

## **UAF Chancellor's Task Force: Policies & Procedures (FY19-20) Final Report**

### **Committee Membership (\*Co-Chairs):**

\*Bill Schnabel, CEM  
\*Nicole Cundiff, SOM  
Karen Jensen, Library  
Phil Harrington, IAB  
Scott Rupp, IARC  
Cecelia Chamberlain, CRCD  
Rich Collins, GI-CNSM  
Julie Queen, Administrative Services/Finance  
Mary Schrage, Administrative Services/HR  
Holly McDonald, Student Affairs/Registrar  
Laura Conner, GI

### **Charge:**

Consider what UAF or System-level policies and procedures are unnecessarily burdensome and could be modified to create efficiencies?

### **Philosophy Statement (DRAFT):**

The Committee strove to consider the rationale behind policies or procedures in place now that may be burdensome. In consideration of the fiscal climate, this Committee took a thoughtful approach to reduction of administration for oversight, while recognizing that a compliance function must be maintained at an appropriate level. Where policies/procedures appeared to be created in a low risk environment or assert internal control in a way that is prohibitive to the business of the university, this group worked to minimize excess scrutiny based on balance of risk.

### **In Scope: UAF Internal & UA System BOR Procedures/Policies**

The Committee focused on major impediments to UAF internal processing, considering ease of ability to change, ownership of the policy/procedure, and impact of change as it relates to the [Chancellor's Strategic Goals \(6\) for UAF](#). The Committee also focused on barriers that exist within UA Board of Regent's Policies, Procedures or Regulation that, if changed, may improve achievement of these strategic goals/mission and [UA metric targets 2017-2015](#).

### **Out of Scope: Major Policy Items that Require Decision - Already in Progress**

The Committee has been instructed to not put additional effort into items that are already moving through other shared governance or UA System committees for improvement. These items are however, important to note, as decisions or delegation of authority is required, and must be completed with urgency to ensure successful change can be implemented. Without decisions in these areas, these major policy/procedural differences will continue to hinder other alignments or collaborations between sister-campuses.

- Common definition and use of a class hour (50 or 60 minutes)
- Instruction over a 5-day week, i.e. instruction on Fridays
- Alignment of fee payment schedules across MAUs (**SEE APPENDIX 1**)

## **Recommendations:**

During the course of deliberations, the committee noted that potential policy changes are frequently imagined during the normal course of business throughout the year. Thus, we recommend collecting suggestions/recommendations over a longer period of time from a wide variety of sources. Then, on a regular basis (e.g., annually), a small committee could review the items in the repository for potential action.

Per the charge noted on Page 1, the current Policies and Procedures Task Force collected suggestions from committee members and/or their colleagues for review. The exercise resulted in a long list of potential changes that was subsequently narrowed down to the list of 20 potential actions listed in the table on the following pages. The list was further refined through a prioritization process as follows:

The relative impact of an action was rated based upon the predicted time/money savings. A value of 1 indicated the most time/money saved, whereas a value of 3 indicated a relatively smaller impact. The ease of implementation was also evaluated, with a value of 1 indicating a relatively easy implementation, and a value of 3 indicating a more arduous implementation. The Relative Impact value (1-3) was then added to the Relative Ease value (1-3), resulting in a Priority value potentially ranging between 2 and 6. The actions resulting in the lowest Priority value were considered to be the highest priority, and are listed at the top of the table. In the table, each Priority value is indicated by a different background color, although the Priority values themselves are not shown. No attempt was made to prioritize the individual actions with a similar Priority value, thus they are denoted by letters rather than numbers.

Per the charge, the task force sought to correlate the recommended actions with the Chancellor's Strategic Goals and/or the UA Goals & Measures 2017-2025. The corresponding Chancellor's Strategic Goals and/or UA Goals are indicated in the table according their number:

### Chancellor's Strategic Goals

1. Modernize the student experience
2. Solidify our global leadership in Alaska Native and Indigenous programs
3. Achieve Tier 1 research status
4. Transform UAF's IP development and commercialization enterprise
5. Embrace and grow a culture of respect, diversity, inclusion and caring
6. Revitalize key academic programs

### UA Goals & Measures

1. Contribute to Alaska's economic development
2. Provide Alaska's skilled workforce
3. Grow our world class research
4. Increase degree attainment
5. Operate more cost effectively

Finally, the task force attempted to indicate ownership of the policy/procedure to provide guidance regarding who would potentially enact the recommended changes:

	<b>Impediment/Policy</b>	<b>Relative Impact</b>	<b>Relative Ease</b>	<b>UAF Goals</b>	<b>UA Metrics</b>	<b>Ownership</b>	<b>Notes</b>
<b>A</b>	P05.10.025 Simplify residency requirements to align with State of Alaska PFD.	1	1	1	5 4	BOR	May lose some non-resident tuition revenue; must be coupled with improvements in financial aid leveraging/scholarship awards.
<b>B</b>	Hiring adjuncts; process for hire used to be streamlined, now additional oversight and required committee process is arduous and no longer fits the hiring need - process must be quick and flexible.	1	1	5	5	HR	
<b>C</b>	Hiring software automatically notifies employment candidates prematurely of status; needs to happen after successful candidate has accepted job.	1	1	5	3	SWHR office	This would ask SW to set the default to not send out a notification rather than default it to send out a notification. If this is unable to be done then we should ask for a new business platform that is all inclusive in one.
<b>D</b>	60-Day Cost Transfer Memos (Revise or Eliminate) - currently in discussion in JV Workflow automation project	1	1	3	5	OGCA	
<b>E</b>	CAS exemption form/2 CFR 200.413 - form is manual and may benefit from fewer levels of approval	1	1	3	5	OGCA	
<b>F</b>	Employee recognition raise the immediate bonus level to \$1000 informal threshold; streamline processing and contribute to employee morale.	2	1	5		Chancellor UAF Policy 04.05.001	<a href="https://www.uaf.edu/chancellor/initiatives-and-policies/policy/04.05.001.php">https://www.uaf.edu/chancellor/initiatives-and-policies/policy/04.05.001.php</a>

	Impediment/Policy	Relative Impact	Relative Ease	UAF Goals	UA Metrics	Ownership	Notes
<b>G</b>	Faster processing of applications by integrating automatic test score visibility for SAT and GREs; utilize existing systems and Salesforce platform (EnrollmentRx) to reduce manual input.	1	2	1	5	Banner issue	
<b>H</b>	Training requirements for employees are too lengthy and do not align with roles/responsibilities. Especially important for short term employees.	1	2	5	5	HS&RM /Chancellor UAF Policy 04.07.010	<a href="https://www.uaf.edu/safety/training/required-training.php">https://www.uaf.edu/safety/training/required-training.php</a> <a href="https://www.uaf.edu/chancellor/initiatives-and-policies/policy/04.07.010.php">https://www.uaf.edu/chancellor/initiatives-and-policies/policy/04.07.010.php</a>
<b>I</b>	Fee payment policy needs alignment across UA; financial aid disbursement deadlines must be aligned at earliest possible date.	1	2	1	4 5	President	
<b>J</b>	Human Resources Job Forms (Revise)	2	2	5	5	SWHR	Smart matrix needed, signatures and format is time consuming and inefficient. Less hands on applications needed. Potential for automation.
<b>K</b>	P02.07.030. Objectives for Management of Information Resources - A policy change that is expected to replace Banner ( <b>SEE APPENDIX 2</b> )	1	3	1	5	BOR	We have many other systems to do what our current system is unable to do thus OIT is stretched thin just in maintaining systems. This update would help us to remain relevant in the IT industry in delivery of our services to all customers both internal and external.
<b>L</b>	Process for Articulation Agreements/Academic Service Agreements (ASA) is inconsistent and cumbersome; fewer approvals needed.	3	1	6	4	Provost	

	Impediment/Policy	Relative Impact	Relative Ease	UAF Goals	UA Metrics	Ownership	Notes
<b>M</b>	Once hired people can't start due to poor onboarding procedures; manual data entry required because systems are not integrated as planned.	1	3	5	5	SWOIT	The systems we use for recruitment, hiring, and getting employees set up reside in multiple systems that do not communicate with one another is labor and time intense.
<b>N</b>	Flexibility in non-retention notifications for term contracts; internal practice is manual and labor intensive for notification of term employees.	3	1	n/a	5	BOR P04.04.047 - Faculty UNAC CBA - 9.4.2 R04.01.050.D - Staff	Term funded employees are given a contract with an end date. For term funded faculty (i.e. research faculty), the notification period for non-renewal is governed by the UNAC CBA and BOR Policy. For non-faculty employees, there is no notification period for non-renewal other than the contract end date required (see R04.01.050.D). However, it has been the practice at UAF to require 4 weeks written notice of non-renewal for non-faculty term employees. If the written notice is not given prior to the end of the contract period, a unit's fund 1 may have to cover salary during the additional 4 week notification period. This additional notification period can be administratively burdensome during uncertain budget times as multiple notifications might be required until the funding issue is resolved.
<b>O</b>	Out of state workers processing is done annually instead of done based on length of job contract; process should be streamlined with fewer signatures for approval and should only require renewal upon substantive change in contract. <a href="https://uaf.edu/uafhr/resources/">/https://uaf.edu/uafhr/resources/</a>	2	2	n/a	5	SWOIT/HR	The current Banner system does not meet our daily business automation needs.

	Impediment/Policy	Relative Impact	Relative Ease	UAF Goals	UA Metrics	Ownership	Notes
P	Incentives for commercialization are needed. Processing IP is overly cumbersome/SW handling of the process at legal is too lengthy - streamline.	2	2	4	1	Alaska Center Ice-OIPC	<a href="https://alaska.edu/centerice/">https://alaska.edu/centerice/</a>
Q	Current policy around use of endowment funds is too broad for fundraising strategy to be effective. Administration around management/expenditure of gifts is high, and value of awards may be low. Endowment structure/strategy must be adjusted to allow for more flexible management/less oversight. Revise scope of the endowment.	1	3	4	1	UA Foundation and Development /Chancellor	
R	Interdisciplinary program development is hampered at the department level. Departments do not get as much "credit" for cross- and inter-disciplinary programs, so there is a lack of incentive to develop them.	2	3	1 3 6	2	UAF Provost /Faculty Senate	Modify Academic Course and Procedures Manual (or Courseleaf) to allow joint sponsorship of cross-disciplinary programs. This would not solve everything, but would help foster joint ownership of the interdisciplinary programs.
S	P04.07.040. Corrective Action. Supervisors do not have clear management expectations; HR has limited ability to provide guidance for supervisors. <b>(SEE APPENDIX 3)</b>	2	3	5 7	5	BOR	Better define and set expectations, train supervisor in cost effectiveness of addressing behavior that is a distraction from core mission and negatively impacts others or teams.
T	Reduce the number of approvals needed to change grades (faculty)	3	2	1	4	Faculty senate/provost	

## Appendix 1

### **UAF Proposal: Alignment of Fee Payment Deadlines Across Institutions Submitted to A. Prakash for Academic Council 2/15/19**

**Benefits to UA Students** As more students continue to take courses via eCampus, or from multiple campuses with multiple payment deadlines, alignment will reduce confusion, improve communications, and better serve our student body.

**Alignment Strategy & Proposal** Beginning in fall 2019, UAF will revert to UAF's original payment deadline of the second Friday of the semester, coinciding with the add/drop deadline. All three campuses will now be aligned for the add/drop deadline and UAF and UAS will be aligned with the fee payment deadline.

UAF proposes that UAA align with the current UAF/UAS fee payment deadlines (i.e. revert to UAA's original fee payment deadline, one week earlier) to achieve alignment of this processing, making for more seamless communications with students across the UA System.

**Background** It is a common standard in higher education that student payment occur prior to the start of a semester, or align with the add/drop period (last day to drop at 100% refund or add with no fees or approvals). There is typically a 1-2 week window prior to the start of the term for payment, and some institutions offer extensions based on appropriate justification from the student, but are rare. Payment plans are common. The UAF Bursar's Office has surveyed other institutions (via list serve) and received feedback directly, validating this standard.

UAF is generally more liberal with respect to payment policies as a means to attract and retain students, and accommodate students with third party payers that may have different payment schedules, where needed. UAF's payment deadline was historically the second Friday of the semester. This allowed students to attend class for about a week and decide if the classes were a good fit before dropping (at 100% refund) or paying/enrolling in a payment plan.

Several years ago, in an attempt to align calendars across the UA System, UAF partnered with UAS and an agreement was made to move the payment deadline to the following Monday to also coincide with UAA's existing deadline. Unfortunately that same year, UAA chose to move their deadline out one more week, perpetuating the misaligned structure and pushing student payment deadlines farther into the academic year for UAA students. UAF now strives to communicate more in advance of major changes that may impact the student experience across the UA System and proposes alignment with the current UAF/UAS timeline.

**Differences in Processing at UAA & UAF/UAS** UAF/UAS post all aid ten days before the first day of classes in an effort to get financial aid overages refunded to students so they have funds available for expenses such as books and rent. UAF experiences a significant student outcry if daily posts reflecting accurate aid balances are not made and to date, UAF and UAS work to prioritize staff time to accommodate this student need. student refunds have been an area where process improvement teams have been tasked to release funds to students earlier, therefore moving this deadline later would not meet the student

request for improved service.

UAA posts the APS and other non-Title IV aid after the add/drop period each semester so students will not receive a refund if they drop their classes. This is roughly one month into the semester. UAA Financial Aid cites capacity issues associated with staffing as the primary reason posting aid earlier cannot be accomplished.

*Current UAF & UAS Spring 2019 timeline:* Financial aid is disbursed Friday, Jan. 4 Residence halls open, 8 a.m. Friday, Jan. 11 Orientation for new students Friday, Jan. 11 First day of instruction Monday, Jan. 14 Alaska Civil Rights Day (no classes, most offices closed) Monday, Jan. 21 Deadline for adding classes and late registration Friday, Jan. 25 Last day for student- and faculty-initiated drops with refund Friday, Jan. 25 Last day for tuition and fee payment Monday, Jan. 28

*Current UAA Spring 2019 timeline:* Title IV Financial aid is disbursed Friday, Jan. 4 First day of instruction Monday, Jan. 14 Alaska Civil Rights Day (no classes, most offices closed) Monday, Jan. 21 Deadline for adding classes and late registration Friday, Jan. 25 Last day for student- and faculty-initiated drops with refund Friday, Jan. 25 Last day for tuition and fee payment Monday, Feb. 4 APS, Foundation scholarships. other non-Title IV aid disbursed beginning Feb. 4

UAF proposes UAA align with the current UAF/UAS fee payment deadlines effective for Fall 2019.



## **Appendix 2 – Proposed changes indicated in red**

### Part II Administration

#### **Chapter 02.07. Information Resources**

##### **Current P02.07.030. Objectives for Management of Information Resources**

Information resources shall be managed in a manner that will:

- A. respect First Amendment rights and privacy, including academic freedom;
- B. reasonably protect against misrepresentation, tampering, destruction, liability and theft of intellectual efforts;
- C. maintain the integrity of university information resources;
- D. allocate finite resources based on prioritized needs; and
- E. protect the confidentiality of sensitive data collected under research grants and contracts with outside agencies.

(02-18-00)

##### **Current R02.07.030. Objectives for Management of Information Resources.**

- A. Information resources regulations and the MAU rules and procedures based on them are intended to foster an environment that will:
    - 1. respect First Amendment rights and privacy of persons, including academic freedom;
    - 2. reasonably protect against misrepresentation, tampering, destruction, and theft of intellectual efforts;
    - 3. maintain the integrity of university information resources;
    - 4. allocate finite resources based on prioritized needs; 02.07 8 Information Resources
    - 5. protect the confidentiality of private, sensitive and restricted information, including research data as well as university information;
    - 6. satisfy requirements for privacy and confidentiality of data arising from grants or contracts with external entities such as foundations, corporate partners, or government agencies, and relevant laws;
    - 7. facilitate and enhance communication, collaboration, and sharing of information in support of the academic mission of the university;
    - 8. not be interpreted to impair employee rights to intellectual property; and
    - 9. minimize legal liability of the university related to information resources. B.
- Consideration of these objectives is appropriate in resolving issues not expressly governed by university regulation or MAU rules or procedures.

(01-31-01)

##### **Add to P02.07.030. Objectives for Management of Information Resources**

Information resources shall be managed in a manner that will **support strategic initiatives and streamlined business processes of the university. This modernized, all inclusive system will meet industry & internet standards of best practices. The system will keep up with evolving technological advances to ensure customers receive the best experiences and uniform services while meeting all business processes improvement needs. In addition, information resources will:**

- A. respect First Amendment rights and privacy, including academic freedom;
- B. reasonably protect against misrepresentation, tampering, destruction, liability and theft of intellectual efforts;

- C. maintain the integrity of university information resources;
- D. allocate finite resources based on prioritized needs; and
- E. protect the confidentiality of sensitive data collected under research grants and contracts with outside agencies. (02-18-00)

**Add to R02.07.030. Objectives for Management of Information Resources.**

- A. Information resources regulations and the MAU rules and procedures based on them are intended to foster an environment that will support strategic initiatives and streamlined business processes of the university. This modernized, all inclusive system will meet industry & internet standards of best practices. The system will keep up with evolving technological advances to ensure customers receive the best experiences and uniform services while meeting all business processes improvement needs. In addition, information resources will:
  1. respect First Amendment rights and privacy of persons, including academic freedom;
  2. reasonably protect against misrepresentation, tampering, destruction, and theft of intellectual efforts;
  3. maintain the integrity of university information resources;
  4. allocate finite resources based on prioritized needs; 02.07 8 Information Resources
  5. protect the confidentiality of private, sensitive and restricted information, including research data as well as university information;
  6. satisfy requirements for privacy and confidentiality of data arising from grants or contracts with external entities such as foundations, corporate partners, or government agencies, and relevant laws;
  7. facilitate and enhance communication, collaboration, and sharing of information in support of the academic mission of the university;
  8. not be interpreted to impair employee rights to intellectual property; and
  9. minimize legal liability of the university related to information resources. B.

Consideration of these objectives is appropriate in resolving issues not expressly governed by university regulation or MAU rules or procedures. (01-31-01)

**Impacts this policy change would have:**

- **Pro:** This would reduce both operational cost and liability.
- Modernize the business processes across functional areas
- Decrease system maintenance time due to decrease number of systems operating.
- Eliminate multiple manual data entry via multiple systems that are not compatible.
- All Data would be all in one system rather than multiple fragmented systems that may or may not have comparable data for cross checking or aligning with appropriate individuals. Eliminate the need to keep two versions of one product operational and multiple other systems purchased to do what

Banner is unable to do. (MyUA, Onbase, Banner 8 and Banner 9.x, that HR is currently aware of)

- It would assist us to maintain our world-class status and reputation and help us to know if we are on target to meet operational goal and standards and have a platform that supports modern online services to both our employees and students.
- Potential to track to see if departments meet the operational goals and metrics in real time for tracking daily, weekly, monthly, quarterly, and yearly benchmarks.
- Allow the viewing of appropriate data at every level of the organization to connect all employees to the larger picture of the institutional mission, vision and goals and how they contribute to the business success.
- Allow for alignment of work across all areas to be aligned to meet vision, mission and goals of UA to increase the speed and harness the power of all moving in an organized, deliberate, and directional manner.
- Should support better tracking of all training and Performance Evaluations
- Allow the university to have a system to track Volunteers and contract workers.
- **Con:** will take an initial investment of money and people to set up on the front end.

## Appendix 3 – Proposed changes indicated in red

### Part IV Human Resources

#### Chapter 04.07 - Employee Relations

##### **Current P04.07.040. Corrective Action.**

- A. Supervisors will apply necessary and appropriate corrective action whenever an employee fails to meet the required standards of conduct or performance. Corrective action may be necessary because of employment related problems, including but not limited to: inattention to duty, unsatisfactory performance, insubordination, absenteeism, violation of law, Regents' Policy, or University Regulation, dishonesty, theft or misappropriation of public funds or property, inability to work effectively with others, fighting on the job, acts endangering others, inappropriate behavior toward or harassment of others, bullying or other misconduct.
- B. Corrective actions may include: formal discussion, written communications detailing performance and behavior standards and expectations, written reprimands, which are sent to the official personnel file, disciplinary probation, suspension, dismissal, or any reasonable combination of these or other actions.  
(09-19-14)

##### **Proposed P04.07.040. Employee Conduct and Corrective Action**

- A. **Supervisory employees are expected to train, guide, mentor, and provide timely feedback and corrective action to subordinate employees as necessary to ensure a professional and productive workplace.**
- B. When an employee fails to meet required standards of conduct or performance as **delineated in Regents' Policy and University Regulations or any additional departmental requirements, the employee's supervisor shall promptly seek guidance from the appropriate Major Administrative Unit Human Resources Office** regarding any necessary and appropriate corrective action. **Upon a report of potential employee misconduct, the appropriate Major Administrative Unit Human Resources Office will evaluate the alleged misconduct, determine any appropriate corrective action, and coordinate with the supervisor or department to implement this action.**
- C. Inappropriate employee conduct which may require corrective action includes, but is not limited to: inattention to duty; unsatisfactory performance; unduly disruptive behavior; insubordination; absenteeism (including tardiness); violation of law, Regents' Policy, or University Regulation; dishonesty; theft, misappropriation, mishandling, or unauthorized destruction of public property or funds; inability to work effectively with others; fighting on the job; violence or threats of violence; acts endangering others; recklessness; **working under the improper influence of any substance that causes impairment**; inappropriate behavior toward or harassment of others; bullying, sabotaging, or other repetitive or serious unwarranted targeting behavior; **misuse of power; failure to take appropriate supervisory action**; or other misconduct.

- A. Corrective actions may include, but are not limited to: formal discussion; written communication detailing performance, behavior standards, and expectations; written reprimand copied to the official personnel file; disciplinary probation; suspension; dismissal; or any reasonable combination of these or other actions.

**Impacts this policy change would have:**

- **Pro:**Reduced operational cost and liability.
- Reduced time expended by supervisors addressing employee performance or conduct.
- Increased time expended by supervisors on priority business needs of the institution.
- Increased consistency in implementation of corrective actions across the institution.
- Increased cooperation between supervisors and Major Administrative Unit Human Resources Offices.
- Increased awareness of employee performance and conduct expectations.