Division PBA Request Order

- Finance & Administration
- Finance/GRAMA Office
- Facilities/Planning
- Athletics
- Information Technology
- Emergency/Risk Management
- Internal Audit
- University Compliance
Finance & Administration Request

Associate Director, Contract Management

- Associate Director – Contract Management. Responsible for preparing, examining, analyzing, negotiating, and revising contracts on behalf of the University. This includes coordinating with the contracting department, legal counsel, purchasing personnel, and other campus departments. The contract manager is responsible for managing all phases of the contract cycle.

Salary $43,811
Benefits $27,561
Total $71,372
Associate Vice President
Mike Francis

FINANCE PBA
12/03/2014
Introductions

Ked Black
Controller

Val Brown
Director, Dining Services

Ryan Lindstrom
Director, Procurement Services

David Scott
Director, Printing Services

Louise Bridge
Director, Bookstore

Katy Huntsman
Jr. Accountant

Associate VP of Finance
Current Capital & Travel Budget Increase

- Necessary in order to adequately maintain vehicles and equipment
- Needed to procure necessary office supplies, equipment, and software
- Will provide opportunities to staff to attend conferences and workshops to increase their knowledge and abilities

Requesting $19,315
Associate Director’s Salary

- Currently the Associate Director’s salary comes from a mix of appropriated funds and soft funding.
- If the source of the soft-funds decreases, the ability to continue to fund this position is frustrated.
- Requesting an increase in appropriated funds to secure our Associate Director’s salary.

Requesting $17,137
Full-time Purchasing Clerk

- Converting part-time position to full-time
- Provide continuous, stable support both for purchasing staff and other University employees
- Improve purchasing’s ability to provide excellent customer service
- Provide training to University employees
- Purchasing office personnel would benefit from having stable full-time support

Requesting $35,172
Full-time Clerical Position

- Help in day-to-day Surplus operations
- Provide excellent customer service and continual clerical support
- Answer the phone for Surplus
- Manage the paperwork
- Provide support to the staff

Requesting $42,659
Building space currently used on campus

- **Current Square Footage**
  - Surplus Warehouse: 10,196
  - Printing Services: 7,241
  - Bookstore Warehouse: 4,622
  - Mail Room: 1,107
  - **Total:** 23,166

- A warehouse this size would leave no room for the growth of the operations listed

- A new warehouse building would allow for the reallocation of current space for academic use
New 30,000 sq. ft. Warehouse building

- A new 30,000 square foot warehouse building
- To house University Receiving/Warehouse, Mail Room, Surplus, Bookstore Receiving/Warehouse, Archives, Computer Shop, Printing Services
- It will provide 6,834 additional space for current operations of listed departments

Requesting $3,360,000
New 40,000 sq. ft. Warehouse building

- To house University Receiving/Warehouse, Mail Room, Surplus, Bookstore Receiving/Warehouse, Archives, Computer Shop, Printing Services
- It will provide 16,834 additional space for current operations of listed departments
- Allows for growth and adds value while building for UVU’s future

Requesting $4,480,000
E-Procurement Solution (SciQuest)

- USU – currently using
- WSU and U of U currently implementing
- Simplified user interface
- Enables end-to-end electronic transactions directly between departments and suppliers, including electronic payment.
- Provides electronic approvals for current paper workflows and contracts
- Electronic marketplace – multiple vendors all in one place (much like Amazon.com)
- Detailed spend analysis reports

Requesting $75,000 on-going funds
$250,000 one-time funds
Dining Services Senior Accountant

- Responsible to the Dining Services Director
- Accountable for all business process of the organization
  - Inventory control
  - Pricing
  - Accounts Payable
  - Sales Reconciliations
  - Tracking and reporting financial activities by location
- Budgeting, forecasting, and reconciling the Controller’s office financials

Requesting $85,090
Expansion of Food Services

- Add 1550 square feet of food services space
- 900 square feet on 2\textsuperscript{nd} floor and 650 square feet on the main floor
- This will allow the department to reach its goals of meeting the needs of the growing University
- No additional space has been given since 2008
- Non Appropriated funds

Requesting $950,000
Scoops in Classroom Building

- Adds support with academic needs and provides a connection with the campus through School Spirit
- Offers resources to students in the new classroom building
- Provides a meaningful and well rounded university experience

Requesting $110,000
Scoops in Health Professionals Building

- Assist the students at the Health Professionals Building
- Helps with academic needs and provide a connection with the campus through School Spirit
- Need to meet with facilities to decide on space and costs

Requesting $50,000
Questions?
PACE advocates for and recognizes staff by providing a unified voice to the campus community, social and service opportunities, and support for professional development.
Our Objectives

☑ Advocate
☑ Unify
☑ Communicate
☑ Involve
Advocate for staff by representing and advancing their interests and recognizing the value of their contributions.
Advocate

Goals

• Increase funding to meet forecasted needs to assist more staff with Professional/Educational Development

• Increase nominations for Wolverine Sightings and PACE Distinguished Employee

• Attend and advocate for staff at Utah Higher Education Staff Association (UHESA) and university committee meetings
$700 for Recognition

To cover increased costs:

- Cost increases for Plaques & Award Notification for Distinguished Employee Award Winners
- Gift Cards for Wolverine Sightings Winners
- Maintenance of the PACE Recognition Wall
Unify the diverse groups of staff across campus toward common goals in alignment with the university mission.
Unify

Goals

- Increase involvement in Service Projects and usage of Volunteer Hours
- Increase participation in Staff Fall Forum and PACE Holiday Social
- Increase inclusivity of membership on the PACE Board and activity in PACE
Yes, we have seen an increase in student involvement and attendance this semester. I have heard countless comments about students enjoying seeing the increase of UVU apparel and especially those Wolverine Pride Pennants. I believe there is a correlation between the increase in student involvement and the efforts among many on campus to inspire UVU pride, specially the work being done with Wolverine Pride.

~Mallory Wallin

I think the impact is very apparent on campus, I love walking around and seeing pennants on the walls. I cannot quantify this but the number of students and employees wearing green seems to be on the rise. UVU is a big ship and it takes tremendous effort to change its course but I truly believe that the effort of the committee is making a difference in the outward expression of school pride.

~Curtis Puzy

I think the simple number of shirts being worn especially on Wed is a huge change. When I got my flu shot on Thursday and as I was waiting in line and chatting with others they said “today everyone is wearing a shirt and tie but yesterday everyone was wearing a green shirt”. We then discussed it but even to them it was obvious. I know in my area, many faculty are wearing them once a week as well. Great thing to see and very tangible I would say.

~David Connelly

I know I can speak for my mentors and the effect I have seen this initiative have on them. There is definitely a buzz I feel on campus and my mentors have gotten really into it! We have had students come in about every week to pick up swag from being cited. I think our efforts have helped tremendously. I love driving around Orem and seeing the UVU flags and I see more and more UVU apparel being worn on campus.

~Gretchen Palmer
$2,000 for Social Food Costs
- Holiday Social and Staff Fall Forum food cost inflation and attendance

$3,000 for Kids Club (Wolverine Pride)
- Kids Club has grown to well over 1,000 members (over 200 at Nov. 14 game)
- Funds needed to cover induction costs

$10,000 for Wolverine Pride
- Operating funds to improve participation, increase events and activities, and provide Pride items
Communicate with administration and staff by providing a forum for the exchange of information.
Communicate

Goals

• Continually update the PACE website to keep it fresh and relevant
• Develop and implement a communication plan
• Share information about how PACE serves and benefits staff
Involve staff by encouraging social, service, and professional engagement on campus and in the community.
• Increase involvement and satisfaction with Summer University

• Improve measures for gauging participation and satisfaction with PACE Socials

• Act upon feedback from surveys about PACE Socials
$10,000 for Social Food Improvements

- Survey results indicate that improved morale and attendance at socials, including the Holiday Social and Staff Fall Forum, will result from improved food selections. Food selections can be improved significantly with additional funding.
Thank You!

QUESTIONS?
FACILITIES

PBA 2014
Facility Departments

- Custodial
- **Maintenance:** Painters, Plumbers, Electricians, Locksmiths
- Grounds
- HVAC Plants
- Parking
- Police
- Planning & Construction
- Energy Management/ Sustainability
- PE Issue Room
Development Master Plan Priorities

1. Performing Arts building
2. Thanksgiving Point Satellite building(s)
3. Business building
4. Performing Arts building II
5. Classroom building II

Land banking

125 acres Geneva/Anderson: Complete
CAPITAL IMPROVEMENT PROJECTS

FY 2015 $3,787,000 Fully Funded

FY 2016 $3,400,000 or $4,300,000

State Funded Based on Value of Buildings

DFCM and UVU Managed
<table>
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<th>Cost</th>
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Top Priority

Backfill Open Foundations, Vineyard North Property
Operate Effectively, Allocate Funds to Achieve Institutional Objectives. Minimize Risk

VP #2

$1,500,000
Top Priorities

Rebuild and Replace HVAC Equipment at Building L  VP #4

Operate Effectively, Allocate Funds to Achieve Institutional Objectives  $ 310,000

Equipment, Purchase and Replacement  VP #20

Operate Effectively, Allocate Funds to Achieve Institutional Objectives  $ 211,300

Funds for Planning Staff Development and Training  VP # 26

UVU attracts, develops, and retains high achieving students, faculty, staff, and Administrators  $ 20,000
Top Priorities

Sports Field Maintenance  VP #33
Operate Effectively, Allocate Funds to Achieve
Institutional Objectives $ 50,000

Increase Overtime Budget for HVAC  VP #35
Operate Effectively, Allocate Funds to Achieve
Institutional Objectives $ 6,000

Pave Gravel Lot at HP Building  VP #36
Manage Growth $ 600,000
Top Priorities

Sports Field Crew - 2 Specialists  
*VP #37*

*UVU attracts, develops, and retains high achieving students, faculty, and staff*  
$114,000

Increase Police Training Budget  
*VP #39*

*Operate Effectively, Allocate Funds to Achieve*  
*Institutional Objectives*  
$10,000

Increase Police Current Expense Budget  
*VP #40*

*Operate Effectively, Allocate Funds to Achieve*  
*Institutional Objectives*  
$15,000
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<th>Priority Needs</th>
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<td>Purchase an additional Police Vehicle (Lease)</td>
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<td>Purchase an Additional Police Vehicle</td>
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<td>Salary Increases: Area Wide</td>
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Priority Needs

- Rebuild Baseball Field, New Sod  
  VP #48  
  $300,000

- Increase Hourly Budget for Interns  
  VP #52  
  $15,000

- Increase Grounds Training Budget  
  VP #54  
  $20,000

- Add Water Plumber to Crew  
  VP #55  
  $66,000

- Add Grounds Specialist to Crew  
  VP #56  
  $50,000
Priority Needs

Add Arborist/ IPM to Crew

Increase Grounds Overtime Budget

One Last Request:

Funding for Space Summit Remodel Projects

VP #57
$ 60,000

VP #58
$ 20,000

VP # 60
$ 3,500,000
QUESTIONS
2014-2015 PBA Requests
UVU Athletics
Utah Valley University is a NCAA Division I institution and a member of the Western Athletic Conference. The UVU Athletic Department is committed to athletic success, academic success, doing things “the right way” and continuing success in life.
• The primary mission of the UVU Department of Athletics is to bring positive recognition to the University through a program built on concepts such as excellence, integrity, and victories – in the classroom and in competition. The highly visible athletics program is committed to NCAA compliance,

• strong academic standards,

• the quality of its staff, and

• establishing a positive national reputation.
Strategic Vision

The Wolverine Department of Athletics will focus on the overall development of all whom participate in athletics. Ethical conduct will be strongly promoted among alumni and friends, athletics department staff, and most importantly, student-athletes.

The UVU Department of Athletics is committed to supporting the academic progress of student-athletes, the achievement of their educational objectives, and helping to provide direction to a Life Path of Success. The Department is also committed to offering equitable opportunities for all students and staff.
“David and Goliath…”

-Dr. Norm Wright
Utah Valley University Athletic Department has identified three key strategic objectives to serve as an overarching framework to support and uphold the department’s mission, vision, and goals.

• Ensure Student-Athlete Success
• Compete for Championships
• Build Community

These strategic objectives directly align the UVU institutional Mission, Core Themes, and Administrative Imperatives. They include the following:
Ensure Student-Athlete Success

Utah Valley University is committed to Student-Athlete success in the classroom and on the playing field. The goal of the Athletic Department is to foster an environment of athletic academic success providing diverse Student-Athletes the opportunity to graduate, develop their athletic skills, and become well-rounded individual through engaged learning.

• Provide rewarding, healthy, and positive NCAA DI Student-Athlete Experience
• Create and complete a graduation plan for every Student-Athlete
• Graduate each Student-Athlete with a Bachelor Degree and prepare him or her for life after college
• Exceed NCAA and WAC Benchmarks: Academic Progress Rate / Graduation Success Rate / Grade Point Average
UVU is a NCAA Division I institution and a member of the Western Athletic Conference. The Wolverines are serious about competing for and winning conference and NCAA championships. UVU strives to recruit and retain highly qualified and diverse student-athletes and staff. The athletic department sponsors 16 intercollegiate sports.

- Establish dominance in the WAC, regionally, and nationally
- Win Conference Championships
- Earn NCAA Post-Season bids
- Achieve academic and athletic awards at conference, regional, and national level
- Implement a salary initiative to evaluate and compensate athletic positions based upon equity, performance, and a competitive market driven value
Athletic events provide inclusive occasions that connect students, faculty, staff, alumni, fans, and community members to the University. Wolverine Athletics is built upon a foundation of high expectations, efficiency and integrity. Athletics often defines the college experience for students and represents the overall success and reputation of the institution.

• Program Growth and institutional/athletic brand recognition
• Increase donations and develop donor and alumni relationships through the Wolverine Club
• Celebrate victories
• Generate additional campus and community support as well as public and media awareness for athletic events and UVU Athletics as a whole.
Priority #1

NCAA Grant and WAC audit (salary & personnel)

- Cost: $656,000
  - $525,000 NCAA Accelerating Academic Success Grant
  - $131,000 WAC Compliance Audit
- Funding Type: Ongoing
- Strategic Objective: Enable UVU to continue toward our goal of student-athlete academic success and compliance with NCAA and WAC regulations and standards.
Priority #1

NCAA Grant and WAC audit (salary and personnel)

- Cost: $656,130

- $525,000 is the full ongoing cost of NCAA Grant. Accelerating Academic Success Program (AASP)

- $131,000 is for WAC Compliance Audit
  - $25,000 for a organizational restructure
  - $73,000 (salary and benefits) for a new compliance position
  - $33,000 for increased travel for monitoring, professional development, and certifications.
Credit to Dr. Michael Savoie - NCAA Grant and WAC audit (salary and personnel)

* Cost: $656,130

Further breakdown

<table>
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<tr>
<th>Position</th>
<th>FTE</th>
<th>%</th>
<th>Salary</th>
<th>Cost</th>
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Non-Staff Budgetary Needs:

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Subtotal $33,335
## Priority #1

Credit to Dr. Michael Savoie

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Priority #2

Facility: Soccer Press Box, Media Platform, Seating, Locker Rooms

- Cost: $5,000,000
- Funding Type: One Time
- Goal: Conference Affiliation Fund
- Strategic Objective: WAC, Regional Success, SA Success, Build Community, National Reputation
Priority #3

Cover IM Fields

- Cost: $4,000,000
- Funding Type: One Time
- Strategic Objective: Give UVU students the opportunity to be active in a “Field House” type environment
Change all soft funds to hard funds

- Cost: ~$1.4M
- Asking to move full time staff from soft funds to hard funds. 27 staff and coaches have split funding
- Part timers will remain soft funded.
- Funding Type: Ongoing
- Strategic Objective: Engaged and Serious to manage growth
Priority #5

Athletic Facility Position “Turf Team”
(approval/funding)

• Cost: $22,000
• Funding Type: Ongoing
• Strategic Objective: Build Community and Student Success
Priority #6

Wolverine Championship Fund:

- Cost: $100,000
- Funding Type: Ongoing
- Strategic Objective: SA Success & Build Community
  - Travel (Teams, Band, Cheer and Dance, GMG, Admin, etc.), Incentives, Rewards, etc.
Priority #7

UVU Faculty Athletic Rep (FAR) Travel (Approval)

• Cost: $50,000
• UVU's Athletic FAR has to travel with teams and to NCAA and meetings. to conference.
• FAR travel is a requirement of the position.
Priority #8

Bleachers at Track

- Cost: $1.5M
- Funding Type: One Time
- Need bleachers at the Track Facility to host meets at the college and high school level as well as WAC Championships, and NCAA Regional Meets.
- Build Community, Serious about Winning, UVU continuous improvement
- Strategic Priority: Student-Athlete Success & Build Community
1. Soccer Press Box, Media Platform and Team Rooms (Year 2: 2014-15)
   1. Offices for Women’s Soccer, Men’s Soccer and Softball (Year 2: 2014-15)
   2. Locker Rooms for Women’s Soccer, Men’s Soccer and Softball (Year 2: 2014-2015)
2. Cover at IM Turf Fields (Year 2: 2014-15)
5. Bleachers at Track (Year 2: 2014-15)
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<tr>
<th>PBA Initiative 2014-15</th>
<th>Cost</th>
<th>Funding Type</th>
<th>Funding Source</th>
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<td>1. NCAA Grant and WAC audit (salary and personnel)</td>
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<tr>
<td>2. Facility: Soccer Press Box, Media, seating, Locker Rooms</td>
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<td>3. Cover at IM Fields</td>
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<td>4. Salaries – Soft Funds to Hard Funds</td>
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</tr>
<tr>
<td>5. Athletic Facility “Turf Team”</td>
<td>$22,500</td>
<td>Ongoing</td>
<td></td>
</tr>
<tr>
<td>6. UVU Championship Fund</td>
<td>$100,000</td>
<td>Ongoing</td>
<td></td>
</tr>
<tr>
<td>7. UVU Faculty Athletic Rep Travel</td>
<td>$50,000</td>
<td>Ongoing</td>
<td></td>
</tr>
<tr>
<td>8. Bleachers at Track</td>
<td>$1.5M</td>
<td>Onetime</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>$12,728,500</td>
<td>Both</td>
<td></td>
</tr>
</tbody>
</table>
Go Wolverines!

“Things may come to those who wait, but only the things left by those who hustle.”

-Abraham Lincoln
IT Services PBA

December 2014
IT Mission and Vision

IT Mission

Provide reliable, essential technology infrastructure, systems, and services that support the university’s mission, core themes, objectives, and administrative imperatives and that provide technology tools to better educate more students with both effectiveness and efficiency.

IT Vision and Role at UVU

Maintain (Keep The Lights On) – It is imperative that IT maintains the current infrastructure and systems in order to provide the needed network, Internet, administrative/business systems, email and communications systems, and teaching infrastructure. This involves repair and replacement of aging equipment preferably before failure and at a goal of no more than seven years for most equipment.

Support (Keep UVU working) – As the university grows, expands, and changes IT must provide service, support, and training for the campus during the time it is open and provide it for those who are not on campus 24x7x365 except in designated, necessary or unplanned outages and times.

Efficiency (Keep Costs Down) – As the university grows, technology must provide efficient, effective user friendly systems for the business of the university that help to improve student outcomes, decrease the cost of instruction, increase the efficiency of campus service and facilitate communications and decision making.

Innovate (Introduce Innovative methods) - As the university expands its distance education offering and continues to face space challenges, IT must provide services and tools that provide for the “Virtual University” including video and audio conferencing and communications, Internet delivery systems, and remote services. These tools must also provide opportunities to engage students and university communities.
IT Objectives

1. Strategically plan, fund and manage technology across the university
   A. Develop and implement a strategic master plan for IT
   B. Review and establish funding models for IT
   C. Establish Priorities, Metrics and Accountability
   D. Address IT staffing issues of salary, training & workload

2. Provide a stable and secure IT infrastructure
   A. Reduce the age of the Infrastructure
   B. Address the growth of Technology System
   C. Increase the capability & efficiency of the infrastructure
   D. Secure data, systems and technology

3. Provide up-to-date mobile systems and services
   A. Increase coverage and capacity of mobile infrastructure
   B. Build mobile friendly apps, websites, and services
   C. Have a mobile-first philosophy for implementing services

4. Provide efficient and effective systems and services
   A. Support the business processes of the university
   B. Support Business Intelligence (data for decision making)
   C. Improve website and communications
   D. Improve business processes of the university and increase efficiency

5. Support teaching and learning through technology
   A. Support classroom technology infrastructure
   B. Support distance and on-line learning technology
   C. Provide current technology tools for academics
   D. Provide resources and analytics for student and faculty success
7 year replacement cycle goal has been $1,600,000 annually

- Have $850,000 R&R - need $750,000 more
- $2.47 of IT Infrastructure 8 years or older

Value in millions of dollars (Total value $13,213,000)
Major Additions to IT Infrastructure

January 2015 – Classroom Building ($2 million)
March 2014 – Student Life & Wellness ($1.2 million)
April 2012 – Science Building ($1.7 million)
Security cameras – ($468,000)
Digital Signage – ($346,500)

Future – Performing Arts, New Campus, etc.

Current Wireless

Over 8000 concurrent users
Over 30,000 devices
Adding 300 access points in 2 years

Storage demands out pacing availability
email
Large Data sets
Growth in IT Services and Expectations

- PBA requests for Programmers, Web, Business Intelligence, Technical staff, etc.
- PBA requests for new systems, software and services
- IT Security needs and IT Risks are increasing (PCI, compliance, blacklisting, attacks, etc.)
- IT Projects – 428 requests and many requests are not placed in system
- Systems added/adding & major upgrades:
  - Recruiter
  - Wendia (ServiceDesk & Project Management)
  - Mobile Apps
  - College Scheduler
  - Banner Data Defense
  - Beacon
  - BannerXE
  - Luminis 5 (MyUVU portal)
  - Equella, Kaltura
  - Big Data storage systems
  - Adobe Connect etc.
Provide a stable & secure IT infrastructure

Goals:

Reduce the age of the Infrastructure

- Replace Head-end air conditioning $93,000 one-time
  - Head-end air conditioning is failing due to age and strain and needs to be replaced

Also Phase II Requests for one time and R&R
Goal:

Address the growth of Technology Systems

- **System Admin (Microsoft) $99,317 base**
  - Supports growth of Microsoft based systems on servers

- **Network Engineer $99,317 base**
  - Supports growth of the network infrastructure including wireless

- **Telcom Technician $80,186 base**
  - Supports growth of wiring, fiber and phone infrastructure

- **System Admin (storage) $99,317 base**
  - Supports growth of storage requirements on campus

- **Money for IT remodel & media building $105,000 OT**
  - Replace media trailer with building in facilities compound and remodel IT areas for growth
Goal:

**Secure data, systems and technology**

- Security Analyst $99,317 base
  - Supports increased security needs

- Zero day Malware appliance $180,000 base  $600,000 OT

- Data breach insurance $80,000 base
Provide efficient/effective systems/services

Goal:

Support the business processes of the University

- Part-time Software Specialist $33,100 base
- Support the software available to campus, installs and inventory
Goal:

**Improve website and communications**

- **Web Programmer** $80,029 base
  - Support increased demand from departments for UVU website help

- **IT Communications/Training Specialist** $90,029 base
  - Support IT and campus communications and IT training
Overview of IT PBA requests for Annual

1. Part time Software Specialist $33,100 base
2. Web Programmer - $80,029 base
3. System Admin (Microsoft) - $103,091 base
4. Network Engineer - $99,317 base
5. Telcom Technician - $80,186 base
6. System Admin (storage) $99,317 base
7. Security Analyst - $99,317 base
8. Zero day Malware appliance - $180,000 base $600,000 OT
9. Head-end Air Conditioning - $93,000 OT
10. Money for IT remodel & Media staging building $105,000 OT
11. IT Communications/Training Specialist - $80,029 base
12. Data breach insurance $80,000 base
Questions
Emergency/Risk Management

Administrative Imperative:

Operate Effectively: Utilize best practices, transparent processes to continuously improve and responsibly use resources

1. UVU fosters a culture of planning, assessment, improvement, and accountability
Risk Management Mission Statement

- Our mission is to provide assistance to departments and individuals in order to establish and maintain a **safe and healthy campus** environment. To promote a **culture of compliance** and shared accountability, this will be obtained as a matter of **forethought rather than afterthought**.
Where are we now?

- **Emergency Management**
  - Written Plans
    - Completely rewritten to model Federal/State standards
  - Exercises/Drills
    - Active Shooter
    - Earthquake (Statewide)
    - Bombs (National Guard) Next Spring
    - Fire Drills (annual)
  - Community Involvement
    - Memorandum of agreements (Red Cross, Utah County Health Department)
    - Building Relationships
  - Emergency Operations Center (EOC)/Policy Group Training
  - AED maintenance and training
  - Behavior Assessment Team (BAT) Threat assessment of concerning students
  - Keeping current with evolving emergencies (Ebola)
Where are we now?

- Risk Management
  - Policy/procedures
    - Minors of Campus, Record retention, Compliance/Regulatory Agencies
  - Insurance claims
    - Open claims (10-15)
  - Safety Inspections: Building walkthroughs, tracking, follow up
  - Release of Liability/Informed Consent Forms (several thousand/year)
  - Certificate of Insurance Requests
  - Law Suit Involvement
  - Hazardous/Unsafe situations on campus: assessment, response to and resolution
  - Health/Safety Trainings: OSHA, ANSI, ADA, other regulatory/compliance standards
    - “…forethought rather than afterthought.”
  - Liability/Property Insurance: protecting University assets (insurance, managing the risk, appetite for risk: how much risk we are willing to take)
  - Hazardous Materials on campus (inventory of, tracking of, disposal of)
What is the problem?

- Spending a little time everywhere, but lacking depth and attention in any particular area
- Reacting to situations, putting out fires
- Not leaning forward, minimal time for planning or preventing, or mitigating
- Do not have a campus safety program (established ongoing training and education, documentation, tracking of injuries, and eliminating safety issues to avoid serious injuries before they happen, not after)
- Not able to spend as much time developing Emergency Management
- Don’t have an OSHA expert on campus
- Examples:
  - We have several groups of staff that wear personal protective equipment (to what degree are they being trained? Is it documented?)
  - Hazardous Chemicals on campus: have made a lot of progress, still don’t have a way to quickly tell EMS/Fire what chemicals are where and how much on campus
  - Stairs going out the Student Life Building (injured employee who needed surgery)
How do we compare?  
What is the BEST PRACTICE?

- University of Utah/Brigham Young University
  - Even though student population is similar, different due to programs/athletics/advanced degrees/research
    - Have departments with 30 plus people in addition to student employees
- Utah State University - 3.5 people cover the three areas
- Weber State University - 3 people cover the three areas
- Southern Utah University - 2 people cover the three areas
- Salt Lake Community College - 3 people cover the three areas
- Utah Valley University - 1 person and 1 part-time (20 hours) started one month ago

- Emergency Management
- Environmental Health & Safety
- Risk Management
What is needed?

- We have one full-time person and a part-time (20 hours) person currently
- Increase existing part-time person to full-time AND add another full-time person
- Bringing the total to three full-time people

How much will it cost?

- Risk Management:
  - $60,000.00 (base salary less than mid-point)
  - $91,600.00 (with benefits)
- Environmental Health and Safety:
  - $50,000.00 (base salary less than mid-point)
  - $78,960.00 (with benefits)
Expected Outcomes

- Better prepared staff/faculty for emergencies/disasters
  - Less injury or death because people knew what to do
  - Address mitigation efforts across campus (lessen the impact of a possible disaster)
- Formal safety training, documentation, and a decrease over all in injuries, payouts, productive time lost, decrease chance of fines (OSHA, other regulatory agencies, lawsuits)
  - Less money spent on injuries, time lost at work, people go home after work
- Improve risk assessments, protecting assets, understanding what insurance covers and what it does not. This will save money in the long run
  - Pay appropriate amount of money for insurance, ensure property, contents, and other items are properly insured, this assists with insurance claim costs if/when there is damage
Questions or Concerns?
INTERNAL AUDIT

PBA General Session
3:30 AM, LI 120
December 3, 2014
Area of Focus #4: Operate Effectively

Goal #1

UVU Strategically allocates resources to achieve institutional objectives.

Internal Audit

IDEA Audit Software $13,500 (Approp. 1x)

**PURCHASE PRICE + IMPLEMENTATION**

- Continuous monitoring of critical business functions:
  - Vendors with same address.
  - Vendors and employees with the same address.
  - All P-Card data for the entire year.
  - Grade changes by teacher/department.
  - Employees with no leave taken.
  - Employees with both a W2 and a 1099.
  - Terminated employees still accruing leave.
QUESTIONS?
University Compliance coordinates significant requirements in which the University must comply by law, regulation, or other binding rules or agreements that enable the administration, faculty, staff and students to better manage operations and risks for which they are individually and collectively responsible by:

- Coordinating the University’s compliance assurance activities (laws, regulations, contractual requirements) as they pertain to operation of the University;
- Ensuring the University perspective is always present;
- Assessing existing programs against the characteristics of compliance program best practices, and improving as necessary;
- Providing information about and assessment of emerging regulatory compliance issues; and
- Carrying out specific compliance support activities.
The Regulatory Compliance Environment for Institutions of Higher Education

• Currently there are more than 200 federal regulations alone affecting institutions of higher education.
• Penalties for non-compliance include civil or criminal charges, monetary fines, debarment or suspension from federal funds.
• Compliance requires all of us working together.
Role of Compliance Office

University Compliance provides assistance to the organization by:

- Serving as a knowledgeable resource on regulatory issues
- Acting as a liaison to various university departments, working units and organizations, as well as external sponsors
- Monitoring the regulatory and fiduciary responsibilities of sponsored projects
- Developing training regarding policies, regulatory issues, terms and conditions in grants and contracts, etc.
Higher Education
Regulatory Compliance Environment

Examples of Federal Regulations
- Higher Education Act of 1965 and the HEOA of 2008 (as amended)
- Title VII and Title IX
- Uniform Guidance/OMB Circulars
- FERPA Protection of Student Records
- VAWA/SaVE/Clery Act
- Invention licensing, disclosure, & reporting
- Federal-wide Assurances
  - Animal subject protection
  - Human subject protection
  - Biosafety & select agents
  - Environmental health & safety
  - Laboratory safety

Examples of State Regulations
- Utah Public Officers and Employees Ethics Act (Conflict of interest)
- Nepotism/Employment of Relatives
- GRAMA (Protection of Records)
- Regent Policies and Procedures
Grant/Contract Administration

Pre-Award Administration

Compliance

Export Controls

Federal Assurances

Conflict of Interest

Policies, Procedures, Best Practices

Training & Education

Com-munication

Copyright & IP

State and Federal Regulations

Sub-awards and Sub-recipient Monitoring

Interacting w/Auditors

Grant/Contract Administration

Source: NCUA.org
Compliance Advisory Committee’s Top Ten Regulatory Risks 2014

1. **Payment Card Industry Data Security Standards** (PCI-DSS) – Credit cards

2. **Environmental Health and Safety** (Microbiology and Biomedical Laboratories Federal Select Agent Program (OSHA Regulations #1910-1030)

3. **Discrimination** - Violence against Women Act*/SaVE*/Clery Act*, ADA, Title VII, Title IX*, ADEA

4. **IT/Data Security and Privacy** - ADA, HIPAA protection of medical records and PHI, Student Records (FERPA), spam, sharing of passwords

5. **Minors on Campus**

6. **Grievance/Complaint Procedures***

7. **Fraud, Misuse, Abuse of Finances** – Journal Vouchers

8. **Utah Ethics Act** – Conflict of Interest and Conflict of Commitment


10. **International Travel and Export Controls** – ITAR, EAR
2014 – 2015
Compliance Objectives and Goals

• Ensure the University complies with applicable laws, statutes, regulations, policies, etc.
  - **GOAL**: Expand the work of the Compliance Advisory Committee
    • Ongoing: update annual regulatory risk inventory, and comprehensive regulatory risk matrix

• Protect human subjects in research
  - **GOAL**: Administratively support the IRB
    • Action Steps: study cost-effectiveness of electronic protocol tracking system
UVU Compliance Accountability Index and Risk Assessment

The above represents that part of the instrument currently being used by the CAC to conduct an enterprise-wide compliance inventory.

The above analysis portion of the instrument will be used by the CAC to prioritize its recommendations to administration.
Objective: Ensure grant and contract administration is performed with the highest professional standards

- **GOAL**: Standardize contracting process
  - Action Steps: develop a policy, publish manual, and prepare training

Legally and effectively manage the terms and conditions of grants and contracts

- **GOAL**: Provide ongoing consultation to Principle Investigators and Project Directors
  - Action Steps: provide orientation for new PI/PDs
  - Provide consultation on applicable regulations and terms and conditions of awards.
Request to Move P/T Administrative Assistant to F/T

- Administrative assistant support for Grants and Contracts, IRB and newly formed CAC, including scheduling and minutes
- Support for Compliance and Grant/Contract training activities
- Maintain IRB Master List and protocol applications, including archiving and destruction monitoring (protocol applications have increased by 72% since 2011)
- Process IRB Classroom Waivers
- Record Conflict of Interest Disclosures
- Website development and maintenance for Compliance, Grant/Contract Administration and the IRB web pages
- Support to record, follow-up on and archive annual university-wide COI Disclosures and to maintain Management Plans
- File management for sponsored programs, i.e., grants, contracts, cooperative agreements, etc. (112 open grants/contracts)
- Event support (i.e., Idea Fair, Brown Bag Sessions, Expedited review sessions, etc.)
- Estimated Total Cost Difference for Full-time Position = $33,130.62
TEAMWORK!
WORKING TOGETHER GETS THE GOODS!
Thank You!

Questions?