Cal Poly Pomona
Division of Student Affairs

Enrollment Technology
Department Review

10/6/2009

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SOLUTIONS

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Section 1. Executive Summary

Cal Poly Pomona Department of Enrollment Technology (ET) is a unique department that supports many critical enrollment-related business processes within the Division of Student Affairs including Admissions, Enrollment Planning and Services, Financial Aid, Orientation Services and Registrars. The ET staff is comprised of two general groups: professionals that understand the issues of their servicing departments and bring innovative technology solutions to enhance the usability and value of technology to the users; and, staff who image and oversee the data capture of pertinent documents related to the servicing departments.

The ET Department initiated this program review as part of the Division's ongoing efforts to promote continual improvements and the recent Western Association of Schools and Colleges (WASC) Interim Report-052709 stating the university must "promote a culture of evidence by reviewing and reporting on a program's assessment efforts."

Cal Poly Pomona is developing a Strategic Plan to position the campus to have greater statewide reach. Moving in this direction will require more support services from various departments, including ET.

Support for ET's Strategic Plan will require a clear understanding of the current operating state of the Department in order to identify improvement opportunities to accomplish the goals of the Strategic Plan. Assessing these areas for improvement will position ET to leverage current knowledge and resources critical to support other key strategic goals for the university. In support of Cal Poly Pomona's Program Review process, ET engaged a vendor to conduct a high-level assessment for four focus areas of the ET Department:

1. Program – department's mission, programs and services, and performance in areas of diversity, equity and access

2. Organizational Structure – leadership of management, organizational and reporting structure, and human resource areas

3. Resources – financial management, facilities, technology, and equipment

4. Assessment – level of culture of evidence, compliance to legal and ethical standards

This Enrollment Technology Department Review assesses the above four focus areas and provides observations for improvement. This document also contains a list of prioritized improvement opportunities and guidance on how to implement them through managed change and communications.

The Division of Student Affairs executives and staff, and customers outside the Division of Student Affairs, identified many of the current issues and provided input for the improvement recommendations.

Enrollment Technology (ET) Program Assessment

It is critical that ET's mission is well understood and agreed upon by the executives, managers, staff, and stakeholders. For ET to be successful, it must have a shared purpose, shared expected results, and division-wide support. The ET mission currently aligns with the Division of Student Affairs mission, but ET may need to modify the mission to encompass new services or responsibilities following this assessment.

Enrollment Technology Mission

Enrollment Technology (ET) provides systems analysis, programming, reporting, imaging related services, and technical support to the Enrollment Cluster and the University community. In doing so, ET strives to deliver the highest quality service in support of a learning-centered community, providing new or improved functionality, troubleshooting, training, testing, enrollment system security and coordination of resources to assure timely completion of enrollment-related projects. Through interconnectedness with our clients, it is our passion to implement our vision of "Technology @ Ease" through our diversity in both culture and areas of expertise.

ET has an opportunity to advance the services and programs within the Enrollment Cluster through new and enhanced technologies, including CCCTrans, Hobsons communication, and additional PeopleSoft applications. While pockets of activities may exist in various business units, within Student Affairs Information and Technology Services (SAITS) or Instructional and Information Technology (I&IT), ET provides project management and strategic planning support in addition to its core service areas:

- PeopleSoft modules directly supporting the Enrollment Cluster departments
- Data Warehouse reports
- Enrollment Cluster IT, excluding hardware and security
- Imaging
- PhotoID
- Data exchange, business transactions and reporting with several critical external databases

ET could standardize these services and better serve the Division and Enrollment Cluster departments through Project Management Office (PMO) functions.

ET Organizational Assessment

The most common statements heard during the ET Department Review related to the lack of clarity in roles and responsibilities between ET, SAIT and I&IT. While ET may have a clear understanding of its role and responsibilities,

customers were unclear which IT service provider to contact for their variety of IT issues and requests.

ET, SAITS and I&IT have clarified roles and responsibilities related to PeopleSoft tasks, data warehouse tasks, and hardware and desktop support. This is in part due to the nature and breadth of the applications and services and the fact that responsibility for these university-wide applications cross divisions rather than being assigned within a specific department. As a result, these IT stakeholders have a history of recognizing issues and addressing them. However, this understanding needs continual communications to help customers with the newly defined and maturing roles and responsibilities of Enrollment Technology.

ET staff is currently located within the respective departments they serve. This structure supports the ET staff understanding the business area and responding quickly to requests. As beneficial as this structure is to the servicing departments, this decentralized approach has other challenges such as cross training, workload balancing, cross-coverage and staff confusion as to whom they report to and how to prioritize work.

ET Resource Assessment

ET financial management follows the standard university budgeting and cost tracking processes. In spite of the budgetary situation, ET has sufficient budget to manage its operations. Budget allowance does not include forecasting for new technologies, staff development, or routine replacement of imaging hardware. Although ET does not account for these funds in its budget, the Division has a general pool of funds that it can use for divisional priorities, which may include those budgetary needs not covered with current operational allocations in the departments.

Similar to all public organizations during the budget crisis, ET faces the same staffing shortages, especially in the Imaging area where shortfalls and seasonal application and transcript submittals result in delays in imaging non-critical historical files that date back to the beginning of the university . ET redirects staff to the most pressing tasks and generally meets processing time targets for priority documents.

The primary technology resource issue is aging scanning equipment.

Culture of Evidence

It is important to establish performance measures for ET to monitor achievement and progress, and to help keep the department focused on achieving the appropriate results.

As noted earlier, the current WASC review highlighted the lack of a strategic plan driving university decisions. The university responded that its administrative plans drove decision-making and performance monitoring for both the university and staff. The ET Director has been actively involved in the strategic planning process and has proactively developed an Enrollment Technology Master Plan based on a survey of Enrollment Cluster managers and ET staff. ET has also developed a strategic plan database to track and monitor the strategic plan and has provided this database to interested divisions and departments throughout the campus.

In addition to the PMO functions mentioned earlier, ET could also provide consistent documentation of business processes and protocols for all the departments within the Enrollment Cluster. This provides much value to the departments by providing them a service currently unavailable.

Improvement Opportunities

The review team identified issues and improvement opportunities for each of the four review areas: program, organization, resource, and assessment. The improvement opportunities range from near term solutions to more complex, longer-term improvement efforts. All improvement opportunities should follow best practices related to change management and communications. Should the Student Affairs executives support ET taking on PMO functions, this step would formalize ETs role as a change manager and being responsible for key, formal communications.

Getting Started – The First 120 Days
ET's first 120-days are critical – they begin addressing areas identified through the ET Department Review and set the foundation for the future improvement efforts. The first 120-days should build momentum, as well as organize and propel the ET staff. The first period should clearly demonstrate ET's commitment to improvement and provide tangible results to the customers of ET (i.e., employees, departments, and divisions).

Setting a Foundation for Future Success – Post 120 Days
After the first 120 days, ET will set the foundation for future success. ET improvement efforts should focus on continued clarification of IT roles and responsibilities within Student Affairs, initiatives (projects), and improved business processes and the supporting technology. However, action on these activities does not have to wait; in fact, the first 120-days should include the creation of initial plans to guide communication, change, and new PMO service offerings.

ET stakeholders will judge ET's success on many fronts. Student Affairs executives and staff will focus on the results that ET has had on Enrollment Cluster departments and functions, and successful PeopleSoft updates and services. ET employees may likely focus on the training they have received and their own career progression. Enrollment Cluster managers and supervisors will focus on ET's "customer responsiveness" and whether ET was helpful to them, or whether it simply was another oversight function. To that point, ET stakeholders will judge ET's performance by many different criteria.

ET is a relatively new organization, but has shown great progress and potential over the short few months since forming in September 2008. ET is in a pivotal position to support the Division of Student Affairs and the Enrollment Cluster department's move towards a value-added organization linking strategy to effective tactical operations.

Section 2.   Background

Cal Poly Pomona Department of Enrollment Technology (ET) is a unique department that supports many critical business processes such as Admissions, Enrollment Planning and Management, Financial Aid, Orientation Services and Registrars. The ET staff is comprised of professionals who understand the issues of their servicing departments and bring innovative technology solutions to enhance the usability and value of technology to users.

As a relatively new organization within the Division of Student Affairs, the ET department initiated a departmental assessment as part of the Division's efforts of continual improvement and the broader university response to the current Western Association of Schools and Colleges (WASC) accreditation review. While the WASC review is not complete, preliminary analysis noted there is a "serious disadvantage created by absence of University Strategic Plan." The WASC review also noted the following needs:

- Develop academic plan and strategic plan as soon as possible
- Resolve tension between centralized and decentralized decision-making
- Reach consensus on roles in shared governance

Furthermore, the WASC review noted that assessment progress is uneven across campus and some programs will likely complete the assessment process by 2010. The ET Department is one of the first of four Student Affairs Divisional Departments assessed as part of the Division's program review strategy.

The university also followed the recommendation to establish a strategic planning process by June 2009 that includes a clear understanding of Senate and Administration roles in the strategic planning process. The university responded that in the absence of a strategic plan, University Committees prioritize initiatives and resources in line with the campus vision and these planning processes inform decision-making. The university also stated that the Academic Plan would be central to the university Strategic Plan. We highlight this background as evidence that the University and the Division of Student Affairs are accustomed to planning, determining priorities, and developing plans that can be implemented and monitored. The university also stated the commitment to increase reflection of department efforts and share best practices. The opportunity lays in institutionalizing these processes.

The ET Department Review also takes into account the current budget crisis. During difficult fiscal periods, organizations must review their mission, services, available resources, and likely funding and/or staff reductions, and determine how to operate more efficiently. Per the WASC Interim Report-052709, the university noted that the outlook for the California economy is negative growth in 2009, weak growth in 2010, and possible improvement by 2011. The economic climate is creating issues with enrollment, instruction, personnel and support.

The greater Cal Poly Pomona is undergoing development of a Strategic Plan to position the campus to have more statewide reach. Moving in this direction will require more support services from various departments, including ET, to leverage their existing technologies and methodologies, particularly with limited resources provided to implement their Strategic Plan. The budget reductions by the State has negatively impacted these efforts in that Cal Poly Pomona has had to reduce the number of new enrollments and the overall number of students admitted.

2.1 Purpose of the Enrollment Technology Department Review

The purpose of this ET Department Review is to assess current and planned practices, initiatives and objectives. This assessment will identify issues and challenges, improvement observations, and a high-level approach for implementing improvements. The assessment will also consider the following:

- Use of technology for the Enrollment Cluster within the Division of Student Affairs to
  - Increase effective and efficient enrollment services; and,
  - Process applicants and students
- Enhance the design of projects, reporting, and delivering services using technology solutions that increase accuracy and minimize manual intervention
- Develop tools and standards that raise the "technology knowledge" bar
- Develop ways to enhance business processes and deliver higher service levels through leveraging PeopleSoft and Singularity and other technologies
- Develop and build the identity and brand of Enrollment Technology and its staff

Support for ET's Strategic Plan will require a clear understanding of the current operating state of the department to determine areas of improvement and accomplish the goals of the Strategic Plan. Assessing these processes for improvement will position ET to leverage current knowledge and resources critical to support other key strategic goals for the university. The Enrollment Technology Department Review identified four focus areas: program, organizational structure, resources, and assessment. The Division of Student Affairs Program Review Outline was abbreviated into the four focus areas in the interest of time and resources to complete this review, however, touches on each of the areas in the Review Outline. Included with the observations, this assessment also will provide high-level recommendations for improvement. .

2.2 Methodology/Approach

The ET Director initiated the department review by identifying over 30 areas related to the ET program, organizational structure, resources, and approach to ongoing program assessment (performance monitoring and evaluation). The ET Director engaged a vendor to conduct the assessment. Both parties considered the time and resource constraints and determined the ET Department Review should encompass the following four prioritized focus areas as defined below:

- *Program Assessment –* Describes the overall purpose and ET mission and considers how the current scope of ET services and organizational structure aligns with the improvement recommendations. This section also describes the services, solutions, and strategies that ET currently offers and may offer in the future. This section includes a high-level view of the services provided by ET.

- *Organizational Assessment –* Outlines the current and proposed relationship between ET and other Division of Student Affairs Departments. This ET Department Review includes a graphical depiction of the current organizational structure. Improvement opportunities such as new services and how they could be delivered through the current structure or future structures are provided in the final section.

- *Resource Assessment –* Outlines financial management, facilities, technology used, and equipment.

- ***Assessment / Performance Measures –*** Discusses the current culture of evidence as related to strategic planning and performance monitoring and evaluation.

The ET Department Review was an iterative process that included interviews with executives, managers, staff and stakeholders. The ET department also sponsored work sessions with Enrollment Cluster managers and a separate work session with ET staff. Both work sessions focused on identifying issues and challenges, prioritizing them, and developing solutions to address high priority issues. Table 1 provides a list of interviewees and work sessions.

Table 1: Interview and Work Session Summary

Date	Interviewee	Position
7/7/09	Dr. Doug Freer	Vice President for Student Affairs
	Rod Short	Enrollment Technology Director
7/8/09	Rod Short	Enrollment Technology Director
7/8/09	Enrollment Cluster Management	Registrar, Directors, Coordinator
7/9/09	Dr. Doug Freer	Vice President for Student Affairs
	Kathy Street	Associate Vice President for Enrollment Services
7/9/09	Delia Leon	Lead Evaluator
	Dolores Luna	Records Specialist
7/14/09	Dr. Kevin Colaner	Associate Vice President for Student Services
7/14/09	Kathy Street	Associate Vice President for Enrollment Services
7/14/09	Alma Pasos	Coordinator for Undergraduate Admissions
	Pachune Herrod	Coordinator for Document Processing Services
7/14/09	Diane Carter	Data Warehouse Administrator
7/14/09	Mauricio Calderon	Director for I&IT Applications
7/15/09	Enrollment Technology Staff	Programmer/Analysts, IT Consultants, Imaging Assistants and Administrative Testing Coordinator
7/15/09	Kevin Morningstar	Executive Director SA Information Technical Services

The work sessions included a cross-section of employees in an attempt to include representatives from various employee levels, divisions, and locations. During the sessions, staff discussed the purpose of ET, key enrollment technology issues/needs, potential resolutions, and potential priorities. The review team also reviewed existing documentation that included policy, business process and procedures, organizational charts, duty statements, and budget worksheets. Before developing the final observations, the review team considered best practices from other technology organizations, universities, California state agencies that have technology/project management offices and higher education IT organizations in other states.

Section 3.   Program Assessment

The ET Department Review encompassed the ET mission and its relation to the following: departments and functions within the Enrollment Cluster, the Division of Student Affairs, and Cal Poly Pomona's overall mission. The primary focus of the program review was the services ET currently provides, the quality of the services, and the responsiveness customers perceive. While the department review should also consider "diversity, equity, and access," these objectives primarily belong to ET's customers. This Program Assessment section includes observations and improvement recommendations related to the ET mission and service offerings.

3.1   Mission

It is critical that ET's mission is well understood and agreed upon by the executives, managers, staff, and stakeholders. For ET to be successful, it must have a shared purpose supported by the entire division. If the mission is not embraced fully, or if certain stakeholders disagree with ET's purpose, ET could get distracted from its goal of "Technology @ Ease."

Given that, ET's mission is more than just a simple statement or paragraph. The mission statement encapsulates many great ideas, powerful words, and inspiring discussions of the office's future customers. The mission also represents much of what ET holds as a core value. To fulfill the mission, it is important to understand the spirit and meaning behind the statement.

Work session participants generally responded positively to the ET mission. However, a key theme throughout the ET Department Review is the confusion of IT roles and responsibilities between Enrollment Technology, Student Affairs Information and Technology Services (SAITS), and Instructional and Information Technology (I&IT). Student Affairs executives also shared the following vision:

> ***Student Affairs Mission***
> *The Division of Student Affairs creates environments of student success, respect, and engagement that facilitate learning and growth within a culture of collaboration, assessment, and innovation.*
>
> ***Enrollment Technology Mission***
> *Enrollment Technology (ET) provides systems analysis, programming, reporting, imaging related services, and technical support to the Enrollment Cluster and the University community. In doing so, ET strives to deliver the highest quality service in support of a learning-centered community, providing new or improved functionality, troubleshooting, training, testing, enrollment system security and coordination of resources to assure timely completion of enrollment-related projects. Through interconnectedness with our clients, it is our passion to implement our vision of "Technology @ Ease" through our diversity in both culture and areas of expertise.*

- ET provides clarity of functions, roles and responsibilities
- ET's organizational structure supports functions, roles and responsibilities
- ET primarily supports PeopleSoft functions required by the Enrollment Cluster departments within the Division of Student Affairs
- ET defines requirements and manages development activities for 3rd party software as it relates to enrollment activities
- ET staff have required skills to be more efficiently utilized through cross training
- Information Technology roles and responsibilities are clearly communicated; Division of Student Affairs staff understand when and how to contact ET, SAITS and I&IT

Confusion exists in the roles and responsibilities between SAITS and ET within the Division and Enrollment Cluster. Additionally, the transition of responsibilities over recent months between ET and I&IT has also given rise to confusion. Expectations and role definition need continual review and discussion for clarity. With some overlap in various areas such as reporting having university-wide implications, it is critical to have mutual understanding amongst these three organizations around roles and responsibilities of each and how they work together to meet the needs of their customers. Given more time to evolve, ET should revisit its mission to determine if the roles and responsibilities make sense in the larger picture of the Division's technological needs.

3.2 Program Services – Observations and Feedback

The Division of Student Affairs established the Enrollment Technology Department in 2008 in order to serve the Enrollment Cluster Departments: Registrar, Financial Aid and Scholarships, Orientation Services, Enrollment Services, Admissions and Outreach. The department provides support for PeopleSoft configuration and standard upgrades per a statewide schedule set by the California State University (CSU) Common Management Systems (CMS). The department also provides support for business transactions, reporting and services with several external databases, including CSU Mentor, the Department of Education Federal Aid Application and Annual Report, FAFSA Financial Aid Applications, student loan lenders, National Clearinghouse, and the Cal Grant Program. During this first year, ET has steadily improved its service offerings, developed and deployed a service request application, Enroll-IT, and provided additional IT support for non-PeopleSoft applications.

The ET Departmental Review was devoted to the analysis of existing documentation (e.g., business processes, strategic documents, financial information, duty statements) and gathering input from ET management and staff, ET customers within the enrollment cluster, and ET IT partners (I&IT and SAITS).

The review team made the following observations in regards to customer and staff feedback gathered through interviews and work sessions:

Program Services – Key Observations
Key Observations and Feedback from ET Customers and Staff:

1. *Enrollment Cluster customers are generally pleased with ET services and like having ET staff co-located with their functional staff.*

2. *The Enroll-IT service request process works, but there is room for improvement.*

3. *Customers believe recurring PeopleSoft activities are well defined and generally run smoothly.*

4. *Reporting processes are currently adequate, but designating ET functional/ data owners could improve the process.*

5. *Imaging processes and equipment offer room for the greatest improvement and post the greatest risk in that key data is only available in hard copy and is not backed up.*

6. *Customers would like ET to be experts and guide their customers to improved processes by implementing functionality readily available within PeopleSoft (e.g., workflow).*

7. *Customers and staff noted that roles and responsibilities between ET, SAITS and I&IT are not clear [see Section 4 Organizational Assessment for additional detail].*

1. **Enrollment Cluster customers are generally pleased with ET services and like having ET staff co-located with their functional staff.**
   The ET assessment team gathered input from both the customer perspective and the ET staff perspective. ET customers are comprised of Enrollment Cluster managers and their staff. Customers submit request for enhancements, updates, and system issues through the Enroll-IT system. Some ET customers felt there were insufficient ET resources to address their needs and at times were unsure as to the status of their request. Several managers felt there was no clear process whereby they understood the priority or relative priority of their request. Given certain enrollment IT processes being relatively

new and enrollment cluster managers have been accustomed to giving verbal direction, many felt that the new process was time-consuming and inefficient. Some enrollment cluster managers felt that there was too much red tape and it was time-consuming and inefficient to 1) open a service request ticket, 2) have that request assigned to ET staff working in their area, and then 3) to have the work completed. The managers were more accustomed to approaching the ET staff and making the request in person. During a work session some Enrollment Cluster managers stated that they were 80% satisfied with the service provided by ET and 20% saw many improvement opportunities.

Although the staff is generally content with being co-located within their functional areas, we question the real value to the ET staff over the long period. The trend of technology staff being located with their areas of functional responsibilities often proves to be less useful than beneficial to the technical staff. With the rapid advancement of technology, technical staff should be located with their technical colleagues. This close proximity cultivates teamwork, cross training, collaboration, and communication and thus helps to increase the knowledge sharing and knowledge base of the overall technical team. In addition, since ET is a new department, it is critical to locate the staff centrally in order to develop a sense of team and to transform the problem-solving approach from being reactive to strategic. It also helps to provide clarity to the staff with regard to reporting lines and their mission.

2. **The Enroll-IT service request process works, but there is room for improvement.**
   ET staff felt that Enrollment Custer managers and staff did not use the Enroll-IT application properly and also acknowledged that the system could be made more user-friendly. The ET staff also noted that Enroll-IT generates email notifications to send alerts or updates on the status to the owner of the ticket. However, frequently, the issue owner has delegated the responsibility of creating the ticket to an ET staff member. In such cases, the ticket owner, not the issue owner, is receiving the update. ET should potentially research the technology so that email notification alerts are sent to all individuals identified on the ticket, but in the meantime, ET staff should begin to forward alerts to the issue owner to increase communication. ET staff also noted that Enrollment Cluster managers frequently complained of the need to log on and monitor the status of the request. These comments are not surprising given the relative newness of the ET department. We understand training for Enroll-IT was provided initially upon implementation, but it may help to review the training to remind users of how to best optimize this technology and make it work to their advantage. Consider tailoring the training to the needs of each functional area.

   Enrollment Cluster managers are accustomed to making informal, undocumented requests to staff located in their functional area and do not see the benefit of standardized processes that require a clear statement of the problem and need. The Enrollment Cluster Departments must remember that the ET staff and department are not a Help Desk for enrollment technical services. Rather, ET is a department that provides value by bringing technologically innovative ideas to improve their processes and business. In order to accomplish its mission and goals, ET needs to be strategic and not reactive to the needs of the departments.

3. **Customers believe recurring PeopleSoft activities are well defined and generally run smoothly.**

ET serves Enrollment Cluster departments and provides support for these PeopleSoft modules: Admissions, Financial Aid, Campus Center, Student Financials, Student Records, and Academic Advising and Degree Progress. PeopleSoft upgrades are a standardized process managed at the centralized CSU level. The university also has a standardized process for customizations and modifications and nearly 80% of customizations appear in subsequent system upgrades. Approximately 35% to 40% of the modifications are considered major and result in changes to PeopleSoft objects, 45% to 50% are considered moderate or "Pomona Mods," and 10% are minor modifications. Approximately 60% of the total Cal Poly Pomona customization requests come from Enrollment Cluster departments. While the Enrollment Cluster departments use approximately 80% of available PeopleSoft functionality, the remaining and available 20% could result in significant process improvements.

ET supports testing PeopleSoft upgrades and patches through well-defined maintenance schedules. However, quality assurance processes and/or documentation of testing results are not captured consistently or communicated effectively; as a result, there is a perception of incomplete, inadequate or inconsistent testing across the Enrollment Services departments. The university also does not have a standardized process to conduct "post mortem" after maintenance patches or key events like quarterly registration. Developing a standard testing approach and process for capturing test results and issues to be addressed would increase transparency and accountability for test activities conducted by ET.

4. **Reporting processes are currently adequate, but designating ET functional/data owners could improve the process.**
From an ET customer perspective, there needs to be a stronger relationship between data warehousing and ET. The ET department could serve as the liaison for reporting needs. Currently ET works with managers to determine reporting needs and develop reports that are required at regular intervals. However, after the ET staff develops the report it is forgotten, and customers request the same report later. ET customers noted that creating and placing data in the data warehouse is not standardized. Both ET staff and their customers noted that there was more duplicative reporting in the past, but ET's stronger role in filtering requests has improved this area.

ET staff noted that:
- Security (data) standards are unclear
- Dashboards need to be developed
- They should attend data warehouse training (e.g., filtering, data modeling)
- They should be more involved with the OBIEE Student Project.
- There is a need to access data controlled by I&IT (tables and data warehouse)

ET regularly receives requests for ad hoc, urgently needed reports. As an example, the Provost requested a new report for fee based enrollment to determine cost/income for classes. Given the current budget crisis and increased scrutiny of staff and resources, ET expects to receive an increased number of requests to support the planning efforts of the Enrollment Cluster departments.

Concerning the dashboards, ET's role can be to facilitate the process of determining what the Enrollment Cluster managers want and need from the dashboards. Their knowledge and understanding of each functional area as well as the data models position them best to guide and facilitate the development of valuable dashboard reporting for the managers. Developing a roadmap/guide for how to approach this process of developing dashboards will prove useful for not only the Enrollment Cluster but also other Departments and Divisions within the university.

5. **Imaging processes and equipment offer room for the greatest improvement and pose the greatest risk in that key data is only available in a single hard copy.**
    Division imaging processes are largely successful and rely upon a limited staffing level of three full-time employees (FTEs). Other universities of similarly sized student populations employ approximately 15 FTE's. The imaging process is smooth and as volumes increase at the beginning of each quarter, the imaging group redirects staff as appropriate. Generally, this results in bottlenecks moving downstream for lower priority documents. The imaging process is further constrained by the limited number of scanners and cost for additional scanners and licenses.

    General common issues affecting the Enrollment Cluster include:
    o   Duplicate or lost submittals
    o   Time spent researching or looking for "lost" documents (in queue to be scanned, not submitted, or lost)
    o   Documents incorrectly labeled with Bronco ID
    o   Poor quality images (color paper, light text) that need to be re-scanned.

    Although these are not directly the issues of the imaging staff, they are a result of the process of how documents to be scanned move through multiple hands before arriving at the point of imaging. Moreover, these issues affect the imaging staff since they help to resolve much of it, thus slowing down their production. Imaging staff estimated that 25% of their time is spent addressing scanning issues that may include rescanning for better picture quality, quality assurance on the OCR, and retrieval of originals already scanned.

    One significant issue in backlog is the volume of documents that are available only in a single, hard copy form. These documents include transcripts from the 1940's up through Registrar's documents from 2005. The Division recognizes the risk this poses, yet has insufficient staff and resources to image and back-up these documents. Additionally, there is no temporary filing system for documents recently scanned. Often times, original documents are requested for various reasons and staff has to rummage through their piles of scanned documents to retrieve them.

6. **Customers would like ET to be technical experts and guide them to improved processes by implementing functionality readily available within PeopleSoft (e.g., workflow) as well as other technologies.**
    ET customers noted that business processes are not documented nor up to date (e.g., PeopleSoft v8.0 processes to be updated to v8.9). ET customers are generally not aware of how new technology or existing PeopleSoft functionality could improve their business processes. Customers noted that they would appreciate business process reviews in order to improve their student services.

ET staff strongly supported the effort to analyze, improve and standardize processes and then move to new program areas to repeat the processes. ET staff also stated that having documented business processes would better support cross training and workload balancing. Regarding implementing PeopleSoft functionality such as workflow, customers would like ET staff to bring technical improvement ideas but only those that have viability and would truly ease the business process for the customers.

7. **Customers and staff noted that roles and responsibilities between ET, SAITS and I&IT are not clear.**
   Most interviewees and work session participants noted this key issue of IT related roles and responsibilities being unclear. This lack of clarity existed between:
   - ET staff located within and serving the various enrollment cluster departments
   - ET and SAITS providing IT hardware support within the Division of Student Affairs
   - Between ET and I&IT for PeopleSoft support and modification requests

   Clearly and continually defining roles, responsibilities and service offerings between departmental staff, ET staff, SAITS, and I&IT will result in less confusion, greater responsiveness, and more efficient deployment of IT/technical resources. As a new department, ET is experiencing the natural growing pains of how it fits into an existing structure and how it best provides value to the university and its immediate customers. Section 4 Organizational Assessment further discusses this issue.

The review team validated that ET is employing best practices, has standardized processes related to PeopleSoft support and upgrades, and is identifying, tracking and remedying IT issues through its IT service request application, Enroll-IT. ET has a history of recognizing issues and deploying industry best practice remedies. ET is in a position to employ best practices approaches to address the current ET and Enrollment Cluster challenges. These best practices can also be applied to the Division or Campus levels over time. In fact, our recent interviews indicate that as an organization, the Campus faces these same challenges and is addressing them concurrently. There may be opportunities to solve the challenges through joint ET, SAITS and I&IT efforts. Section 7 discusses these opportunities for improvement.

Section 4.   Organizational Assessment

The ET Department Review organizational assessment included a broad range of organizational elements, including leadership, organization and management structures, and human resources. Most comments pertained to the organization and management structures. There is a logical overlap between the services ET offers and its organizational structure. As noted in the prior Program Assessment section, ET customers are generally pleased with ET's service and appreciate their quick, friendly response and broad service offerings. There are issues or differing opinions as to what ET's organizational structure should be. As noted in the diagram below, ET is a matrix department with staff reporting directly to the ET director and dotted line reporting to functional managers.

Organization – Key Observations
Key Observations and Feedback from ET Customers and Staff:
1. *ET Director provides good overall leadership for ET and for current strategic planning efforts.*
2. *ET Staff is conveniently located with customers, but this structure may not support efficient allocations of resources and standardization of ET processes.*
3. *Division IT roles and responsibilities must be defined and communicated. Enrollment Cluster managers and staff are unclear as to respective roles of ET, SAITS and I&IT.*

California State Polytechnic University, Pomona

Division of Student Affairs

Enrollment Technology
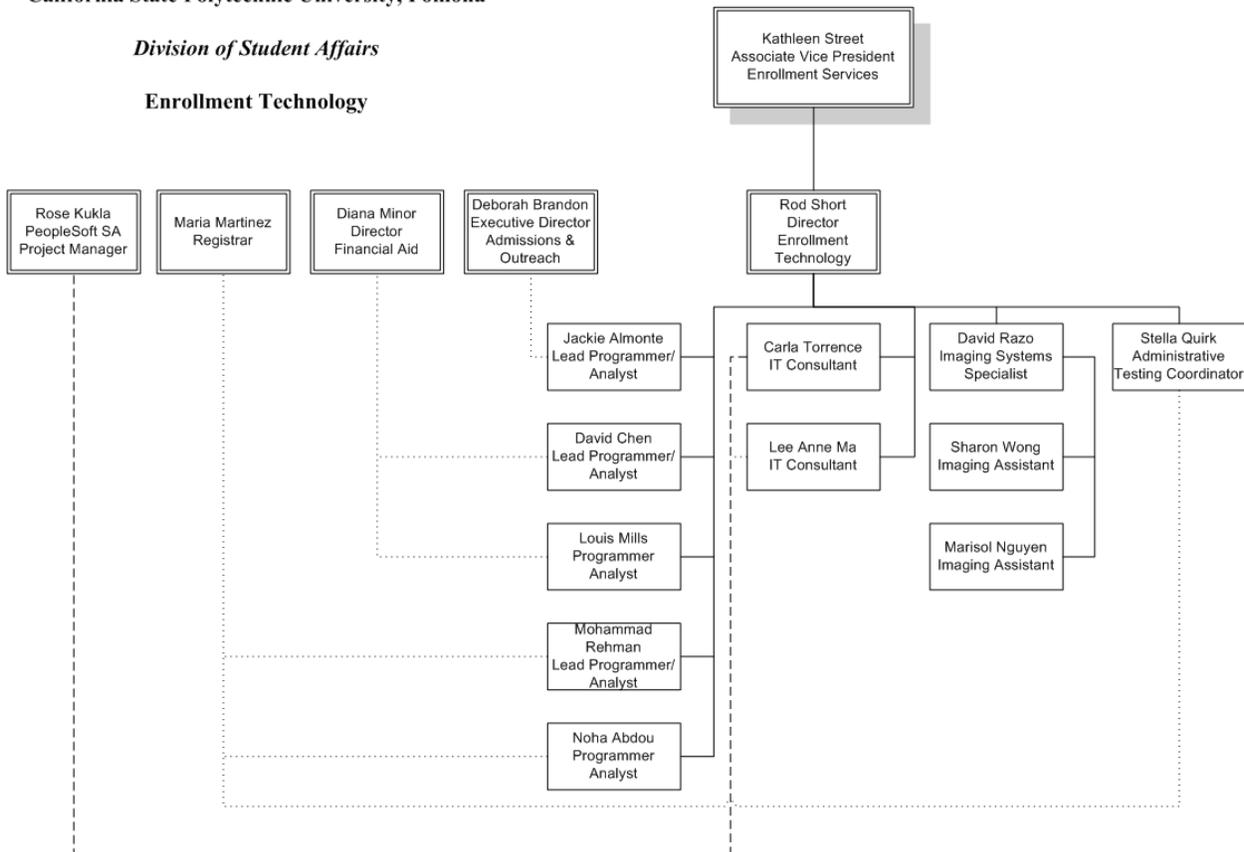
4.1   Department Leadership

The department assessment guidelines included an extensive list of leadership factors for assessing the ET Director. These factors and observations are summarized below and are the

result of interviews with Enrollment Cluster managers and work sessions with management, staff, and analysis of ET procedures and tools. Overall, the ET Director is considered an effective leader and customers recognize the progress and continued improvement since ET's inception less than one year ago.

1. **The ET Director articulates a vision and mission for ET services, sets goals and objectives based on customer need, and represents ET in the strategic planning process.**

   The ET has a clear, although lengthy, mission statement that encompasses current services. The mission statement is supported by strategic objectives and a Master Plan detailing the department's goals and objectives. The vision statement supports the enrollment activities within the Division.

   The Technology Master Plan clearly outlines objectives and projects that address Enrollment Cluster needs. ET has actively participated in the university strategic planning effort to develop the strategic plan, and has developed a Strategic Planning database to manage the Student Affairs Strategic Plan.

   The Strategic Plan Vision and Mission clearly address customer needs and represent ET in the strategic planning process.   ET consistently advocates their IT services as distinct from SAITS and I&IT. To ensure customer needs are represented in the plan, ET surveyed Enrollment Cluster management to identify process and technical issues and improvement ideas. On an ongoing basis, ET continually conducts meetings with Enrollment Cluster managers and weekly meetings with ET staff and works collaboratively with customer departments within Enrollment Technology to address functional and technical issues. ET also provides Enroll-IT for customers to request assistance, document issues and needs, track and report ET's progress. ET also advocates the appropriate use of their staff skills to meet Enrollment Cluster technical needs. ET recognizes that their customer needs overlap with other functional areas and, as such, works collaboratively with peer IT organizations. ET works with SAITS for hardware support, network and security and ET works with I&IT for PeopleSoft maintenance and upgrades.

2. **The ET Director communicates effectively in regards to ET services, administration, and educating staff.**

   ET currently relies primarily on informal communications between Enrollment Department managers and the ET Director to clarify issues and solutions. ET and its customers recognize the need for improvements in formal communications. Included is the recognition by the ET Director, Enrollment Cluster managers, SAITS and I&IT that they should clarify roles and responsibilities and clearly communicate them to staff and other departments within the Division. These parties need to define the communication approach and are considering several methods (e.g., policy memo, memorandum of understanding between IT service providers, staff meetings, training). In addition, ET recognizes the need to cross train staff to address employee absences or workload fluctuations. ET provides training and mentoring opportunities for staff to develop the required skills.

3. **The ET Director is informed and integrates appropriate technologies into programs and services.**

ET actively identifies customer needs and introduces appropriate technology solutions. During ET's brief period of existence, less than one year, ET has developed and implemented Enroll-IT and the Strategic Planning database. In addition, ET has plans to implement CCCTrans to receive electronic transcripts from community colleges for transfer students.

4. **The ET Director develops and continuously improves programs and services in response to changing needs of populations served and evolving institutional priorities.**

   ET is at the forefront of the Division of Student Affairs and the university in understanding and implementing best practices concepts. ET recognizes the need for strategic plans to be living documents that drive organizational actions. As such, ET developed the Strategic Plan Database to support monitoring and evaluation. ET looks to create a Business Analyst position to bridge the Enrollment Cluster functional managers and staff and the ET technical staff. A Business Analyst can assist in conducting feasibility analysis for technology improvement opportunities in alignment with strategic initiatives.

4.2 Organization and Management

The ET Department Review organizational assessment included two areas that we have combined in this section: organization and management. These topics received the most feedback during our interviews and work sessions and they are intimately related. IT customers stated they did not have a clear understanding of IT roles and responsibilities related to ET, SAITS and I&IT. To foster effective coordination and collaboration, Cal Poly Pomona must consider the organizational relationship between these groups and the available channels of communications.

1. **ET staff is conveniently located with customers, but this structure may not support efficient allocations of resources and standardization of ET processes.**

   ET staff is located within program areas and have dotted line responsibility to ensure that the functional managers have input into performance evaluations of staff. Direct reporting is to the ET Director. From an ET customer perspective, this offers many advantages including: 1) the ability to quickly and easily discuss an issue and improvement opportunities, 2) get direction and assistance on ad hoc IT issues, and 3) assist with functional tasks as ET staff have available time.

   In this first year of transition, this organizational structure made sense so that the functional areas still felt their needs understood and supported. Moving forward, ET should have a structure that is clean and eliminates the confusion for staff concerning reporting. The current structure limits the possibilities of efficiently allocating ET resources and limits ET staff experience to a single functional area. Allowing Enrollment Cluster managers and staff to make ad hoc IT requests limits the ability of the ET Director to prioritize service requests across the Enrollment Cluster departments and supports a reactive vs. proactive strategic approach to reporting and program development. Having ET staff in close proximity contributes to functional staff and managers being unclear as to who is responsible for particular IT areas since they continually go to the ET staff for all IT issues. For example, functional staff often request ET staff to assist with standard hardware or software issues, such as a printer not working, when SAITS staff should address these technical issues. Functional staff feels that the ET staff is their dedicated technology staff for all technology-related issues.

Even though it has been communicated, it is easier for the functional staff to ask for assistance from someone sitting on the other side of the office wall and have it addressed instantly, than log a ticket and wait. In addition, ET staff find it difficult to say "no," for fear of not being collaborative to help the team and address the customer's needs.

Enrollment Cluster managers feel they have a great working relationship with ET staff and ET staff have expressed the same sentiment. As ET strives to grow the staff's knowledge and offer improved services, ET must have staff trained in more than one functional area and be able to cover for absent staff. ET must be able to prioritize customer requests and have a clear sense of staff availability in order to address customer requests. To realize the full advantage of the unit, ET must be able to assign responsibility based on the expertise or knowledge of the staff rather than on their prior department assignment.

The imaging staff is unique to the overall organizational mission and goals of ET. Their value is in their ability to image and electronically make available information from documents submitted by applicants and students. Still, their organizational residence has no allegiance to ET. In this instance, we recommend considering the imaging staff move to a more appropriate organization within the Enrollment Cluster. Further research and considerations should review the possibility of moving the imaging staff to the Registrar's office for the purposes of minimizing the hand-offs and since the Registrar's is the ultimate owner of the documents imaged.

2. **Enrollment Cluster managers and staff are unclear as to respective roles of ET, SAITS and I&IT.**
   The most common statement heard during the ET program assessment was that Enrollment Cluster managers and staff are unclear as to respective IT roles. For the most part, IT roles are clear between ET, SAITS, and I&IT managers. Where there are questions or lack of clarity, the managers are in the process of defining respective roles and responsibilities. However, the respective departments have not sufficiently communicated respective roles and responsibilities to Enrollment Cluster managers and staff, and ET staff. The primary areas of confusion include the following: PeopleSoft support, third party software support, reporting, and hardware/security.

   Currently I&IT and ET are involved with PeopleSoft support. I&IT centrally manages university upgrades, enhancements and communications to state level PeopleSoft managers. As of late, the confusion is at the level of which organization will handle the approved modifications, which has happened because of I&IT responding to the budget reductions and decreased availability of IT staff. Additionally, there are other departments within the Division but outside of the Enrollment Cluster that have PeopleSoft support needs that are not met by ET, but rather I&IT. The primary area of PeopleSoft confusion is not between ET and its customers, but between ET staff and I&IT. ET staff requested expanded access and responsibility for PeopleSoft upgrades and enhancements and access to new software and the ability to test it. ET and I&IT management and the university's IT managers recently developed an IT Governance Plan to ensure PeopleSoft related requests are directed to the correct IT service provider. This plan could be expanded to define respective ET and I&IT staff roles.

Business intelligence and reporting have become more important as resources are constrained and the university seeks new students and improved efficiency. Currently all three IT departments support developing and running reports from the data warehouse. This can be confusing to the departments seeking an answer to a business question. Quite often report or analysis requests are not sufficiently defined and/or the persons responsible for developing the report do not sufficiently understand the business or business data. This is an area where the entire reporting process needs to be clearly defined and roles and responsibilities as it relates to reporting more clearly communicated. Enrollment Cluster managers need to understand what is required in order to have a meaningful report and functional and technical staff must be available to translate that request into the appropriate query language. The university is currently analyzing reporting needs and display options including dashboards. Ideally, there is staff that understands the relationship between the business request, the data, and the university's strategic direction.

4.3   Human Resources

The ET Human Resources assessment included recruitment, selection, staff development, performance planning and evaluation. ET serves its customers with staff trained with the correct technical skills, and most often, with knowledge of the functional area they serve. ET follows the standard university employee evaluation and development process. ET, however, sees the need to link the Student Affairs Administrative Plan, the Student Affairs Strategic Plan and the Enrollment Cluster Master Technology Plan and ensure ET staff objectives are appropriately linked, drive actions over the evaluation period, and evaluate staff to assess both success and growth areas.

1. **ET recruitment and selection is largely sufficient. It has been difficult to recruit imaging staff and competition with the private sector for technical staff is an ongoing challenge.**
   ET department includes 11 staff and six classifications. Several staff served the Enrollment Cluster prior to ETs creation and additional staff was recruited within the last year. ET recruits and selects staff on an as-needed basis and has actively recruited the appropriate staff with the appropriate skills over the last several months.

   Recruitment issues include finding detailed-oriented Imaging Technicians and IT PeopleSoft programmers. In the past, ET had difficulty in recruiting students to fill the imaging positions and possessing the requisite attention to detail. In recent months, more students are seeking work due to the financial climate and these positions are easier to fill, yet the difficulty with student staff is the attention to detail and quality that is required of the position. When programming positions open, ET has difficulty in finding candidates who recognize that the total compensation package offered by the university is competitive with salaries offered in the private sector.

2. **ET staff have access to technical training, however, the Enrollment Cluster Departments would benefit from cross-trained staff.**
   Many of the ET staff are Cal Poly Pomona graduates and have limited experience outside of the university. As such, ET staff has sufficient skills to address their current tasks and assignments, but some lack a broader understanding of system design, development, and maintenance. Nearly all staff expressed interest in additional training and expanding their skills. ET customers feel that ET staff has sufficient technical knowledge to address most of their needs. The only exceptions were in the areas of

system and process documentation, and having sufficient understanding of business data. ET staff is typically knowledgeable only in the functional area they serve, and this specialization results in ET not providing the full value ET is capable of delivering**.**

ET staff needs to be trained and cross-trained in order to address absences and changing resource needs and priorities between the departments that ET services. Cross training also would result in a larger number of departments being made aware of new technologies and how their operations could benefit. Currently, training is not standardized and is mostly addressed informally through mentoring or self-directed by oneself. In addition, to address more structured training, staff could use standing staff meetings to discuss departmental business process and issues, new technology to address business issues, and invite speakers from other IT departments to share new concepts and technology.

3. **The ET Director conducts employee performance evaluations, but this process is hindered by out of date duty statements and employee performance objectives not being tied to department objectives.**

   Employee performance reviews and evaluations are necessary to ensure the department has the staff experience and qualifications necessary to address the needs of ET's customers. Another reason is to measure the progress of staff from hire date and annually. Annual performance appraisals (or more frequent ones) provide insight as to the effectiveness of HR and ET management providing the right tools, resources and opportunities for staff to grow.

   One difficulty in conducting performance reviews is that existing job descriptions do not accurately state technical and functional expectations. Job descriptions are not reflective of current responsibilities and there is no benchmark or baseline to serve as a guide for monitoring employee performance and development.

   Enrollment Cluster managers and staff noted improvement opportunities related to employee training and recruiting for imaging specialists. The ET Director noted the need to align the three strategic documents and link the appropriate strategic objective or projects to the appropriate staff. The ET Director noted this would take time to cascade organizational objectives to the employee level.

Section 5.   Resources Assessment

The ET Department Review organizational assessment included ET financial management, facilities, technology, and equipment. While reviewing ET financial management, the assessment team considered ET's practices in relationship to similar departments. The ET technology assessment considered current technology and its effective, optimal use. The ET equipment assessment reviewed equipment (primarily scanners for the imaging staff) and the degree to which it supports current business processes.

1. **ET financial management follows the standard university budgeting and cost tracking processes.**
   Given the budgetary times, ET has sufficient budget to manage its operations for the current fiscal year. However, budget allowance does not include forecasting for new technologies, staff development, or replacement of imaging hardware. Although this money is unaccounted for in ET's budget, the Division has a process for departments to request additional funding from the Division that is available for purposes other than operations. While many of the improvement recommendations mentioned earlier in this document might not require additional resources, resources are required for new imaging software licenses, scanners, a business analyst position, and formal training.

2. **ET facilities generally meet the ET Director and staff's needs where staff is currently co-located with functional units. Should the ET staff be centralized, ET would require additional space.**
   Currently most ET staff is located within the Enrollment Cluster department they serve and this model initially fostered an easier transition for ET staff and their functional areas. A year later, ET staff should focus on internal improvements and meeting strategic goals and mission; being centrally located would allow more flexibility to focus on collective problem solving and development, knowledge sharing, teamwork, and cross training.

3. **ET's primary customer service tool, Enroll-IT, meets customer's needs, but ET could enhance the application.**
   The major technology employed by ET for tracking requests is the Enroll-IT application. Through this application, customers submit request for enhancements, updates, and system issues. ET staff acknowledged that they could make the system more user-friendly. The ET staff also noted that Enroll-IT does not generate e-mail notifications to alert managers of the status of their request when the manager has delegated responsibility of creating a ticket to another individual. ET staff also noted that Enrollment Cluster managers frequently complained of the need to log on and monitor the status of the request. While the Enroll-IT application is a necessary first step in standardizing system issues and resolution, there is room for improvement. As with any system changes, it would be necessary to implement change management strategies to ensure ET enforces the new processes and fully trains the users.

4. **ET's scanning equipment is aging and in need of replacement. ET could also improve the imaging process by having additional software licenses and being able to assign staff during peak periods.**
   ET's major hardware equipment is desktop computers and scanning equipment. The primary concern is aging scanning equipment. The Imaging area has three scanners,

one recently replaced with an older back up unit that produces lower quality images and frequently "freezes" during efforts to re-scan documents. Many of these scanners are at least 10 years old and the department should begin replacing them with newer models as resources allow.

Currently, ET has limited software licenses for the imaging application. This limited number of licenses restricts ET to three scanners and staff to operate the scanners. The ET Director has noted that by purchasing a site license a larger number of users would be able to address the larger volumes of documents at peak periods.

The area of imaging equipment offers some of the greatest improvement to ET operations. Imaging and scanning equipment is aging which results in inefficiencies in production. By acquiring new equipment, breakdowns will be reduced, quality of reproduction will rise, and overall improvement in efficiency can be gained. Improvements in this area are already in progress.

Section 6.   Assessment and Evaluation

The ET Department Review assessment of ET's culture of evidence and legal compliance is largely devoted to assessing the current ET strategic planning efforts and performance metrics and providing candidate performance metrics for the future. The recent WASC focus on strategic planning and the current economic trials will likely require ET to become more actively involved in strategic planning activities and performance monitoring and evaluation. ET follows all university standards related to compliance of technology, separation of roles, and ensuring privacy and security of student information.

The ET Director recognizes that a culture of evidence is comprised of performance monitoring and evaluation. ET has been actively involved in the university strategic planning process and, as noted earlier, has developed an application to track the Division's strategic plan. In addition to supporting the strategic planning effort, ET has developed an Enrollment Cluster Technology Master Plan to guide technology initiatives within the Enrollment Cluster. The Enrollment Cluster Technology Master Plan and the Division strategic plan are not integrated. The ET Director recognizes this and intends to integrate the two plans.

Performance monitoring and evaluation requires clearly defined performance metrics and processes to evaluate the results. ET has taken the first step in clearly defining performance objectives as part of the Enrollment Cluster Technology Master Plan and the Division Strategic Plan. Current performance monitoring largely focuses on project or initiative completion. The primary outcome performance measures are related to customer satisfaction. While there are no specific objectives that tie to customer satisfaction, ET has conducted informal customer satisfaction surveys.

A performance-based organization links an employee's tasks and responsibilities to the organization's strategic direction. Such organizations then explicitly link the employee's annual evaluation to the division or department's strategic objectives. While ET conducts employee performance evaluations, they are not consistent and employee objectives or goals are not tied to department or division goals. The employee evaluation process is limited because duty statements do not accurately reflect the functional and technical responsibilities of the employee.

> **Assessment and Evaluation –
> Key Observations**
>
> *Key Observations and Feedback from ET Customers and Staff:*
>
> 1. *ET has been actively involved in the university strategic planning process and has developed an application to track the Division's strategic plan.*
>
> 2. *ET has taken the first step in clearly defining performance objectives as part of the Enrollment Cluster Technology Master Plan and the Division Strategic Plan.*
>
> 3. *ET conducts employee performance evaluations, but does not link employee objectives and goals to department or division goals.*
>
> 4. *ET must define objectives to measure, guide its service to customer departments, and support the overall University Learning Outcomes.*

Interviewees noted that the Division is slowly accepting certain business approaches to education. For example, managers understand that there is competition for students and certain groups of students must be targeted through marketing. The recent WASC Interim Report-052709 stated that the university must "promote a culture of evidence by reviewing and reporting on a program's assessment efforts." The University's Assessment Implementation Task force also defined University Learning Outcomes (ULOs) to track performance and results. These ULOs include such outcome based performance measures as global citizenship, ethical understanding, critical thinking, problem solving, and lifelong learning. As an IT support department, ET is not in a position to directly affect any of these outcomes, but rather, to serve

its customer departments so that they may contribute to these outcomes. ET must define objectives to measure, guide its service to customer departments, and support the overall University Learning Outcomes.

A "culture of evidence" encompasses and assesses all aspects of a department – its services, staff, resources, technology, facilities, and equipment. The culture of evidence provides assessment or performance measures to determine how well a department is pursuing its mission. The WASC review states, "The task remains to institutionalize planning as an integral part of the university's academic cycle. Perhaps the most important result of this year's efforts is the increasing understanding that strategic planning is not a plan but a process—an ongoing dialogue about Cal Poly Pomona's future that engages all members of the University community in routine processes of self-reflection."

Cal Poly Pomona's focus on utilizing production reporting and benchmarking for such technologies as Imaging and Enroll-IT is already in support of building a culture of evidence that supports its strategic business. Its progress towards building dashboards for the Enrollment Cluster will improve how Enrollment Services plans for the future.

Section 7.   Improvement Opportunities

The review team identified issues and improvement opportunities for each of the four ET review areas: program, organization, resource, and "culture of assessment" or performance management. The improvement opportunities range from near term, quick fixes to more complex, longer-term improvement efforts. All improvement opportunities should follow best practices related to change management and communications. One key recommendation is Student Affairs executives supporting ET taking on PMO functions. This first step would formalize ET's role as a change manager and ET being responsible for key, formal communications.

Organizational improvements require clearly defined activities, timelines and objectives, and most importantly, executive support. This ET Departmental Review provides improvement opportunities, but Enrollment Cluster and Division management must further define and approve the proposed improvements. During the next critical steps, true leadership is required for success. All too often, organizations fail at implementing new initiatives because of a lack of leadership support and change management. Leadership must take the appropriate steps forward, even if they are not popular, to yield positive results.

7.1   Getting Started – the First 120 Days

Getting started is one of the most difficult parts of any improvement effort or transformation. Answering where to begin and what issues to tackle first are often obstacles to any improvement effort. The solution is to begin with logical steps that move you forward and those that enable subsequent activities. ETs first 120-days are critical – they set the foundation for the future and build momentum. The first period should clearly demonstrate ET's commitment to change and provide tangible results to the customers of ET. To move forward, ET should take the following steps within the first 120-days.

1. **Confirm mission and implementation priorities.**
   Agreeing on the direction and mission for ET is an immediate first step. The Division of Student Affairs and ET leadership must be coordinated and have a shared vision and understanding of the ET mission. That shared vision and ET mission must be communicated and regularly re-iterated to staff and stakeholders. Rallying and encouraging staff to join the crusade is critical, as they are a key customer and an important element of the solution. After the ET mission is defined (or updated), the ET Director and Division executives must review these proposed improvement opportunities and prioritize them.

> **120-Day Plan**
> 1. *Confirm mission and implementation priorities.*
> 2. *Gain commitment, build support, and communicate!*
> 3. *Implement Quick Wins.*
> 4. *Research how available PeopleSoft functionality could support business process improvements such as workflow.*
> 5. *Employ business process improvement concepts and tools and consider establishing a business analyst position.*

2. **Gain commitment, build support and communicate!**
   ET's success largely relies on the commitment that both leadership and staff make to the effort. ET can do this by being transparent and sharing information. The Division of Student Affairs executives and staff want ET to collaborate and be a partner with others. Every step of the implementation is built on this concept. During the first 120-days, ET can take steps

toward achieving this by developing a formal communications plan to guide additional outreach with staff, sharing the results of the planning efforts and launching new initiatives. A communication plan is needed because the target audiences, messages, and communication methods will be different for each area. The communication should not only provide status, but it also should serve a change management function. The communication plan should consider two-way communications, including how to pull in feedback and input from stakeholders and customers.

3. **Implement "Quick Wins."**
ET can implement several improvements with minimal cost or effort. Known as "quick wins," these improvements can be tackled within the first 120-days. While the changes may not be significant, they are substantial. Implementing quick wins proves that the Division of Student Affairs and ET are committed and builds organizational momentum. *As noted earlier, the most common issue was confusion regarding ET, SAITS and I&IT roles and responsibilities. Directors from these departments have begun to clarify the respective roles, but ET customers need continual communications and clarity. Defining and communicating these roles and responsibilities will be an effective and long lasting quick win.*

Quick Wins
1. *Define ET, SAITS, I&IT roles and responsibilities and communicate them to ET customers and staff –* achieve clear understanding of IT roles and responsibilities within the department, across departments, and within the Division.
2. *Communicate and/or re-train Enrollment Cluster customers in Enroll-IT –* continue standardizing ET service request process that customers and ET staff know how to correctly submit and track service requests.
3. *Increase ET staff training, collaboration and cross training –* begin cross training and job sharing, use ET staff meetings to discuss department business processes and data, and implement process for guest speakers.
4. *Demonstrate leadership in business intelligence/forecasting –* continue analyzing impact of budget crisis, students attending community colleges, and future increase in number of transfers.

4. **Research how available PeopleSoft functionality could support business process improvements such as workflow.**
The organization has made a significant investment in PeopleSoft and the Division of Student Affairs should use available PeopleSoft functionality to improve programs and processes. As an example, leveraging PeopleSoft workflow capabilities could enable ET to automate the flow of information between Enrollment Cluster department staff. Implementing automated workflow would provide several business benefits such as standardizing communication and the flow of information from Outreach to Admissions to Orientation, the Registrar's and Financial Aid. Automated workflow could assist to enforce business rules for reviews, approvals, and sharing of information, documents and transactions. Automated workflow could also provide alerts, tracking and reporting on the status of student's application.

ET should conduct an assessment and opportunity analysis to 1) determine the PeopleSoft functionality currently not in use in the organization, and 2) to identify opportunities, benefits, costs and timing for utilizing additional PeopleSoft functionality to improve existing business processes.

5. **Employ business process improvement concepts and tools and consider establishing a business analyst position.**
Continuous improvement is a management process whereby the organization constantly evaluates and improves key processes in light of their efficiency, effectiveness and flexibility. Continuous improvement allows organizations to stay efficient, vital, avoid staff and business process stagnation, and avoid implementing unplanned for, reactionary measures to address environmental changes.

Maintenance and upkeep of business processes should be "functionalized" (i.e., incorporated into the standard way of doing business within the Division of Student Affairs and within the Enrollment Cluster departments). For example, standardized documentation with consistent level of detail for all business processes should be required. It is recommended that ET develop this standard, prioritize the update of existing documentation, and institutionalize the use of this standard going forward. Functional users should be allowed to make simple/standard updates.

Business process owners should conduct regularly scheduled reviews of their processes to identify improvements. To prevent miscommunications, owners should have full knowledge of functional areas before cross training. Major "environmental" changes should be assigned an owner to investigate and help prepare the department for change. For example, ET should conduct an analysis of the budget crisis, its impact on students attending community colleges, and the potential change/future increase in number of transfers and how it will affect ET business. Understanding and preparing for the resource and process changes required versus reacting will help increase the planning around work process adjustments and smooth any transitions required.

The challenge to any organization seeking continuous improvement is redirecting staff time away from core services to step back, look at processes and technology, and look for and implement improvements. A position should be dedicated and accountable for achieving positive outcomes and effectively utilizing functional staff as subject matter experts. This person or group is typically a business analyst or project manager who can bridge the gap between the technical and functional needs of the organization. Ideally, this person or group focuses solely on improvements and is not distracted by ongoing service delivery and customer requests.

The greatest value add to the Enrollment Cluster would be for ET to employ a best practice approach of offering project management and business analysis work to analyze current business processes, identify improvement opportunities, and develop new business processes that best leverage available technology. ET could address the first four improvement opportunities listed above through this approach. In order to standardize projects and employ standardized processes across the Enrollment Cluster, organizations commonly implement a Project Management Office or PMO. The PMO concept is presented in the next section.

7.2   Setting a Foundation for Future Success – Post 120 Days

The longer-term plan, beyond the first 120 days, focuses on on-going activities, new services, and technology solutions that despite their importance have to be postponed because of ET's capacity and available resources. These longer-term initiatives require additional planning and thought. Many of the technical system efforts will need requirements gathering, feasibility studies, and other preparation. Ultimately, ET's success will be judged on many fronts. The Division of Student Affair's executives and staff will focus on ET's "customer responsiveness" and whether ET was helpful to them, or whether it was simply another IT function. To that point, ET's performance will be judged by many different criteria. As ET plans and conducts its implementation, it must pay particular attention to the factors by which the department's success will be evaluated and judged.

> **Setting a Foundation for Future Success – Post 120 Days**
>
> 1. *Implement Project Management Office (PMO) or PMO functions.*
>
> 2. *Standardize strategic planning and performance monitoring evaluation.*
>
> 3. *Conduct Business Process Reengineering of Imaging processes and technology and implement improvements.*
>
> 4. *Enhance Enroll-IT to include email status updates and improve processes around reporting and defining IT issues for ET to address.*

1. **Implement Project Management Office (PMO) or PMO functions.**
   Ongoing business challenges will require that ET respond with standardized processes and specific projects. For example, PeopleSoft upgrades occur according to a largely predefined schedule, are well documented, and are largely operational. There are also common issues, such as transcript request processing, that ET is accustomed to addressing. There are, however, unique business needs that require extensive analysis and dedication of resources for a longer period of time and have a clearly defined end, in essence "projects". The recent ET Tech Plan contains a list of numerous projects. These projects often fail due to competing priorities, limited resources, and multiple stakeholders. Fortunately, project management standards exist, as well as best practice organizational structures to provide guidance for project success. A common best practice approach is implementing a Project Management Office (PMO) or assigning PMO functions to an existing office. Implementing a PMO or PMO functions addresses ET issues through:

   ✓ Standardizing approach to defining and managing projects, including process improvements
   ✓ Supporting increased communications through standardized project reporting related to status, resources and risks
   ✓ Formalizing project selection and prioritization

   A PMO commonly defines standards and tools to initiate, execute, close out, and control the cost, schedule, and scope of projects. The PMO maintains standards and serves the organization's functional or business units by formalizing the process of prioritizing projects, and may either manage the projects or support functional staff managing the project. Common tools include project charters, schedules, quality plans, risk plans and communication plans. A PMO may stand as a separate department or office, or ET may provide these functions. Implementing a PMO commonly takes two approaches: an organization establishes a PMO as a separate organization to highlight management's commitment to the new services; or the PMO functions are offered within an existing organizations structure. Most projects require that staff report to at least two managers, their functional manager and the project manager for the duration of the project. The

Division of Student Affairs currently has a matrix structure with ET staff reporting to functional managers and the ET department director. A PMO or PMO function would to a large degree address the confusion of roles and responsibilities and improve managing the Enrollment Cluster's projects, and can eventually progress to assist the Division of Student Affair's projects.

2. **Standardize strategic planning and performance monitoring evaluation.**
   As a PMO matures, it gathers historical data and can better estimate the resource needs for the proposed projects. With accurate resource estimates, the PMO and department managers can determine what is feasible for the upcoming fiscal year. This information also can be used for the annual budgeting process. A further improvement is to integrate the annual budget process with strategic initiatives and strategic targets. The annual budget process then progresses towards an analysis of ongoing activities and new projects to determine the correct allocation of funds to achieve desired outcomes.

   As with the PMO concept, many organizations create a stand-alone strategic planning/ performance monitoring office to demonstrate executive support and organizational priority. The Division of Student Affairs has several options for providing these services: stand-alone offices, integrated with a new PMO, or assign the strategic planning and performance management to an existing department.

   As ET further improves its "culture of evidence", it is important to establish performance measures for ET that can help monitor achievement/progress, and to help keep the office focused on the appropriate results. While detailed measures should be developed, the following are a list of metrics that could be used to gauge ET's achievement.

ID	ET Function	Potential Measure
1.	**ET Services**	• Customer satisfaction • # of requests for ET's services from departments • Customer requests (number, time to respond, newly deployed technology, project plan) • Imaging services (# transcript requests, turnaround time, time to scan document, # documents scanned, # scanned with existing templates, # new templates needed)
2.	**Cross Training and Development**	• % of employees meeting minimum competency training requirements • % of employees receiving minimum # of training hours per year (based on positions) • Rates of employees who passed training • # of training hours
3.	**HR – Recruiting and Retention**	• Average time to hire (posting to start date) • Cost/savings related to retention (versus cost to train a new staff) • Turnover and/or retention rate (overall, by division, by location, by employee classification, age brackets, other segments) • Vacancy rate (total # of vacancies, # of vacancy person/months) • Employee satisfaction (via annual survey)

Numerous factors should be considered when selecting the appropriate performance measures, defining and gathering baseline data, and comparing the baseline to future

performance data. For example, employee satisfaction could fall over the course of a year. The change could be due to pay reductions or furlough issues, which are outside the control of ET. Measures need to be taken into context, and should be looked at as a scoreboard or index, not just individual measures. ET may choose to use one or more of the above performance measures.

3. **Conduct Business Process Reengineering of Imaging processes and technology and implement improvements.**
   ET could operationally streamline and otherwise improve several aspects of the Imaging process to create efficiencies, save time, improve quality, and improve the ability to retrieve information. ET should conduct a business process review of the imaging process for Admissions and explore the opportunities described below. ET improvements to the imaging processes could reduce handling of paper and indexing/entering data through opportunities to receive information electronically rather than via paper. ET could also improve the ability to extract data electronically versus data entry. Lastly, ET could improve the time to process incoming paper, so that information is available electronically sooner, reducing the need for the original document (pre and post imaging). Specific opportunities to explore through a business process reengineering study include:

   - Improve internal forms and use a standard template for better quality Optical Character Recognition (OCR). Improvements include bar-coding form identifiers, placing standard fields (such as name, SSN, form id) on the same place on each form to dramatically reduce indexing time. A standard template will also guide the creation of new forms developed in the future.
   - Consider immediate implementation of CCCTrans to increase the number of transcripts received electronically, reducing staff paper handling and data entry time, and data errors.
   - Invest in new scanner(s) that can meet workload needs, to eliminate backlog of paper processing.
   - Develop standard filing system/tracking log to retrieve documents that are in process (received, but not imaged), to address backlogs when they do occur.
   - Develop standard filing system/tracking log and policy to retrieve documents recently imaged (i.e., maintain in file system for 6 months). The filing system should work closely with the batching process to avoid reorganizing and handling documents for a second time.
   - Consider reducing the retention time of the recently imaged documents with destruction shortly after and keeping in compliance with State and federal requirements. Improve quality assurance processes for both scanning and indexing, to reduce reliance on the post imaging paper.
   - Conduct a cost-benefit analysis to understand the true value of imaging aging documents for the vault project.

4. **Enhance Enroll-IT to include email status updates for wider audience groups and improve processes around reporting and defining IT issues for ET to address.**
   Enroll-IT should be enhanced to support electronic generation of email to a wider audience than the individual who opened the ticket. This could include automated email alerts or informational blasts associated with changes affecting a wide group, as well as status updates and notifications to individuals associated with specific requests and status changes, and upgrades.

Communications must be improved both to and from ET. Business processes should be developed and implemented which allow ET's customers to report issues in a standard format that guides them to provide the appropriate information, and clearly indicates who issues will be assigned to and who owns the issues.   ET should refine their business processes to clearly set (and then meet) customer expectations for time to respond to issues, and how issues will be escalated if resolution is not found in a timely manner. Processes and business definitions should be clarified and communicated regarding what is an update, a fix, and what is a "new" request, and the priorities of each.

7.3   Next Steps

The ET Departmental Review validated that ET is employing best practices and has standardized processes related to PeopleSoft support and upgrades, and identifying, tracking and remedying IT issues through its IT service request application, Enroll-IT. ET has also recognized the need to institutionalize the Division's strategic plan and has developed an application to capture and monitor the Strategic goals and initiatives. ET has a history of recognizing issues and deploying industry best practice remedies. ET is in a position to employ best practices approaches to address the current ET and Enrollment Cluster challenges. These best practices also can be applied to the Division or Campus levels over time. There may be opportunities to solve the challenges through joint ET, SAITS and I&IT efforts.

To set expectations for implementing the improvement opportunities noted above, it is important to understand what can be developed now. Many individuals may wish to see a detailed work plan that details every task needed to address the issues ET is facing. The reality is that the longer-term improvement opportunities are still in the conceptual phase. Therefore, at this time, these recommendations are a high-level roadmap and not a detailed task list. The roadmap is valuable from an initial planning perspective in that it identifies some of the key issues around timing and scheduling, and serves as a means to get the affected parties, sponsors, and stakeholders on the same page.

The users of ET's services must be kept involved, informed of changes, and prepared/trained to use the new services. In concert with being open and transparent, ET must communicate regularly with staff and customers. Both parties expect to be informed of changes and progress that is being made. Neither customers nor ET staff wants to be caught off-guard. As an example, should the imaging processes be reengineered, managers will want to know and have input into the new processes. All users also must be prepared and trained for the new processes. Throughout these tasks, communications must be defined in advance and consistently delivered. Most importantly, ET must consider and employ change management best practices to ensure the new processes are what the customer needs and willing to use.

ET, SAITS and I&IT must be partners, yet each must be distinct. A positive, working relationship with SAITS and I&IT is critical to ET's success. I&IT and SAITS have important responsibilities, data, information, relationships, and connections that ET will need to leverage to achieve its department and Enrollment Cluster goals. Management will expect that ET, I&IT and SAITS work closely together to address critical IT issues to support the university.

ET is a relatively new organization, but has shown great progress and potential over the short few months since forming in September 2008. ET is in a pivotal position to support the Division of Student Affairs and the Enrollment Cluster department's move towards a value-added organization linking strategy to effective tactical operations.