Activity Team Updates

Strategy Retreat
September 18, 2014
O-4 Update

• Working Teams
  – Theresa Todd for Financial Request/Commitment
  – Christy Conrad for Electronic Authorization

• Approval for Financial Commitment Process
O-4 Update
Financial Request/Commitment
O-4 Financial Request & Commitment

Deliverable: Develop a consistent and uniform process to document and process financial requests & commitments

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<th>Milestones &amp; Responsibility</th>
<th>Aug</th>
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<th>Nov</th>
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<td>Policy/Process – COLT Approval* (Todd)</td>
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Sponsor: Barb Powers
Project Leader: Scott Novogoratz
Scope: Inter and intra departmental transfers
Metrics: 1) Number of Requests and Commitments, 2) Number of Proper Requests and Total Requests, 3) Total $ Requested and Total $ Committed
Challenges: Summer vacations and year-end
Recommendations:
Updated: Sep 8

Key to Timeline Colors -  
- **Done**  
- **On Target**  
- **Intervention Needed**  
- **Missed Deadline**
Strategic Objective: Optimize financial processes to increase efficiency and enhance communication

Measure Intent: To assess if the process is used consistently throughout the College

Financial Requests & Commitments Count

Measure Owner: TBD

Measure Description: 1) Number of Requests and Commitments

Formula: Total Number of Requests Completed and Total Number of Commitments Completed

Target: Match Number of Requests to Commitments & Proper Requests/Total Requests

Analysis:

Recommendations:

Updated: Sep 8
O-4 Update

Financial Request/Commitment

Policy:
- Negotiated
- Recorded
- Approved
- Tracked
Commitment Flow

Input → Requesting Dept. Approval → Funding Dept. Approval → Database Updated
The Scope
CVMBS Commitment Tracking Policy

Colorado State University

Title: CVMBS Commitment Tracking

Procedure ID:

Effective Date:

Note: DRAFT

1. Procedure Purpose:
The purpose of this procedure is to describe the College of Veterinary Medicine and Biomedical Sciences (CVMBS) guidelines for tracking and recording commitments.

2. Application of Procedures:
All departments within the College of Veterinary Medicine and Biomedical Sciences (CVMBS) as well as Colorado State University (CSU) central administrative units negotiate and commit funds for financial and strategic plan purposes. Commitments are established for position lines, startup research packages, support of educational programs, F&A distribution and various other needs.

A commitment process and automated system effectively tracks these agreements enabling better budgeting, planning and operational measurements within and between units. The commitments reside in a common shared database for use and access of all departments within CVMBS to eliminate duplicate tracking and effort.

3. Definitions:
Commitment: Promised obligation approved by a funding department to a requesting department.

Database: A comprehensive collection or related data organized for convenient access in a computer. In this case the database is for a commitment tracking system.

SharePoint: A web based Microsoft product which allows a secure place to store, organize, share and access information from almost any device.

College Commitment Form (CCF): Paper Form for internal CVMBS commitments within and between departments.

Institutional Commitment Form (ICF): Paper Form for commitments with the Vice President of Research.

Prevost Funding Agreement: Paper Form for commitments with the Provost Office.

Memorandum of Understanding (MOU): A written agreement between two parties outlining a negotiated commitment.

Key Personnel: Define key personnel and establish approval responsibilities

4. Procedure Statement:
The divisions of activities are as follows:

a. Establish Commitments
b. Enter commitments into database
c. Print & route for signature
d. Collect signed documents/scans upload supporting document(s)

a. Establish Commitments
Key personnel will establish the commitments through joint collaboration and negotiation between the parties involved. An MOU may be prepared to provide more details and facilitate understanding of the commitment negotiated.

b. Enter commitments into database
After the commitments are negotiated, it is the responsibility of the parties involved to provide the information to the department business officer. The business officer will input the commitment information into the SharePoint database. The SharePoint input form replaces the College CCF paper form and will route electronically to the appropriate parties for review and approval. The commitment is stated as negotiated and funds are committed.

c. Print & Route for Signature
Depending on the type of commitment, current Colorado State University (CSU) policies and procedures require specific forms and signatures. Currently, Central
d. Collect signed documents/scan & upload

Once all paper documents are completely signed and finalized, the document is uploaded to the Sharepoint database as part of the commitment record. The Central paper documents are returned to the College Office Finance department. The Finance department is responsible for scanning and uploading the forms to the database. Hard copies will be filed.

5. Exceptions:
   N/A

6. Procedure Review Process:
   This Procedure will be discussed and updated as appropriate.

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**Review and Approval**

College Administrative Advisory Team: ____________________________

Dean’s Advisory Team: ____________________________

Executive Council: ____________________________

Approval: ____________________________ Date: ____________________________
Proper Requests Compared to Total Number of Requests

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<tr>
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<th>FY 2015 Q1</th>
<th>FY 2015 Q2</th>
<th>FY 2015 Q3</th>
<th>FY 2015 Q4</th>
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<tr>
<td># of Proper Requests</td>
<td>0.4</td>
<td>0.5</td>
<td>0.7</td>
<td>0.6</td>
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<tr>
<td># of Requests</td>
<td>0.9</td>
<td>0.8</td>
<td>0.7</td>
<td>0.6</td>
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Measure Owner: TBD

Measure Description: 1) Number of Proper Requests and Total Number of Requests

Formula: Proper requests are those entered into the system by someone other than the Finance group

Target: Ideally, 100% of all requests submitted by person making the request

Analysis:

Recommendations:

Updated: Sep 8
Strategic Objective: Optimize financial processes to increase efficiency and enhance communication

Measure Intent: To assess if the process is used consistently throughout the College

| Measure Owner: TBD |
| Measure Description: $ Requested compared to $ Committed |
| Formula: Total $ of Requested Completed and Total $ Committed |
| Target: TBD |
| Analysis: |
| Recommendations: |
| Updated: Sep 8 |
O-4 Electronic Authorization Process

Deliverable: Build 5 prototype (proof-of-concept) forms to be used for electronic authorization of common processes.

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Sponsor: Barb Powers
Project Leader: Scott Novogoratz
Scope: Annual Leave Request, Conflict of Interest, Oracle/People Admin Access, Off-Cycle Salary Increase, Vista Access, Biweekly Time Sheet forms
Metrics: Process Satisfaction Survey
Challenges: Integration when documents go outside College; e.g., Conflict of Interest form, Vista Access
Recommendations:
Updated:
Electronic Authorization Policy

Colorado State University

College of Veterinary Medicine and Biomedical Sciences

Title: Electronic Authorization Process
Policy ID: ADM001-2014.1
Effective Date: 9/01/2014
New Policy

1. Policy Purpose

To outline the purpose for and provide guidance in using the electronic authorization and electronic signature management system (ESMS) identified by the college to replace paper-based authorizations.

2. Governance

The College Strategy 0-4 Activity Team will serve as an advisory group to the Executive Council for making final decisions regarding implementation, funding, and revisions.

3. Application of Policy

This policy applies to all CVMS personnel.

4. Exemptions

While exemptions from this policy are assumed to be limited, they will be addressed individually based on the circumstances presented to the governing body.

5. Definitions

Electronic Authorization – authorization through an identity authenticated individual, such as an individual’s CSU ID or an individual’s authenticated signature

ESMS: Electronic Signature Management System, also known as eSignature, which applies an individual’s authenticated signature to an electronic document.

Electronic Signature – signature completed through an ESMS.

Paper-Based Processes – those requiring authentication by an individual.

6. Policy Statement

It is the intention of the College of Veterinary Medicine and Biomedical Sciences in partnership with Colorado State University Administration to streamline and make more efficient the multiple manual processes that require authorization. It is the belief of the College that moving these processes to an automated or digitized workflow will aid in the accomplishment of this goal. Therefore, manual processes will be evaluated for appropriateness to include in the identified electronic authorization management platform. College operations groups will lead the efforts for processes in their specific areas, including gaining University permission to use electronic signatures for processes requiring such approvals. Within departments, identified staff will lead the efforts for processes specific to their departments, including gaining approval from the Department Head and any other body associated with that internal process. New processes will be communicated department and college wide depending on the relevancy of the process, mobilizing the expertise of both the communications and information technology specialist groups.

Through migration to an electronic based workflow, anticipated resulting benefits include a streamlined process for users, conserving time, and appropriate resource allocation. Additional benefits could also result:

A. The opportunity to use authentication when a physical signature is not required and provide the capability for a physical signature when required.

B. When an authorization request is in process, create the ability to determine which step is awaiting action and by whom.

C. When an authorization request needs to be changed, permit changes to be made more easily, including delegated authorization as appropriate.

D. Partnership with CSU’s initiatives to avoid duplication of efforts, time and resources.

7. Communication

For each paper-based process that is replaced, the paper forms (and associated process) will no longer be accepted unless specifically allowed through the exemption process outlined above. Migration and changes will be communicated and the transitions will preferably occur in a phased approach.

8. References
Adobe EchoSign White Paper: "Using an e-signature solution to save time and money."

9. Forms and Tools

The current ESMs accepted tool is DocuSign. To optimize resources and efficiency, other ESMs will not be endorsed. This does not change the ability for employees to manage their own email signatures with a tool of their choice.

Review and Approval

Approval:

_______________________________ Mark D. Stetler, Dean __________________________ Date

Policy Title: Electronic Authorization Process ID: ADM001:2014.1
Page 2 of 2
O-4 Electronic Authorization Process

Strategic Objective: Optimize processes to increase efficiency and enhance communication

Measure Intent: To assess if the process saves time and improves efficiency

Measure Owner:

Measure Description: Satisfaction survey for: 1) Understandable, 2) Speed, 3) Efficiency and 4) Error Free

Formula: Likert scale

Target: College Office Proof of Concept participants

Analysis:

Recommendations:

Updated: