

Administrative and Educational Support Report

Office of the Comptroller

**Annual Action Plan
Annual Assessment Report**

June 2004 – May 2005



Annual Action Plan: June 1, 2004–May 31, 2005

Unit: Office of the Associate Vice President for Business Affairs/Comptroller

UTPA Mission: The University of Texas-Pan American (UTPA) serves the higher education needs of a rapidly growing, international, multicultural population in the South Texas Region. The University preserves, transmits and creates knowledge to serve the cultural, civic, and economic advancement of the region and the state. The University provides students advanced instruction in academic programs offered through innovative delivery systems that lead to professional certification, and baccalaureate, master’s and doctoral degrees. Through teaching, research, creative activity and public service, UTPA prepares students for lifelong learning and leadership roles in the state, nation and world community.

Division: Business Affairs **Unit Head:** Esequiel Granado, Jr.

Unit Mission: The mission of the Office of the Comptroller is to provide accurate, timely and comprehensive financial and accounting data, information, and services to The University of Texas-Pan American departments, students, faculty and staff. The Comptroller staff is dedicated to providing quality service to The University of Texas-Pan American and its customers, adhering to the policies and procedures of the University and abiding by all laws and regulations of the State of Texas.

Unit Goal: The Office of the Comptroller pursues its mission by accomplishing the following goals:

- a. Ensure financial integrity of the University by managing funds in accordance with sound accounting principles and appropriate policies, laws and regulations.
- b. Manage fiscal operations and provide accounting, financial and auxiliary services.
- c. Incorporate technology enhancements in order to provide better services to the University clientele.
- d. Assist and support campus community in providing training, answering questions, and providing timely and accurate financial information.
- e. Safeguard University assets.
- f. Provide outstanding courteous customer service.

Link to UTPA Goal(s): Improve UTPA’s organizational effectiveness

Unit Objective (Action Priority: #1 is highest)	Link to UTPA Objective	Expected Outcome for Unit Objective (AA-Measurable Objective)	Strategy(ies) to Achieve Expected Outcomes	Assessment Criteria, Evaluation Methods for Expected Outcome	New Resources Needed in FY05
Identify potential areas of risk. (1)	7	Develop a risk monitoring plan.	*Complete self-assessment risk test by categorizing and prioritizing areas of risks	UT System Risk Self Assessment	None

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Provide quality customer service. (2)	7	Improved customer satisfaction.	for each department. *Locate comment cards and suggestion boxes in areas of student customer service. *Analyze complaints to improve business processes/operating procedures for P&C and Loan Collections.	Expect Excellence Cards	Additional cards/boxes as needed
Safeguard personal information per UT System Business Procedure Memorandum (BPM) 66. (3)	7	Safeguard personal information as mandated by Federal Law.	*Identify areas where students are required to provide their SSN to retrieve information. *Review the current process and implement changes as required to comply with BPM 66.	The Office of Records and Retention Management conducted a review for compliance of BPM 66 requirements.	Additional software and hardware equipment
Streamline the emergency loan process. (4)	7	Improved customer service.	*Evaluate student complaints on inconvenience of emergency loan process. *Assess current process to prevent students from visiting two different offices to obtain and pay for their emergency loans.	Transaction reports on emergency loan activity.	None
Safeguard personal credit card information. (5)	7	Compliance with State mandate.	*Revise current credit card terminals to determine changes needed in process to comply with State law.	Prior to State of Texas Legislature - Section 35.57 Sales Receipt Containing Debit or Credit Card, UTPA credit card receipts displayed	Potentially additional software Resources from IT staff to re-program credit card machines and SIS

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				all digits of credit card number.	record details as needed
Encourage staff development and strengthen the department's effectiveness. (6)	7	Improve efficiency and effectiveness of employee and manager.	<ul style="list-style-type: none"> *Examine employee feedback on evaluation form. *Increase training for employees (on-the-job training, cross-training, and off-campus workshops). *Promote employees within the organization when positions become available. *Reward employee performance via employee awards, merits, etc. 	SEPAP Annual Employee Appraisals	Additional funds for training programs or promotions as needed
Provide transportation services to students. (7)	7	Improved access to remote parking areas of campus.	<ul style="list-style-type: none"> *Evaluate student complaints on lack of parking spaces. *Develop cost/benefit analysis for different options to provide transportation to students. 	Ad hoc parking and transportation committee.	Additional funds to purchase vehicles and to provide transportation services to students (including salaries for staff, gas, and other maintenance costs).



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Link to UTPA Goal(s): Improve UTPA’s organizational effectiveness

Unit Objective (Priority: #1 is highest)	Link to UTPA Objective	Expected Outcome	Assessment Criteria, Evaluation Methods	Assessment Results (Use actual data to describe annual performance)	Use of Results (What change was made?)
Identify potential areas of risk. (1)	7	Develop a risk monitoring plan.	UT System Risk Self Assessment	Areas of risks were categorized and prioritized according to graphical representation.	Business processes were modified to minimize areas of high risk. Example:

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				File:\\panam\comcommo\n\comptrollers\comptroller's risk assessment\FY2006\Other-Do Not Use\Financial Master Risk Footprint	Bookstore implemented security surveillance system to reduce inventory shrinkage.
Provide quality customer service. (2)	7	Improved customer satisfaction.	Expect Excellence Cards	Customers were not satisfied with hours of operation and requested that office hours be extended after 5:00 pm. Bursar's Office Loan Department Bookstore	Hours of operations were extended during peak periods that usually occur at the beginning of each semester. *Bursar's Office/Loan Department Monday-Friday Fall/Spring-8am-7pm Summer I/II-8am-6:30pm *Bookstore: Monday-Friday Fall/Spring-7:30am-8pm Summer I/II-7:30am-7pm Saturdays-10am-2pm
Safeguard personal information per UT System Business Procedure Memorandum (BPM) 66. (3)	7	Safeguard personal information as mandated by Federal Law.	The Office of Records and Retention Management conducted a review for compliance of BPM 66 requirements.	Review indicated risk associated with verbal gathering of personal information (SSN).	Installed ID key pads in the Loan Department to allow students to enter their SSN.
Streamline the emergency loan process. (4)	7	Improved customer service.	Transaction reports on emergency loan activity.	Inconvenience and long lines for emergency loan process resulted in student complaints.	The emergency loan processing fee was added to the student loan resulting in a single point of service.
Safeguard personal credit card information.	7	Compliance with State mandate.	Prior to State of Texas Legislature - Section	It was determined that credit card terminals	Credit card machines were re-programmed

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(5)			35.57 Sales Receipt Containing Debit or Credit Card, UTPA credit card receipts displayed all digits of credit card number.	needed to be re- programmed and SIS record detail needed to be masked.	and SIS record detail was modified accordingly so that only the last four digits of the credit card number are displayed on the receipt.
Encourage staff development and strengthen the department's effectiveness. (6)	7	Improve efficiency and effectiveness of employee and manager.	SEPAP Annual Employee Appraisals	Increase in staff development for department effectiveness.	Generated a specific strategy for each employee to maximize the employee's efficiency and effectiveness in their job performance. Strategies vary among employees based on their department and job description.
Provide transportation services to students. (7)	7	Improved access to remote parking areas of campus.	Ad hoc parking and transportation committee.	Need to create shuttle services for students.	Two shuttle buses were acquired and shuttle routes to service new auxiliary parking lots were developed.

Additional Resources Needed (if any) that were requested for FY06 during the budget cycle: None.