AA-02c	Advising Contacts (inactivate)		X	
Policy Interpretation and Consultation Processes				
AA-03a	Provide service to faculty curriculum/policy committees		X	
Develop and Conduct Training				
AA-04a	Academic Advising Functionality training		X	
Other Academic Advising Processes & Activities				
AA-05a	Data Uploads		X	
AA-05b	Batch Processing		X	
AA-05c	Audit SIS and IUIE Data		X	
AA-05d	Manage and maintain SIS Control tables (CTM)		X	
AA-05e	Professional Development		X	

System-Wide

Process Number and Category	Process Name	Local	Shared	Combination
IN-08a	Systems Management		X	
IN-08b	End User Training and Documentation		X	
IN-08c	Access Administration and Security		X	
IN-08d	Production Support		X	
IN-99.51	Out-of-Scope		X	
IN-99.55	Management and Office Administration		X	

Appendix B

Technical Project Dependencies

As stated above, the success of SSI will be highly dependent upon the implementation of specific technology initiatives. These technology dependencies were identified during the detailed business process reviews for each module area. The below detailed list represents the technical projects related to each module business process.

Note: The positioning of the below projects to the specific release periods should be considered an initial high-level target. Detailed project planning including prioritization, development estimation and resource planning is underway and will impact the below schedule.

Release 1

Name of Business Process	Project Title	Project Description
Admissions		
Collect/Process Application Fees & Waivers	eCheck Payment	Implement eCheck as a method of fee collection on the eApp
Manage Suspects	Address Verification Extended Implementation	Address Verification-complete implementation by allowing an outside file to be cleansed and a widget for quick verification of suspect addresses on the fly.
Application Processing	Residency decision automated	Extend Automated Residency Decisions to all eApps
Collect/Process Application Fees & Waivers	Improve app fee reconciliation	Audit reporting improvements; incorporate paper process into reconciliation
Test Credit Processing	Review the Test Credit process/auditing for quality	Review process to ensure test credit is posting for the appropriate campus as well as audit to ensure credits have posted.
Student Records		
Pre-Registration (Student Term Setup)	Develop Batch for Term Activations	Develop batch process to replace manual daily term activation runs that are dependent upon iOpus scripts to run.
Pre-Registration (Student Term Setup)	Develop Intercampus Transfer Student System	Provide portal, data collection and streamlined services for students who need to transfer between campuses.

Maintain Academic Structure and Support Academic Policies	APPEAR Academic Program Proposal Evaluation and Review	Implement APPEAR project (Academic Program Proposal Evaluation and Review): create JAVA application that shows the various stages of academic structure requests involving degree program approvals, schools changes, new majors, minors, tracks, concentrations, transcript notations, etc. These activities all support the work of ALC (Academic Leadership Committee). System does not support workflow routing, but does need to support imaging, forms development and collection, archival, and reporting functions. Provide tool for keeping in sync SIS Academic Structure, the API, CIP codes, Gainful Employment Certs, etc.
Establish Academic and Operational Calendars	Develop Date Collection Tool	Date Collection - USSS is developing a calendar tool to assist registrars in the collection of dates needed to manage multiple processes in SIS. This tool should result in greater efficiencies by pre-populating dates for the next year and by reducing the amount of time needed to enter and validate dates for multiple terms.
Registration Operations (Pre-Registration --> Drop Retain (end of 1st week)	Waitlist Communications	Waitlist Processing: This process could be moved to a shared service as soon as staff are identified and trained, as there is no dependency on IT development. With additional IT development better service to students could be realized with real-time communications instead of a highly-manual "next day" notification. Students would be notified immediately of waitlist placement instead of waiting until the next day to be notified of their placement in a class, as a result of waitlist processing. In addition, the system should identify and notify students who are in a situation which will prevent them from being placed in the waitlist. As part of these real-time notifications, text messaging and integration with CRM need to be included.
Financial Aid		
Cancellation of Aid	Departmental Award Modification	Modify Dept. Award Entry page and batch process for custom splits, sequence number
Disbursement Override Management	Modify Authorization Batch Job	Modify Authorization batch job to look for alt calculation of FA load when authorization fails, modify FA Term to display alt load and date/time of last calculation
Mass Packaging	Ready to Package	Identification of spring only students in 'Ready to Package' SIS job instead of IUIE report and batch upload of pkg. variable. Utilize ineligible academic plan data in select logic.
Pell Grant Processing	Departmental Award Modification	*Modify Dept. Award Entry page and batch process for custom splits, sequence number
PLUS Loan Processing	Departmental Award Modification	Import approved loan files, create borrower and attach to student, award loan. *Modify Dept. Award Entry page and batch process for custom splits and sequence number

Release 2

Name of Business Process	Project Title	Project Description
Admissions		
Transfer Credit Processing	Overhaul Transfer Credit Processing	Consolidate various self-service mechanisms to view articulations and create IU enterprise Transfer Credit system to replace 4 systems in use today.
Maintain Transfer Credit Articulations	Transfer Credit Articulation Review/Approval System	Establish uniform method for review/creation of transfer credit articulations.
Maintain External Course Catalogs	Transfer Evaluation Service Integration	Connect with the State provided course catalog systems (TES) for automated loads
Post Decision Updates	SIS Self Service Update Form	Implement self-service update/cancel/intent to enroll admission form
Cancel Applications	SIS self-service cancel application	Implement self-service update/cancel/intent to enroll admission form
Record Intent to Enroll	SIS self-service Intent to Enroll application	Self-service response and enrollment deposit at enterprise level; retire departmental system
Load Test Score	AP Tests	Finalize AP Test Scores Automated Load across all campuses
Load Test Score	GMAT	Implement Automated GMAT test score downloads
Create School Organizations	Duplicate Organization	Establish a duplicate org process to address duplicates created within the system
High School Counselors (ext. org contacts)	Communication with Counselors (CRM)	Implement CRM for counselors
Student Records		
Batch Processing	Replace SR iOpus scripts with batch jobs	Replace SR iOpus scripts with either batch jobs or other tools for mass updates to individual SIS student records
Determine Academic Standing (Probation, Dismissal)	Batch Job for Academic Standing	Create a batch process that allows registrar offices and/or academic units to upload Academic Standing to SIS.
Determine Honors	Batch Job for Honors Designations	Create a batch process that allows registrar offices and/or academic units to upload Honors designations to students' records in SIS.
Transcript Production	Batch Job for Transcript Text	Develop batch process for uploading transcript text.
Transcript Production	Retrofit BREG Transcript Order System	Move transcript processing to a shared service for all transcript production, except for walk-ins who want to take their transcript with them. Retrofit the Bloomington Transcript Order System to accommodate all campus and move to a shared service.
Immunization	Immunization Retooling in JAVA	This application needs to be rewritten as enterprise system. While current process could benefit from real-time application interface connection to the SIS, it makes more sense to migrate from departmental to enterprise application.
Maintain Academic Enrollment (Drop w/ Penalty --> Fully Graded, Approval Required)	Enhance eDrop and eAdd workflow processing: efficiency needs	eDrop / eAdd: Enhance the workflow application to allow for non-standard drops, thus enabling automatic notifications to students.

Maintain Academic Enrollment (Drop w/ Penalty --> Fully Graded, Approval Required)	Fix, Enhance, Extend eDrop/eAdd	eDrop / eAdd: Extend the eDrop / eAdd workflow functionality beyond the Auto W period, so that grades of W or F can be assigned upon approval by the instructor.
Collect and Respond to Student Performance Indicators (SPF, Mid-Term)	Email Notifications	Student Performance Rosters: Develop automated email notifications to students with performance issues and faculty who have failed to comply with reporting deadlines.
Collect and Distribute Class Attendance Data	Email Notifications	Attendance Rosters: Develop automated email notifications to students who have attendance issues and faculty who have failed to comply with reporting deadlines.
Financial Aid		
Financial Aid Notification Generation	Auto Email Notifications	Automate email notification of awards and award changes
Item Type Management	Batch Process for Item Type Management	Create ED01 batch file drop process to create item types in SIS
Missing Information Letters (MIL)	Auto Email Notifications	Automate email notification
Student Financials		
Late Fees	Create real-time process for late fees	Same code as in BEX executable as real-time PeopleSoft "process"
Refunding	Run on the SIS batch schedule	Build control table to populate run control, schedule; modify error logic (minimally) & report output; ability to cancel nightly job
Security Administration		
Security- Policy Interpretation & Enforcement	Workflow e-doc- Student Data Requests	eDoc or workflow application that will enable request initiation for release of information or data usage requests, that incorporates routing for approval to the appropriate data stewards and then initiates a tracker request for fulfillment
Security-Policy Interpretation & Enforcement	Workflow e-doc- Inappropriate Release of Data-FERPA Breach Response	eDoc that will initiate an incident documenting the inappropriate release of information with routing to student data steward and appropriate campus authorities for action

Release 3

Name of Business Process	Project Title	Project Description
Admissions		
Receive/Process College Transcripts	Admissions Streamlining: Implement OCR templates for college transcripts	Implement Optical Character Recognition to read/import data from transcript to SIS, imaging and workflow, and xml import of PESC compliant transcripts.
Receive/Process High School Transcripts	Admissions Streamlining: Implement OCR templates for high school transcripts	Implement Optical Character Recognition to read/import data from transcript to SIS, imaging and workflow, and xml import of PESC compliant transcripts.
Athlete processing	Image athlete documentation	

Transfer Credit Processing	Implement Document Imaging for Transfer Credit	Implement Enterprise Document Imaging with OCR to allow broader access to automated transfer credit review, Credit Transfer Agreement via integrated form which feeds system.
Application Processing	Implement enterprise Onbase Imaging and Workflow on all campuses	Implement Enterprise Document Imaging and workflow on all campuses. Continue to expand the eApp customer base as needed.
SEVIS/International review	Integrate SUNAPSIS with OnBase	Integration between OnBase and SUNAPSIS while expanding use. (need more details)
SEVIS/International review	Integrate SEVIS/SUNAPSIS with SIS	Integration between SIS and SUNAPSIS while expanding use. (need more details)
Receive/Process Other/Miscellaneous materials	OnBase Implementation	Implement OnBase imaging for additional materials
Application Processing	Reporting	Develop supporting reports for -re-engineered process
Application Processing	Automate checklist assignment	Implement the SIS tool 3C Engine to facilitate automatic checklist assignments as the application is established in the SIS. 3C Checklist Assigned as App Posts in SIS (defined by Institution, Career, App Center, Admit Type variation). Allow the automated process to update between OnBase and SIS
Transfer Credit Processing	Develop Transfer Credit Agreement E-Doc	Develop credit transfer agreement E-Doc; cross-module
Scholarship processing	Implement Document Imaging for COMPASS application	Implement Enterprise Document Imaging, Broaden customer base for COMPASS. Swap out "imaging" in SIS for Onbase imaging. Assumption - admissions imaging well underway so compass can leverage earlier decisions
Receive/Process Other/Miscellaneous materials	Deploy supplemental material collection in eApp	Expand eApp to allow collection of supplemental materials (essays, personal statements).; retire departmental system
Application Processing	Simplify application data entry process	Build basic data entry screens for speedy input
Application Processing	Enterprise Evaluation System	Create single enterprise admissions decision process (3 systems in place today).
Student Records		
Schedule of Classes Build	Enhance and Extend eSchedule Build	Leverage the existing eSOC Build workflow application by 1) rolling out to every campus and 2) extending the number of fields that can be updated by the academic units.
Schedule of Classes Build	SIS SOC Views and Security	Extend direct access to the SIS SOC to the departmental scheduling officers by utilizing delivered scheduling controls and row level security, or by building new SOC update pages in SIS.
Schedule of Classes Build	Implement Schedule Builder application and E-Doc	Extend Bloomington's Schedule Builder application to all campuses.
Schedule of Classes Build	SIS SOC Enhancements / Modifications	Develop built-in audits that do not allow data mismatches
Schedule of Classes Build	SIS SOC Enhancements / Modifications	Set up SOC triggers on certain fields that prompt updates to other SOC data, i.e. Notes

Schedule of Classes Build	SOC Distribution to Schools	Consider cloning other institution's schedule build application and modify it to work for IU.
Schedule of Classes Build	SIS SOC Enhancements / Modifications	Develop batch or copy processes for adding Course Attributes, Notes, etc.
Room Scheduling and Maintain Schedule of Classes	Ad Astra	Consider cloning other institution's schedule build application which also facilitates updates to room assignments.
Room Scheduling and Maintain Schedule of Classes	AD Astra or other ERP Room Scheduling System	Develop improved method of requesting and assigning one-time classes and events, providing availability date to requestor up front before submitting a request.
Room Scheduling and Maintain Schedule of Classes	AD Astra or other ERP Room Scheduling System	Expand academic unit access to electronic means of delivering updates, additions, and deletions to room assignments beyond what is offered by the initial Schedule Build enhancement.
Room Scheduling and Maintain Schedule of Classes	Update Single Class E-Doc	Make Ad Astra a true enterprise system by distributing access to the academic units. At a minimum create views of classroom availability which would result in greater efficiencies and may improve classroom utilization.
Room Scheduling and Maintain Schedule of Classes	Request One-time Event Room Assignment E-Doc	Replace Ad Astra with a fully functioning and scalable room scheduling system.
Evaluate and Record Transfer, Test, & Other Credit	eSpecial Credit Enhancements (HM)	Develop eSpecial Credit workflow application which assesses the appropriate fees and updates SIS upon approval.
Maintain Academic Enrollment (Drop w/ Penalty --> Fully Graded, Approval Required)	SIS Administrative Withdrawals	Administrative Withdrawals: Develop batch process for Administrative Withdrawals based on data reported via the Student Performance Rosters. Could also be developed in conjunction with a utility for administrative registrations (see 2d).
Registration Operations (Pre-Registration --> Drop Retain (end of 1st week)	SIS Administrative Registrations	Administrative Registrations (ACP, DCP, ICN, etc.): Registration adjustments have to be done manually by registrar staff. These requests come from students, staff, and advisors. Develop a workflow application that routes the request to the Office of the Registrar where it is reviewed, approved, and saved to SIS. This same utility could also be used for administrative withdrawals (2e).
Historical Records Management	Develop Records Maintenance Workflow Application	Develop a workflow application that replaces numerous manual updates to both current and historical records. Along with processes in 2d and 2e, there is a need to be able to route record adds/updates/deletes from students or staff in the academic units to the Office of the Registrar for review, validation, and updating in SIS (heavy metal). Processes besides administrative enrollments and administrative withdrawals, include bankruptcy/forgiveness, extended x grade replacements, pass/no pass grading basis, etc.

Registration Operations (Pre-Registration --> Drop Retain (end of 1st week)	SIS Administrative Registrations	Administrative Registrations (ACP, DCP, ICN, etc.): All campuses have special populations of students who do not register themselves using SIS Self-Service, so these students have to be manually registered by administrative staff in the Registrar's Office. If access to enroll in specific classes could be restricted to only those classes for which that student is eligible, then more students could use SIS Self-Service to register themselves, thereby reducing the number of manual administrative registrations performed by registrar staff. Another option is to build a utility which allows batch processing of administrative registrations. For other needs, a utility needs to be developed to allow batch processing of administrative registrations.
Bio-Demographic Updating (e.g., Names, etc.)	Image bio-demo data & forms	Bio-Demo updates that are done by all module areas could become a shared service, if an online collection/authorization process was developed where students could attach source documents that could then be run through workflow, integration with SIS and document imaging.
Review and Determine Residence Classifications	Develop online Residency Application	Develop an online application for residence classification allowing submission of source documents.
Review and Determine Residence Classifications	Image Residency Documents - Onbase and SIS Integration	Develop workflow and imaging capabilities within SIS, so that applications can be moved across campuses, along with supplemental application materials.
Develop and Publish Academic and Enrollment Information Bulletin (s)	Develop Documentation Repository	Develop a web content management system like WCMS for the development of a master IU Registration Guide with campus-specific branding and content
Annual Notifications	Annual Notifications and Web Content Management	All campuses have the same compliance requirements to annually notify students of certain types of information. A web content management system, like WCMS, could be used to collect, edits, and publish this information for all campuses.
Program/Plan Updating	Program Plan Workflow Application	Develop a workflow application that can be initiated by either students, advisors, or staff in academic units that routes to appropriate areas for automated Program Plan Stack updating
Degree Processing	Develop Online Application for Graduation	Develop configurable online Application for Graduation that is deployed in SIS Self-Service
Program/Plan Updating	Program Plan Workflow Application	Develop a specialized workflow application specifically for Returning and Intercampus Transfer students.
Program/Plan Updating	Modify WADM/NOSH and DISC/YOUT	Modify the batch job (WADM/NOSH and DISC/YOUT), so that more records are appropriately updated; consider creating new batch jobs to capture more populations that need updating

Block Enrollment Processing	Develop Complex Co-requisite Functionality	Develop Complex Co-requisite functionality in SIS, so that Block Enrollment processing using pseudo courses is no longer needed as a workaround. Note: Block-busting could be a shared service but would have to be staffed at peak levels, because these processes are run at approximately the same time for all campuses. Investigate PS delivered "paired classes" to address this issue.
Review and Determine Residence Classifications	Residence Auditing	Develop audits that can be run for all campuses as a shared service.
Citizenship Verification	Citizenship Verification Workflow	Create workflow application that routes to Financial Aid and Bursar when residence classification is changed in SIS.
Citizenship Verification	Citizenship Verification Notifications	Change notifications that are currently configured with SIS to be integrated with CRM.
Document Management Imaging, Filing, and Archiving	Student Records Document Imaging	Migrate high volume processes to electronic documents/forms to eliminate paper processes while maintaining archival data. Develop University-wide standards for indexing common documents and materials across campuses
Reporting	Business Intelligence and Analytics	Implementation of Business Intelligence/Analytics tool that allows each academic unit to select any number of variables of interest at the time. While generalization and overview is important, so is ability to "hunt and pick" specific variables for each current "ad hoc" need.
Security Administration		
Security Access Assignment	eDoc for Kuali Workgroup access for eGrade Change, Drop/Add, eApp	eDoc that will provide access approval routing from campus departments to campus enrollment units, to Kuali administrator to input.
Security-Access Assignment	Deprovisioning	Automated removal of access upon termination. Removal and documentation system that notifies all data managers/access owners of removal of access upon termination. Access removed will be captured and saved in the user's access history and accessible by data managers
Security Access Assignment	Transfer Department e-Doc	eDoc to handle access review and assignment when an employee transfers positions
Security Access Assignment	User History Training and Compliance Tracking Tool	Ability to track training completions for the access assigned and a tool that interfaces with the provisioning system selected. (Some of this may be available in e-train)

Security Access Assignment	Onboarding Access Assignment-part of Role based access effort	eDoc with functionality to route requests to departments and university data managers based on predecessor or role selection upon hire.

Appendix C

Student Services Initiative and Document Management/Imaging

In support of SSI, electronic document management/imaging has been identified as a means to provide cost-efficient, quick and reliable access to imaged documents across all student service modules. The vision to achieve these efficiencies is to deploy a set of standard document management processes to support the emerging SSI "to be" business processes within and across each student service module. The emerging SSI document management/imaging plan is to initially focus on deploying an enterprise imaging solution to streamline the Admissions processes and expand to all student service modules.

High Level Objectives/Areas of Interest

- Transition the use of Onbase and related support structures from the current independent campus/module deployment model to a more robust enterprise approach
- Achieve a higher degree of sharing documents across campuses and modules by implementing common standards, security and classification schemes, naming conventions
- Improve/streamline the integration and data exchanges between Onbase and the SIS, including;
    - Appropriately leveraging real time data exchanges (incoming and outgoing) between SIS/Onbase to support Onbase auto fills, SIS data updates, etc.
    - Leverage Onbase document viewing capabilities via SIS (PeopleSoft) pages, i.e., the "button"
- Pursue expanded use of OCR to support auto indexing of scanned documents, i.e., standard high-volume high school and college transcripts, etc.
- Enable viewing of electronic/imaged documents
- Strategies for achieving purge and archive processes

Appendix D

This appendix presents the summary reports by the module teams. Some of the recommendations have been modified in the final implementation plan.

Financial Aid Phase III Recommendations

Financial Aid Processing Overview

The largest financial aid processes tend to be back-office processes, and most of what happens to the typical full-time student's application is completely automated. If a student does not have problems or questions and is given clear directions to follow, he will probably never need to talk to a staff member or have anything in his financial aid record handled manually. This is the case with approximately 85% of the student population.

Most of our time is spent with the exceptions. This work tends to be very hands-on, student-facing, low-volume, time-sensitive and wide-ranging in variety due to the complexity of the regulatory environment.

Transitions without Staff Changes

Portions of the following process have been performed in a Shared environment for the five regional campuses for several years. Discussions are under way with IUPUI and IU Bloomington regarding a transition of these processes from the campus to USSS for 2013-14, in advance of staff moves. These services have been offered and discussions had been under way for several years with no movement, prior to the SSI Project.

- **Satisfactory Academic Progress Evaluation** (subset of FA-42, SAP Setup and Evaluation process) – Weekly identification and SIS coding of students who are not meeting SAP guidelines.

- **Loan Audit Dashboard** (subset of Stafford, PLUS and Alternative Loan Processing work FA-45, 33 and 01) – Daily process of identifying and resolving problem loans.

- **Mass Packaging** (FA-24) - Significant transition work will be needed to streamline packaging processes for these campuses during the 13-14 cycle to optimize efficiency and USSS currently has the expertise for that work. USSS will require additional staff to support the front end planning and set up by the time we're planning for 14-15 in January 2014, when the more complicated set up work is added to the existing work associated with providing this service to the five regional campuses.

High Priority Transitions Requiring Additional Staff in USSS

These transitions are in priority order, but priorities are not all based on the same decision criteria.

R2T4 and Unofficial Withdrawals (FA-37) - The processes required for the institution to calculate and return unearned financial aid funds to the federal programs when the student is no longer attending or unofficially withdrew.

This process has no room for improvement but shifting the work to a person who does it full time will increase efficiency and accuracy. This is a high-risk process which continues to be a verbal finding in the state's annual audit. It should be transitioned in a non-peak time, as soon as possible, by hiring one staff person. It will be best to advertise for this position, as most people loathe this tedious yet critical work. More than one person will be needed to keep up with the volume beginning with the start of Fall 2013. This second person can be cross-trained to manage other tasks during non-peak periods.

Loans - Alternative Loans, PLUS Loan Processing and Stafford Loan Processing including Loan Proration (includes FA-02, FA-33, FA-45 and FA-23)
These should be transitioned one at a time after all required staff have been moved or hired for all loan processes. This team will have deep knowledge and can manage and learn from each transition. Efficient execution of these tasks is critical for maintaining a high level of customer service. Ideally these transitions will occur in time for the mid-summer to early fall peak processing period, to maximize the benefit for the campuses.

Pell Grant Processing (FA-32)
Tasks and audits associated with managing the Federal Pell Grant program, including awarding, monitoring eligibility and reconciliation with the Department of Education.

A significant part of this process is currently run in batch several times each term for all campuses except Bloomington. Transitioning daily monitoring for all campuses to USSS would enable more award adjustments via batch jobs, leading to more timely information for students changing their enrollment. Many reports and audits have always been run at the campus level. Centralizing these will improve efficiency by concentrating the volume.

ISIR Processing (FA-19)
This set of processes includes:

- Receipt of ISIR data to staging tables
- Delivered batch processes that determine whether or not the data is loaded to a student record based on institutional preferences (loads or suspends)
- ISIR Initial Edits updates to student records for loaded ISIRs (omitted from Phase 1)
- Evaluation of suspended records to attempt to match to student IDs and load
- Review of subsequent loaded and suspended ISIRs to address any data discrepancies

Centralizing this process will improve compliance on the regional campuses. The process review indicates several improvements can be made to current reports.

Lower Priority Processes - Can Be Transitioned Easily with Staff

- **Over-awards** (FA-29)
- **Packaging Audits** (MTY, Multi-campus, Perkins, etc.) (FA-31)
- **Repeat Coursework Monitoring** (FA-38)
- **CVO** (FA-05)

Processes Transitioned to 'Shared' over the course of this project:

These processes will require documentation and some agreement of terms and responsibilities as each one comes up in the next award year's cycle.

Cancellation of Aid – Overview of the process that is followed to cancel aid for students who do not enroll or awards not claimed/disbursed.

- This is a process many campuses never find the time to do, yet due to the multi-campus SIS environment, it is critical. Failure to cancel unclaimed aid results in inaccurate awards in future terms, and at different campuses.

Establish Cost of Attendance for Academic Year – Research and establish Cost of Attendance figures for determining aid eligibility for the new award year (in collaboration with the campuses-final approval of the Cost of Attendance figures rests with the campus), set up SIS budget formulas, test accuracy of what was built, set up SIS run controls and audit for budgeting errors.

- This process has been discussed at length by the FA Council, and a single approach has been agreed upon for 2013-14. A plan is in place for execution: the director at Southeast (who spearheaded the reform effort) will lead and train USSS staff in the research to set costs. USSS staff will execute SIS set up for all campuses and finalize documentation.

Establish Cost of Attendance for summer – Establish Cost of Attendance figures for determining aid eligibility for the summer term, derived using the data elements used in the preceding Academic Year.

- The process for the regional campuses used in SU 2012 will be followed in 2013. IUPUI and IUB will be a part of this process beginning with SU 2014 when figures will be based on 2013-14 AY numbers.

Loan Entrance and Exit Counseling – The Department of Education requires each institution to counsel borrowers before they take out their first Stafford loan, and again upon graduation or entering repayment. Indiana University has automated these processes and utilizes web-based

counseling tools designed by DOE along with compliance tracking indicators in the SIS. IUPUI and IUB transitioned to this process in Fall 2012.

- Continuation of this work will be assisted by enhancing the set up process with rollover scripts.

SIS Development Needs

Although this is not an exhaustive list, sharing the following processes will net little benefit without SIS development:

- **Disbursement Override Management** (FA-08) –Specs have been submitted
- **Financial Aid Notifications and Missing Information Letters** (FA15 and FA-25) – Need specs

Local Processes Needing Follow-up

Several local processes will benefit from further discussion to identify best practices. For some, a single solution may be constructed. These processes include but are not limited to:

- SAP Appeals
- Federal Work-Study Administration
- Scholarship Processes