<table>
<thead>
<tr>
<th>Processes</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hiring</td>
<td>4</td>
</tr>
<tr>
<td>Budget Development</td>
<td>18</td>
</tr>
<tr>
<td>Travel</td>
<td>27</td>
</tr>
<tr>
<td>Payroll</td>
<td>36</td>
</tr>
<tr>
<td>Accounts Receivable</td>
<td>46</td>
</tr>
<tr>
<td>Onboarding</td>
<td>59</td>
</tr>
<tr>
<td>Purchasing</td>
<td>68</td>
</tr>
</tbody>
</table>
**Workshop Objectives**

As part of the ERP procurement process at South Orange County Community College District (SOCCCD), Strata Information Group (SIG) is working with the District and the Colleges to analyze and improve the underlying processes. This analysis yields two primary outputs: 1) requirements for the vendor demonstration scripts, and 2) ideal process maps to be used to set the trajectory for the implementation of the new ERP. The objectives are to develop better processes and to take full advantage of the new technology.

To meet the objectives, a series of Business Process Analysis (BPA) workshops were conducted to examine the various processes related to human resources, payroll, and finance at SOCCCD. The objectives of the workshops included the following:

- Review the principles of Business Process Analysis (BPA)
- Map the existing processes
- Analyze the process maps and identify obstacles and potential opportunities for improvement
- Design new processes that enhance service, reduce steps, and take full advantage of technology
- Develop requirements for the vendor demonstrations
- Set the trajectory toward the “ideal” process

Participants represented a multitude of faculty, staff, and administrators from Saddleback College, Irvine Valley College, and the District. Kari Blinn, from SIG, facilitated the workshops. Participants were engaged and thoughtful. They articulated the issues with the current processes – and generated many opportunities for improvement. This document contains the contents and outcomes of the groups’ efforts.

**Successful Projects**

At the end of each workshop, participants discussed their experiences with successful projects. Some of the keys to successful projects are:

- Executive support
- Clear project plan
  - Measurable deliverables
  - Realistic timeline
- Strong project management
  - Management of scope – focus, focus, focus
  - Adherence to timeline
- Clear business owner/change “champion”
- Alignment of information technology
- Resources – time, tools, and money
- Implementation team made up of representative stakeholders – people who have “skin in the game”
- Over-communication
Hiring Process
Observations

During the workshop, participants identified issues with the current hiring processes. Themes included the following:

- **Process is long**
  - Long time from recruitment to offer
  - Losing some candidates due to length of process
  - Layered new processes on top of old (paper) processes

- **Process is unnecessarily complex**
  - Too many steps
  - Too many people
  - Too many handoffs
  - Too many manual steps
  - Confusing
  - Using paper and shadow systems – e.g. Excel

- **Hiring process not clearly connected to strategic plan**

- **Significant level of frustration from participants in the hiring process**
  - Staff are bogged down
  - Committees are buried in manual, paper processes

- **Not fully utilizing current systems – i.e. PeopleAdmin has features not being fully utilized**
Current Hiring Process (committee-based) – 1

**IVC Senate**
- Calculate FTES to FTEF ratio by school
- Rank by school
- Fill highest ranked vacant position (Tier 1)
- Recalculate
- Fill next position (Tier 2)
- Fill next position (Tier 3)
- Repeat until complete
- Schools determine specific slots
- Submit prioritized list to President

**SB Senate**
- Automatically fill vacancies
- Review requests for new positions against strategic plan (AURs)
- Review w/ Consultation Council, budget, etc.

**Business Office**
- Provide budget estimate
- Review prioritized list against budget, needs, negotiations
- Determine positions to fund
- Communicate to Senate, VPs, Deans
- Create/approve hiring committee members
- Publish list (Dec)
- Send forms to Dean

**President**
- Log forms in Excel
- Route paper forms to VPs for signatures
- Log signatures in Excel
- Log in Excel
- Take forms to HR
- Date stamp forms
- Review forms
- Record in Excel
- E-mail HR

**Human Resources**
- Review dates and job description
- If classified, prioritize by date received and assign to HR staff

**Dean**
- Complete forms - if classified, incl. committee composition - if faculty, contact provisional chair for committee
- Composition
- Print forms and sign
- Send forms to President

**Human Resources**
- Create announcement
- Prepare advertising
- Enter dates in PeopleAdmin – position POSTED

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Budget Development Process running concurrently
Current Hiring Process (committee-based) – 3

- **Hiring Committee**
  - Develop list of interview questions
  - Provide presentation topic and any other assignments – e.g. writing sample
  - Approve questions and assignments
  - Schedule interviews – provide info to candidate
  - E-mail confirmation and details to candidate
  - Prepare interview packets – rating sheet, brochure, job desc, sched, notes, etc.
  - Prepare chair packet – ref check forms, policies, printed apps, etc.
  - Bring packets
  - Arrive 30 minutes early to check room
  - Copy writing sample

- **Human Resources**
  - Introductions and review process
  - Conduct INTERVIEW
  - Rate candidate on sheet
  - Repeat for all candidates
  - Discuss candidates
  - Submit rating forms
  - Enter ratings in Excel
  - Discuss and select top three
  - Sign record of candidate selection form
  - Send names to President/Inst
  - Update codes in People Admin

- **Candidate**
  - Arrive, sign application, and submit writing sample
  - Check references
  - Prepare 2nd level packets

- **Hiring Committee**
  - EEO rep greets candidate
  - Discuss
  - Submit rating forms
  - Project results to committee
  - Send names to President/Inst

- **Human Resources**
  - Block times
  - Schedule interview w/ VP and candidate
  - Send schedule and questions to HR
  - Send parking pass and info to candidate
  - Greet candidate

- **President**
  - Conduct 2nd LEVEL INTERVIEW
  - Discuss
  - Meet w/ VP and chair
  - SELECT successful candidate
  - Make offer via phone
  - Sign forms and send to HR
  - Update Excel
Current Hiring Process (committee-based) – 4

1. Human Resources
   - Contact successful candidate to confirm offer, salary, placement, and review benefits – pending Livescan, TB test, etc.

2. Verify eligibility to work

3. Determine start date

4. Submit authorization form

5. Director signs form and sends to Chancellor

6. Chancellor signs

7. Update People Admin

8. Return form to HR

9. Type welcome letter

10. Send letter w/ packet to successful candidate (50 docs and forms)

Start ONBOARDING process
Current Part-Time Faculty Hiring Process

**Academic Dept/Chair**
- Identify need
- Access People Admin and search for potential candidates
- Print applications and attached documents (paper)
- Review paper applications (1 or 2 layers of review depending on dept)
- Select interviewees and invite to campus

**Department**
- Identify and type interview questions
- Create interview sheet
- Conduct interviews
- Select successful candidate
- Notify HR
- Prepare "paperwork"
- If needed, prepare Equivalency doc, review, approve
- Send "paperwork" to HR

**Approvers**
- Dean signs
- VP signs
- Budget Mgr signs
- President signs

**Human Resources**
- Date stamp "paperwork"
- Review paperwork
- If candidate does not meet minimum quals, return to dept
- Sign and forward paperwork to Specialist
- Type onto Board Agenda
- Type conditional offer letter
- Send w/ 50 forms to candidate

**New Hire**
- Complete 50 forms
- Get LiveScan
- Print results
- Enter in HRIS

**Human Resources**
- Send agreement form re: "67%"
- Track in Excel
Objectives for new process

- Attract, select, and retain the best candidates
- Use hiring process to support strategic objectives
- Make better use of everyone’s time – faculty, staff, administrators, applicants, discipline experts, committee members, approvers, etc.
- Simplify process
  - Reduce steps
  - Shorten cycle times – e.g. from approval to posting, from close date to interview, from offer to accept
  - Reduce complexity – design around the rule and handle the exception
  - Reduce approval layers
  - Provide clarity and transparency from start to finish
- Improve quality of process
  - Eliminate checking and re-checking
  - “Do it right once”
  - Utilize exception reporting to identify outliers
  - Ensure data is current
- Fully utilize technology
  - Enter data once
  - Provide 24/7, real-time access to all stakeholders
  - Eliminate paper
  - Utilize imaging
  - Automate approval queues and notifications
  - Single sign-on
- Eliminate need for shadow systems
  - ERP to provide needed functionality
- Minimize legal risks
  - Strong, electronic audit trail
Hiring Process  
Opportunities for Improvement

In brainstorming fashion, participants identified the following opportunities. (These are not listed in ranked order, nor do they necessarily represent consensus.)

- Tie personnel planning to overall strategic plan
- Assess success comparing hiring to plan (AURs)
- Clearly note in the system new versus vacant positions
- Enter results of strategic plan – e.g. goal numbers – in the ERP
- Use online approval to replace signatures – meets the legal requirement
- Develop a transparent process – easy to find where something is in the process
- Capture the functionality in the shadow systems and incorporate into vendor demonstration scripts – ensure functionality is included in new ERP
- Rather than entering account and object codes, select from a pull-down menu
- Unify the various hiring processes – use attrition and staffing plan to the Colleges’ and District’s benefit
- Enter data once in ERP – then extract from ERP for reporting
- Eliminate the need for shadow systems
- Enter results of planning and prioritization in ERP
- Route requests electronically for approval online
- Sync output of budget process with prioritization of positions
- Start developing job description earlier in the hiring process – parallel rather than “in line”
- Enter and maintain all job descriptions in ERP – single source of data for job descriptions and all position information
- Develop clear guidelines and support for committee chairs
- Get everyone on the same calendar to make it easier to schedule meetings
- Start hiring process earlier
- Ensure strategic planning, budgeting, and hiring processes are all coordinated and connected with each other
- Ensure flexibility to deal with “evolving” budget
- Integrate positions, strategy, and funding
- Need solid position allocation for full-time faculty by December 1st
- Use a “smart” web form to initiate a recruitment
- Deploy online approvals and notifications – workflow
- Fewer approval layers
- When people and positions change, workflow routing changes – relate to position not person
- Take “time and place” out of process – i.e. execute tasks 24/7 from any location
- Ability to work on tasks simultaneously
- Senate, Board, and Chancellor work together to review/revise Board policies
- Enter all reporting relationships and attributes in ERP – e.g. supervisor, department chair, senate president, etc.
- Enter information as soon as it is known into ERP
• Put minimum qualifications in ERP – allow automatic review of objective elements – e.g. masters degree
• In workflow allow for “I’ve got it...need more time”
• Show positions “on hold” with reason in ERP
• Allow for reporting and drill-down on “how I heard” data
• See incomplete applications – change some items from required to recommended – and vice versa
• Consider discontinuing reference letters for some positions – or make them optional
• Communicate regularly with applicant – auto-reminders, “thank you for applying, “your application is complete,” etc.
• Don’t allow submission of application until it is complete
• Web feature – “hover” for help on specific fields
• Differentiate between required and recommended information
• Display “countdown” of characters – e.g. 1200 character answer
• Interview via Skype
• Allow for tests online
• Auto-check composition
• Require some fields
• Use the system to help with completeness of application
• Revisit current configuration of PeopleAdmin – opportunities for improvement
• Provide outline of application – section by section
• Auto-populate some fields based on information on uploaded resume
• View all supporting docs in the same order – e.g. cover letter, then resume, etc.
• Provide online orientation for some topics
• Committee members review names online – submit “no conflict” and confidentiality online
• Provide searchable library of interview questions
• Upgrade PeopleAdmin and take advantage of its features
• Use iPads for committee members – enter ratings online, eliminate paper
• Use workflow to auto-notify media services prior to interview – ensure technology working properly
• Chair arrives early
• Clear guidelines for committee re: interviews
• Consider training more EEO reps so HR doesn’t have to be at every meeting
• When scheduling first-level interviews, auto-ping President’s office to block out time for second-level interviews
• Clarify when department can contact successful candidate in order to provide more information
• Pre-populate fields from data in system
• Enter and maintain all job descriptions in PeopleAdmin
• Deploy job templates in PeopleAdmin rather than starting from scratch every time
• Simplify process in order to better utilize staff and hiring committees
• Provide clear instructions
• Make it easy to provide references – e.g. send link to referee to complete reference via web
• Some universities collect a portfolio for their faculty – utilize portfolio if available
• Utilize Linked-In for a more complete profile
• Eliminate “packets,” folders, paper – and “walking” information between offices
• On shared calendar, pre-fill faculty member’s classes
• If position is vacant for X years, close it in ERP – provide cleaner counts for strategy and budget processes
• HR at the table during planning for staffing
• Develop plan for non-bargaining unit hiring
• Free people up for personal connections – rather than doing “paperwork”
• Determine salary placement earlier in the process
• Auto-calculate “likely” salary placement – or provide an easy-to-read matrix
• Free up process to provide more information at “offer” stage – provide training to hiring departments – e.g. no salary discussions
• Provide live chat during online application process
• If using already approved questions, eliminate the question review approval layer
• Allow video conferencing for some interviews – provide option to candidates earlier
• Route approvals electronically rather than via paper (could do this now with PeopleAdmin)
• Auto-notify people in pool after X years – “still interested?” – if not, inactivate
• Allow search by name
• Allow multiple statuses – e.g. “accept” for Dept A, “reject” for Dept B
• Start application process at posting – ensure applications tied to positions
• Provide broader access to PeopleAdmin for more departments
• Purge after X years – archive data
• Auto-notify user if password changes
• Use checkboxes for minimum quals – make it easier to screen applicants
• Auto-notify HR when routed to approvers
• Extract directly from PeopleAdmin or HRIS for Board report – rather than re-typing manually
• Consolidate contract with activity letter
• Put contract “signature” online – eliminate paper
• Notify applicants earlier that they’re not being considered – auto-e-mail
• System looks for minimum quals via key words
• Allow PT applicants to update their application via PeopleAdmin
• Use technology and process improvement to shorten process, make information transparent, and make better use of everyone’s time
Hiring Process

Obstacles

In the same manner, participants identified the following obstacles:

- Disconnect between workforce planning and hiring process
- Questions about various priorities – not clear
- Unclear when it’s ok to contact candidates
- Long time between when candidate accepts offer and it becomes “official”
- Candidates pull out because of time lapse, salary issues, and renegotiation with current employer
- Sometimes lose the best candidates because process is long
- Sometimes delayed at Dean’s Council (Tier 3 at IVC)
- New positions entered in HRIS system when there are still vacant positions – confusion about position count
- Paper forms throughout the process
- Questions about accuracy and currency of position data
- Shadow systems – e.g. Excel – tracking information outside of PeopleAdmin and HRIS
- Some don’t have access to the information they need
- Lack of training in how to access information
- President’s office hired person whose job it is to track HR forms – and the resulting phone calls – at least 20% FTE (just to track forms!)
- At least three signatures required on paper forms
- Account numbers aren’t always correct
- Processes different at the Colleges for new classified employees
- Late submission of priorities delays hiring process
- Difficult to project budget – sometimes positions pulled back
- When late, process is then rushed
- At SC sometimes it’s not clear who the chair is
- “List” is not in system
- No clear process or trigger to start recruitment process
- Lots of forms
- Paper-intensive process
- Unclear who fills out what form and when
- Challenge to coordinate with discipline experts
- Screen process for minimum quals can delay process
- Paper forms trigger the next steps – instead of system
- Not taking full advantage of functionality in PeopleAdmin – e.g. automatic routing for approvals, rating candidates, job descriptions, templates, etc.
- Long timelines for hiring process
- Unclear handoff between approval and start of recruitment
- Delays filling vacant positions – wrong or incomplete paperwork, positions on hold, etc.
- Incomplete applications
- Instructions on PeopleAdmin for applicants not great
- Duplicate information – double work – e.g. equivalency, resume and application questions
- Sometimes committee composition held up by Senate
- Can’t save application if required field is blank – results in many incomplete apps
- Takes the applicant a long time to complete application in PeopleAdmin
- Paper = risk
- Retention policy is “forever” – do not need to retain records for so long
- Using shadow systems for interview questions
- Sometimes interview format is too rigid
- Lose candidates because process is so long
- Applicants confused by the process
- Need a plan to deal with successful candidates during the “I’m not sure/need more information” stage
- Supervisor may or may not have sway about whether or not the best person is hired
- Limited storage space – retaining everything
- Long decision making cycles
- No path to re-org within a department until someone leaves
- Pain to get a new position approved
- Non-faculty positions are a “one-off” every time – no clear process – not always tied to strategic plan
- Last minute requests
- Lots of people required to complete process
- Unclear hand-off between Presidents and HR during offer process
- Changes to salary and benefits when moving from PT to FT faculty
- Mixed messages about video conferencing – unclear about when to use it
- Applicants not always notified in a timely manner – can result in a bad impression
- PT faculty search yields too many results
- Shadow system to track “no thank yous” sent to PT applicants
- PT pool is too generic – for both colleges
- Pools are old
- Sometimes PT applicant attached to incorrect discipline
- Paper more likely to get lost
- If someone starts teaching before process is complete it is a potential liability
- E-mail activity letters
- “67% rule” difficult to track
Budget Development Process
Observations

During the workshop, participants identified issues with the current budget development process. Themes included the following:

- Process is long
  - Many layers
  - Paper-driven
  - Requires entering the same data multiple times in multiple systems
  - Cumbersome

- Many moving parts
  - Redundant data entry
  - Excel
  - Paper
  - Budget development system separate from strategic planning outputs and separate from purchasing system

- Not transparent – can’t track where things are in the process

- No budget available for two months (June and July)
Current Budget Development Process

**District Fiscal Svcs**
- Send budget guidelines to budget mgrs and others – instructions and timeline
- Send request to IT to roll from prior year
- Clean up – position, salary, benefit figures
- Open budget dev system and notify colleges

**IT**
- Load salary schedules, basic accnts and positions into budget dev system

**College Business Officer (IVC)**
- Download last 2 years expenditures from Escape
- Merge w/ current budget
- Highlight cells to update
- Parse Excel sheet by division and dept
- E-mail Excel sheets to budget mgrs

**College Business Officer (SC)**
- Print budget
- Review and clean up positions
- Note new positions, retirements, etc.
- Review local income (Excel)
- Enter data in CHRMS
- Print budget worksheets – incl. prior year expenditures
- Deliver worksheets and additional info to budget mgrs

**Budget Manager**
- Meet w/ CBD (some)
- Review – e.g. positions, local income, allocations, etc.
- Complete worksheet
- Deliver/e-mail worksheet to CBD

**College Business Officer**
- Verify – correct and balanced
- Enter dept info in CHRMS
- Enter college-wide info in CHRMS – utilities, equipment, etc. – from strategic plan
- Update DRAC Excel sheet
- Project ending balances (carry-over)
- Run income and expenses (separate reports) to confirm “balanced” in CHRMS
- Close budget dev system
- Review and check balances
- Fix any problems
- When balanced, manually create Excel sheets to present to the Board
Objectives for new process

- Simplify the process
  - Fewer steps
  - Fewer approval layers
  - Design around the rule, then handle the exception
  - Decrease cycle times
  - Auto-route for review

- Single source of data for viewing, reporting, updating, approving
  - Enter data once
  - Eliminate paper
  - Eliminate need for shadow systems

- Utilize robust, flexible reporting tool
  - Allow for scenarios, projections, modeling
  - Ability to “slice and dice” data
  - Take snapshots of points in time – e.g. use for year-to-year comparison
  - Incorporate historical data

- Tightly integrate planning assumptions

- Provide for multiple versions of the budget – e.g. initial, working budget 1, working budget 2, tentative, final

- Flexible budget controls – e.g. auto-check budget availability at a higher level during purchasing process

- Clarify roles and responsibilities

- Make better use of everyone’s time

- Provide access from anywhere, any time
Ideal Budget Development Process

**Inputs**
- Develop strategic plans - incl. tech plan, 5-yr construction, human resources, etc.
- Enter planning results in ERP - image docs for all to access
- Run budget scenarios, projections, and models
- Identify any carry-over funds from prior year
- Establish "working budget 1"

**Budget Development**
- Auto-notify stakeholders that working budget is available for their input
- Budget mgrs review plans, historical data, assumptions, etc.
- Budget mgrs enter budget requests (can only update designated acct/object codes)
- Auto-notify non-submitters X days before deadline
- (Ongoing) CBOS, Fiscal Svcs, etc. reviewing input, running queries, analyzing data
- At deadline, close input window (view-only access provided for ALL stakeholders)

**Adoption**
- Take snapshot and name version - e.g. "working budget 1"
- Take next snapshot - e.g. "working budget 2"
- District reviews, runs projections, meets w/ CBOS; makes changes
- Run several iterations until "complete"
- Extract data for presentation to Board
- CBOS review, meet w/ budget mgrs, make changes

**Purchasing**
- In August, update snapshot to "final budget"
- Open "tentative budget" and begin purchasing for next fiscal year
Budget Development Process
Opportunities for Improvement

In brainstorming fashion, participants identified the following opportunities. (These are not listed in ranked order, nor do they necessarily represent consensus.)

- Utilize a single source of data (ERP) – eliminate need for shadow systems and paper
- Apply for grants based on strategic plan – identify need then pursue support
- Provide incentives for long-term planning
- Include end dates on every position – close out every year (if not, budget numbers are way off)
- Enter budget at department level, then roll-up and route electronically for approval – no Excel, no paper
- Procure ERP that supports iterative budget development process – e.g. “working” copies, scenarios, etc.
- Eliminate paper and the need for shadow systems
- Auto-notify when “milestones” are hit – e.g. position open
- Allow notes and mark-up online
- Incorporate historical data into process – allow for different views into the data
- Auto-notify budget managers when it’s time to review
- Prevent some items (org codes) from being updated (display only) while allowing others to be revised
- Link budget development to planning documents/information
- Integrate imaging with ERP – view simultaneously, eliminate paper
- Improve communication – e.g. clear next steps “by date X, complete three [bullets]”
- Auto-notify when deadlines approaching – if that person has not completed tasks
- Use tentative budget after June Board meeting – all budgets in the same ERP as purchasing, positions, etc.
- Ensure ERP handles various code lengths – avoid awkward workarounds
- Simplify Chart of Accounts
- Use ERP to provide only correct codes for departments
- Intuitive to use ERP
- Robust, flexible reporting tool
- Ability to encumber payroll
- Show description rather than abbreviation or codes – ensure field lengths are long enough
- Budget managers enter budget requests in ERP
- Allow CBOs to adjust some salary and benefit lines (3000s)
- Put benefit dollars in one “bucket” then pay out of other lines
- Stop calculating benefit amount for each employee
- Allow users to view budget even after input window is closed
- Ensure a single reporting source (ERP)
- Include historical data in reporting
- ERP should have real-time query tool – answer ad hoc questions
- Include iterations of the budget – e.g. revised budget available real-time
- Allow users to drill-down to obtain more detailed information – e.g. from summary budget, to dept, to acct, to object, to items, to transactions
- Extract Board report from ERP – don’t retype
• Start planning process earlier
• Align planning with budget
• Have more college reps at negotiations – or include when developing negotiation parameters
• Set aside “lump sum” for summer projects
• Budget across divisions – e.g. IT and Instruction – budget jointly to include all affected budget “buckets”
• Involve all stakeholders when pursuing grant – e.g. HR, IT, etc.
• Develop electronic budget amendment process
• Send budget amendments to District Fiscal Services or route through CBOs
• Use same process for amendments as for initial budget requests
• Clarify roles and responsibilities – e.g. grant manager, CBO, Fiscal Services
• Eliminate redundancies – e.g. multiple reviews for the same thing
• Enter budget into system prior to Board review as “proposed”, then Board ratifies/approves
Budget Development Process
Obstacles

In the same manner, participants identified the following obstacles:

- Straddling multiple systems
- Using shadow systems – Excel
- Don’t always have grant information at the right time
- Difficult to integrate “backwards”
- Don’t have true position control in HR system
  - Difficult to identify “real” vacancies
  - Loop is not closed for un-filled positions
  - Requires a lot of clean-up in Fiscal Services (1 month)
- Disconnect between Fiscal Services and HR systems and processes
- Shotgun (untargeted communications)
- Many position numbers keep getting rolled over year-to-year – can’t do historical tracking and reporting
- Not always notified when a position has been opened
- Budget figures on paper on desks, rather than in secure system
- Paper is easy to lose
- Sometimes directions are not clear about what budget managers a supposed to do with the information they receive
- Operating without a budget in the system for two months (July and August) – too difficult to load tentative budget
- Too much information to “digest”
- Giant e-mails
- Too many sets of dates
- Co-mingling processes – year end with budget development – dates all on same list
- Using workarounds to track TOPS codes – current system can’t handle 6 digits
- Complicated rules and process for transfers
- Shadow systems used for – e.g. Perkins (committed but not requisitioned), budget (requisitions in “English”)
- Payroll not encumbered
- Budget and purchasing systems not connected
- Redundant steps – enter in system, then enter in Excel, then print multiple copies, then enter in system, then print, then enter in Excel
- Disconnect between negotiations and budget process
- During June/July, cannot purchase some items – no budget in place for two months
- Working around deadlines
- Summer is great to get projects done, but if can’t purchase, can’t do the work (e.g. computer labs)
- Lots of people in the process – hard to communicate and participate
- When grant money is awarded late – and with a “spend now” provision (especially if hiring) – it throws a wrench into the process
- Budget is not truly revised
Travel Process
Observations
During the workshop, participants identified issues with the current budget development process. Themes included the following:

- Process is long
  - “70 steps too many”
  - Unnecessarily complicated – Rube Goldberg
  - Many approval layers
- Not making the best use of everyone’s time
  - Significant overhead costs
  - “Exhausting”
- Not utilizing technology
  - Travel agent not able to get best deals
  - Paper-driven
Current Travel Process – 2

Traveler/Assistant
- Pick up check
- Copy check and file
- Give check to traveler
- Contact travel agent to reserve rental car
- Prepare folder for traveler w/ all docs and info
- 24 hours prior to travel, print boarding pass
- Travel and retain itemized receipts
- Prepare reimbursement (Excel) - enter $ amounts for prepaid expenses, receipts, etc.
- Print reimbursement form - attach docs and receipts
- Sign and route to approver

Approver
- Review and sign
- Send to A/P

Accounts Payable
- Review forms and docs
- Open req in Escape
- Enter details for reimbursement check
- Print checks
- Send checks to OC DOE to sign
- When signed check returned, contact traveler for pick up or mail check

Travel Agent
- Meet and Fax invoice to buyer (1x/month)
- Review forms and docs
- Open req in Escape
- Enter details for reimbursement check
- Print checks
- Send checks to OC DOE to sign
- When signed check returned, contact traveler for pick up or mail check

Buyer
- Match invoice to itineraries
- Copy and send to A/P
- File in binder
- Write $ amount in log (paper)
- Pay travel agent (see previous check process)

Accounts Payable
Objectives for new process

- Make better use of everyone’s time
  - Eliminate cutting checks – e.g. for hotels
  - Eliminate paper
- Simplify the process
  - Reduce steps
  - Reduce approval layers
- Utilize technology
  - Deploy Purchasing Cards
  - Book own travel via web
  - Enter travel approval and details online
  - File expense report online
  - Auto-notify reminders
Ideal Travel Process (incl. P-Cards)

- Traveler/proxy submits request to travel online
  - Auto-route for approval – e.g., supervisor, budget manager
  - Approvers review and approve online
  - Auto-notify traveler/proxy “ok to book”
  - Encumber estimated amt online

- Traveler/proxy book all online using P-card – e.g., flights, hotel, rental car, conference registration, etc.
  - View P-card charges online

- Travel and retain P-card receipts – use smart phone app to capture receipt
  - Upon return complete expense report online – if paper receipts, image and attach to record
  - Auto-notify supervisor

- (1x/mo) Bank sends transaction file to ERP (commodity codes mapped to object codes)
  - Auto-notify cardholder “ready to review”
  - Review and confirm charges connected to correct object codes

- Auto-route to supervisor
  - Review and approve online
  - Auto-route to AP

- (1x/mo) Bank sends master statement to AP
  - AP reviews travel expense report
  - AP pays Bank
Travel Process

Opportunities for Improvement

In brainstorming fashion, participants identified the following opportunities. (These are not listed in ranked order, nor do they necessarily represent consensus.)

- Eliminate paper and forms
- Transparency – see where requests and approvals are in the process
- Take advantage of discounts – e.g. CalCard
- Provide named purchasing cards to faculty, administrators, and staff
- Build in controls to purchasing cards – e.g. commodity codes (e.g. toner but not popcorn at Staples), limits, etc.
- Step-by-step roll out
- Rational reconciliation, appropriate checks in place
- System integration between card issuer and SOCCCD ERP
- Clear, simple instructions about the travel process
- Discontinue use of travel agency for routine travel
- Use travel agency when special travel needs – e.g. student group
- Move entire process online
- Pay all travel expenses with District/College purchasing card – much more secure, doesn’t ask people to front their own money
- Require electronic submission of travel request prior to trip and expense report after the trip
- Revise procedures with auditors – e.g. replace “wet” signature with electronic authentication, use date in ERP and imaging system rather than paper copies
- Provide a meal allowance
- Travel books own travel – via web and phone – incentivized to save money
- Provide 75% travel advance (for those without purchasing cards)
- Make all reimbursements via direct deposit
- Replace the paper “travel folder” – itineraries, reservations, directions – with mobile phone app – e.g. TripIt
- Provide for proxy role – i.e. president’s assistance can book in his/her name
- Reduce the number of approval layers – i.e. required signatures
- Move all approvals to online queue
- Eliminate redundant processes – e.g. paper process layered on top of electronic process
- If budget approved, don’t need to reapprove for every travel request
- Encumber travel funds – e.g. for the year
- ERP allows for expenses coming from multiple funds/accounts/objects
- Provide an easier process for student travel
- Put Foundation on same ERP – clear distinction between funds
- If decide to retain travel agent, issue RFP
• Distinguish between notification and approval – e.g. send FYI to President but don’t require President’s approval
• Pre-approve travel
• Develop travel calendar as part of budget develop process – support strategic plan
• Approve at “request to travel”
• Utilize staff development funds
• Designate a travel “expert”
• Get better travel deals
Travel Process
Obstacles

In the same manner, participants identified the following obstacles:

- Unnamed credit cards represent a risk
- That risk has resulted in limited distribution and use
- Current cards are not used for travel
- Must use travel agent to book flights – may not get lowest rate – process very long
- In the three weeks between initial pricing and booking, price typically increases
- Lots of out-of-pocket expenses
- Staff don’t believe they can use the credit card – laborious to “check out” cards from CBOs
- Process is heavily layered – e.g. charge an expense, then enter a requisition, then log it
- Spend hours tracking travel for one trip
- Lots of back-and-forth in the process
- Using shadow systems to track – e.g. Excel
- Print FS354 forms – one per vendor – write vendor number on each one – paper
- Confusion about how to follow the process
- Process has lots of room for error
- Mailing checks to hotels is arcane, inefficient, and inaccurate – e.g. “28 cents off”
- Problems with some hotels because need a credit card at check in
- Traveler forgets to pay hotel with check and uses credit card – then difficult change and reconciliation process
- Some hotels do not take checks
- Scan credit cards
- Confusion about roles at District and Colleges
- Process not flexible enough to handle travel changes – must start a new requisition or “reopen” it – but most travelers call the airlines directly
- Wrong conference number makes it difficult to track
- Must “remember” to book flight after approvals given
- Buyers acting as “travel coordinators” – e.g. giving travel agent approval to book flights (buyers should be completely outside the process)
- Redundant processes – credits cards and paper and checks
- DOE takes 5 to 10 days to return reimbursement checks – not good service to traveler
- Details – e.g. when to take shuttle, rental car, own car
- Rebooking is difficult – end up losing money
- Changing flights and/or hotel in the middle of trip results in very difficult process afterward
- Late submission of receipts
- Paying from multiple accounts with a single abatement
- One credit card – must “check out” card – only person can use at a time
- Hit maximum on credit card
Payroll Process
Observations
During the workshop, participants identified issues with the current payroll process. Themes included the following:

- Not integrated
- Many “moving parts”
- Lots of back-and-forth – returning to previous steps in the process, missing information, checking and re-checking
- Lots of duplication
- Inordinately time consuming
- Many hands touching paper – error-prone
- Paper is driving process, not system
- Cannot track the process – nothing is entered into a system
- No real-time information provided to employees “inside” or “outside” the process
- Cannot see employees working at multiple locations
- Copying, filing, reconciling – all non-value added steps
- Process does not have a natural flow
- Divisions are doing Payroll work, Payroll is doing HR work, and HR is doing Payroll work
- Layers of unnecessary approval

**Payroll**
- Review ESR – e.g. compare w/ board report start date
- If info missing or in conflict, contact HR
- Distribute forms (by letter of alphabet)
- Review ESR against board report and annual schedule e.g. placement
- Enter in County systems – incl STRS/PERS
- Write all info on earnings card

**Division**
- Track absences – e.g. in Excel, on paper, etc.
- Route forms for approval
- Review and sign
- Update Excel

**Employee**
- Report absence/presence – e.g. personnel transaction form, absence verification form, sign-in sheet
- Complete alternate work schedule
- Route for approval and signature
- Copy and file
- Walk/courier/campus mail to Payroll

**Division**
- If overload, complete multiple payroll timesheets
- Route for approval and signature
- Copy and file
- Walk/courier/campus mail to Payroll

**Division**
- Complete OSH report
- Enter in Excel
- Route for approval and signature
- Copy and file
- Walk/courier/campus mail to Payroll

**Payroll**
- Review timesheets – e.g. against board report, manual changes on OSH report, etc.
- If problem, send back or hold
- Verify totals, available leave, signature, etc.
- Enter absences in CHARMS
- If docking pay, send form to employee
- Enter docking in County system
- Enter OSH in County system
- Enter on earnings card

**Payroll**
- Enter timesheets in County system
- Write on earnings card
- Update deductions in County systems – e.g. taxes, direct deposit, benefits, etc.
- Write on earnings card
- After everything entered in County system, audit payroll
- Cross-audit
- Process payroll and print register
- Audit register to earnings card
- Write pay on earnings card
- Country generates direct deposit
Current Payroll Process – “Positive Reporting”

**Division**
- Complete non-bargaining unit form (NBU)
  - Route for approval 1
  - Route for approval 2
  - Route for approval 3
  - Route for approval 4
  - Send NBU to HR

**Human Resources**
- Prepare for board agenda
  - Enter NBU into CHARMS
  - Generate ESRs
  - Send ESRs to Payroll

**Division**
- Give timecard to employee (some)
  - Fill out time card for employee
  - Sign time card
  - Update Excel w/ hours and days
  - Print, copy, and file

**Employee**
- Fill out time card – name, title, position #, acct #, etc.
- Supervisor signs
- Dean/Director signs
- Send time cards to HR

**Human Resources**
- Download Excel sheet from CHARMS
- Compare time cards to Excel
- Follow up if name or another field doesn’t match
  - Enter days and time in Excel
  - Send time cards and new hire packets to Payroll

**Payroll**
- Review time cards – hrs don’t match calendar, > 8 hrs in a day, hrs not added correctly, not signed, position title or # wrong, in pencil, etc.
  - Send back if problem
  - Alphabetize and distribute
  - Pull earnings cards
  - Review position #, position title, acct #, etc.
  - Write hours on earnings card
  - Enter hours in County system

[see previous process “Run Payroll”]
Objectives for new process

- Process is visible and easy to understand
  - Available 24/7 – e.g. web-based time and leave entry
  - Flexible reporting tools

- Simplify the process
  - Reduce steps
  - Eliminate approval layers
  - Reduce errors – “do it right once”
  - Reduce loop-backs and rework

- Utilize a single source of data (ERP)
  - Establish one place to go where all information is tracked – real-time
  - Integrated
  - Enter data once – no redundant steps
  - Eliminate the need for shadow systems

- Utilize workflow and imaging to eliminate paper

- Make better use of everyone’s time
  - HR doing HR work, Divisions doing Division work, and Payroll doing Payroll work
  - Eliminate checking and re-checking
  - Target controls and audits
Payroll Process
Opportunities for Improvement

In brainstorming fashion, participants identified the following opportunities. (These are not listed in ranked order, nor do they necessarily represent consensus.)

- Utilize imaging if documentation required – e.g. note from doctor
- Identify all data that can be tracked electronically
- Enter data once – eliminate need for spreadsheets, paper time sheets, earnings cards, etc.
- Identify clearer “triggers” at each step in the process – system-driven rather than paper-driven
- Enter all data at the beginning of the process – quality principle “do it right once”
- List everything Payroll needs to have in place prior to running payroll
- Extract earnings history easily from the ERP – including notes, workers comp info, etc.
- Revisit “advance” on the 25th for the entire month – confusing
- Enter “sick” information online (from home)
- Enter all absences and all approvals online
- Distinguish excused from unexcused absences
- Allow employee to see up-to-date leave balances, earnings history, etc. online
- Revisit 1990 memo
- Update procedures to reflect contract changes
- For full-time faculty, new ERP must handle some hours as “part-time”
- All information in ERP, tied to employee number
- No duplicate records for same employee
- Ensure ERP handles non-traditional work schedules – e.g. 9/80, 4/10, etc.
- Ensure ERP can handle OSH
- Use ERP as single, authoritative source of information – all in one place
- Enter in ERP as soon as Board approves
- Use ERP as the “driver” – i.e. enter data early – rather than the “receptacle” – i.e. enter data at the end
- Check stipends, etc. via web self-service – approved prior to availability for web time entry
- Update and notify when employee’s schedule changes – auto-notify using workflow
- Ensure ERP handles “banking” and comp time
- When a class is cancelled, automatically adjust pay/OSH
- Provide open enrollment online
- Work with providers to provide online access – eliminate paper forms
- Demonstrate multiple insurance options for employees – e.g. rate tables
- Report on leave balances (liabilities) – everything paid out
- Utilize workflow to alert automatically when a non-bargaining unit employee is approaching 195 days
- Roll non-bargaining unit employees every fiscal year – eliminate need to reenter manually every year
- Provide training
- Revisit requirement to indicate persons name when substituting
- Identify “substitute for” position in ERP – rather than name
- Handle account # changes and paying employees from more than one account
- Supervisor provides “authorization to pay” – rather than multiple approval layers
- Record time daily using web time entry
- Pay overtime in same month earned
- Track authorization of overtime and comp time
- Track rate changes and shift changes
- System prevents data entry errors – e.g. entering time on “February 30th
- Put the right controls in the right places
- Automatically calculate step and column increases
- Calculate retroactive pay
- Integrate with County – e.g. after step increases run in ERP, then reflect in County system
- Consider daily update with County – e.g. name changes, address changes, pay changes, assignment changes, etc.
- Payroll shifts from a data entry role to an auditing role
- Integrate with the class scheduling system (CSIS) in order to track faculty assignments
- Robust reporting tool – e.g. ad hoc queries, different time periods, by employee type, by categories, etc.
- Provide for MIS and IPEDS reporting
- Allow drill-down – e.g. start with salary object code then see individual payment detail
- System should be intuitive and easy-to-use
- Schedule “educational demos” with vendors – show what’s possible
- Consistent terminology
- Ability to change label names in ERP
- Fast, real-time transactions and processes
- Control access for security
- Allow mass update of groups of records
- Utilize imaging in order to eliminate paper
- Provide online communication – targeted messaging – e.g. deadline to enter time
- Provide responses to unemployment benefits requests
- After 5 consecutive semesters, part-time faculty are eligible for benefits – ability to configure ERP to identify these instructors
- Integrate with mySites, CSIS, SharePoint, etc.
- Use workflow to notify – e.g. FYI – rather than stop process for “approval”
- Pre-populate fields for authenticated users – e.g. web time entry
- Extract from ERP to create Board report rather than re-typing and proofing all the information
- Scenario for demo script: Less than 20 hour/week salaried employee (“banks” Fridays) – Monday holiday is prorated (4 hours), but employee was scheduled to work 5 hours – must take one hour from “bank”
- Pool of approved substitutes
- Tie substitute to absence and position
- Eliminate requirement to report excused absence
- Survey senior admins about employees entering data
- Clearly define roles and responsibilities
Payroll Process

Obstacles

In the same manner, participants identified the following obstacles:

- Difficult to understand overload rules
- Steps in the process that include “if I remember…”
- Missing ESRs
- Checking and re-checking
- Duplicate, triplicate, and quadruplicate data entry – e.g. Excel, HRIS, County – room for error
- Payroll staff doing HR activities
- Audits are manual and paper driven
- Paper earnings cards represent the authoritative source of payroll history for the District
- Every earnings card updated manually every pay period, every new agreement, every fiscal year
- Running on past practice
- “Sign in” in facilities is not absence tracking – it’s the opposite
- Multiple layers of approvals
- Divisions tracking absences differently
- SSNs are “out there” – e.g. old time cards
- Various methods to send information to Payroll – not consistent
- When absences affect OSH, must “remember it” in order to track
- “67%” not being tracked automatically – current paper system cannot recognize employees working at multiple locations
- Not operating as “one” District
- Every employee completes paper form of their annual schedule every year – even employees with “regular” schedules
- LHE tracking for non-instructional employees is “horrifying” – especially when someone is working at multiple sites and not in system until the end of the semester – could result in a grievance
- Divisions are doing Payroll activities
- Some employees work before position is approved – not oriented, no livescan, not covered by workers comp, etc.
- Instructors paid for a class the did not teach – load vs. overload complicates this
- Loads not set correctly
- Changes made after reports (paper) run – e.g. class cancelled
- District is vulnerable – lacking solid internal controls – systems not connected, paper does not provide visibility and connections
- Employee does not know about time cards
- HR is tracking 600 time cards – every pay period – in Excel – to ensure no one works more than 165 days
- Time cards are blank – must hand write employee ID and account number every pay period – error prone
- No way to track those with greater than 1000 hours and therefore PERS eligible
- Some employees not on campus when time card needs to be submitted – symptom of a paper-driven process
• One person (1 FTE) was hired to “find people”
• Inefficient process steps – e.g. “weekends ok” stamp
• Addressing symptoms but not roots – e.g. 5 signature lines on time card – not OK to leave any blank – but same person can sign 4 lines
• At the beginning of the fiscal year, reset dates, then must reenter all positive reporting employees – with dates and pay rate
• When many ESRs generated, HRIS can only print a sub-set at a time
Accounts Receivable Processes
Observations

During the workshop, participants identified issues with the current accounts receivable processes. Themes included the following:

- Significant duplication of efforts
  - Potential for error
  - Shadow systems create non-value added reconciliation steps
  - Inefficient, labor-intensive, expensive
- Paper-driven – a lot of copying, routing, and filing
- Lack of clarity around process
  - Lots of hand-offs
  - Transaction takes place long after receipt – e.g. deposit in Escape as the last step of the process
  - Lots of variations
- Inadequate controls – potential for loss by
  - Accident
  - Fraud
Current Cash Handling Process – Non-Student Accounts Receivable

- **Inputs**
  - US mail
  - Campus mail
  - Locked and unlocked money bags
  - “Coffee can”
  - Campus police
  - Cash boxes/drawers
  - 3rd party payment processor
  - Telephone
  - In person

- **District/Coll ege Mailroom**
  - Sort and deliver envelopes
  - (Some) Send from District to College

- **Building/Division**
  - Sort and put in mail slots
  - Record (paper, Excel, etc.)

- **Bursar/Student Payment**
  - Put in safe
  - (IVC) Enter in “Register” (SharePoint)
  - (IVC) Produce receipt, e-mail to “delivered by”
  - (IVC) Generate “ready to deposit” report
  - (IVC) Count money in safe
  - (IVC) Compare count w/ report
  - (IVC) Complete deposit advice and attach docs - e.g. copies of checks
  - (SC) Contact police to deliver to District Acctg

- **District Accounting**
  - Sign for receipt of money
  - Distribute internally
  - Add receipts
  - Add checks (copies)
  - Compare totals to deposit advice
  - If totals don’t match, contact dept
  - If ok, write on advice and return copy to dept
  - [repeat process for all deposits]
  - Run tape
  - Bundle cash and checks
  - Complete bank receipt and deposit slip
  - Put in sealed bag and send to bank
  - Post in Escape
  - Write check to County
  - Post to dept revenue accts in Escape
Current Cash Handling Process – Student Accounts Receivable

**Student**
- Pay online

**IT**
- Auto-deposit in District Depository
  - Run report from credit card processor
  - Run daily recon report
  - Compare reports
  - If ok, e-mail report to District Acctg

**District Accounting**
- Print report
- Post to District Depository (clearing acct in Escape)
- Run report from SIS – break out by type – e.g., health fee, parking, etc.
- Run report from Escape (real receipts)
- Update Excel (to transfer money to County)
- Issue check from District Depository
- Send deposit to County
- Enter into accts in Escape (manually)

**Student**
- Pay at bursar/student payment
  - Pay via mail

**Bursar/Student Payment**
- If student in person, enter in SIS and print receipt
  - If not in person, hunt for Student ID #
  - Post payment in SIS
  - If 3rd party paying, enter deferral in SIS
- Cash-out each night
- Count money and run tape
- Reconcile w/ SIS report
- Send tape, money, and SIS recon report to District Acctg
- Run "missing cash drawer" report

**District Accounting**
- [repeat steps from previous map]
Objectives for new process

- Process is visible and easy to understand
  - Develop District-wide cash handling guidelines
  - Clear training and documentation – simple and intuitive
  - Flexible reporting tools

- Simplify the process
  - Reduce steps
  - Eliminate approval layers
  - Shorter cycle times
  - Reduce errors – “do it right once” – e.g. account number correctly selected when money is received
  - Reduce loop-backs and rework

- Utilize a single source of data (ERP)
  - Establish one place to go where all information is tracked – real-time
  - Integrated
  - Enter data once – no redundant steps
  - Eliminate the need for shadow systems

- Utilize workflow and imaging to eliminate paper

- Make better use of everyone’s time
  - Right people doing the right things
  - Eliminate checking and re-checking
  - Target controls and audits
Ideal Cash Handling and Other Accounts Receivable Processes

[Intersects w/ registration process]

- Students pay bill online
- Buy ticket to event online
- Make donation online

Auto-authorize and auto-load to ERP (finance)

Notes:
- Credited/debited to correct account based on correctly configured detail codes (GL acct numbers attached to detail codes)
- Posted real-time
- Cash controls built-in, can skip manual steps

Generate invoices to granting agency from ERP

E-mail invoice w/ imaged attachments to granting agency

When pmt received, record directly in ERP

All money recorded and tracked in ERP real-time

Give cash or check w/ detail code

Receive at cash control point (one at each college)

Count money, enter in ERP, and issue electronic receipt

Put money in safe and lock

Dispose a day, College reconciles cash and deposits to bank

Interface w/ advancement system (or incl in ERP)

Load to County (once a day)

Ongoing: run queries to identify outliers and exceptions, execute targeted audits, generate control reports, etc.
In brainstorming fashion, participants identified the following opportunities. (These are not listed in ranked order, nor do they necessarily represent consensus.)

**Cash Handling**

- If fee related to a class (e.g. photography supplies), tie the fee code to the class and include on student bill as part of the registration process
- Standardize the ASG fundraising structure
- Develop an “umbrella” process for all cash handling – see Grand Rapids CC as an example: [http://cms.grcc.edu/business-and-financial-services/cash-handling-policy](http://cms.grcc.edu/business-and-financial-services/cash-handling-policy)
- Deposit cash daily
- Train mailroom in cash handling procedures
- Increase the amount of cash received electronically – e.g. via web forms
- Provide a single mailing address for cash – consider pre-printed envelopes
- Every department use the same mailing address for cash received
- Ensure confirmation “I got it” as a control step
- Meet with departments to review new process
- Provide clarity about where and how to deposit cash received
- Develop clear set of cash handling guidelines
- Issue electronic receipts – e.g. print acknowledgement page on the web as receipt
- Ensure clear separation of duties
- Deposit money directly from Colleges to bank – no need to go through District first
- When money received, deposit it daily
- Install cameras in locations where cash is handled
- Image checks for deposit – discontinue copying and filing
- The fewer handoffs the better – from receipt to deposit – e.g. remove District steps
- Track check from point of receipt to deposit
- Reduce number of checks and cash – encourage people to use credit and debit cards on the web
- Eliminate checks and cash – everyone pay online
- Ensure a single deposit can be credited to multiple accounts
- If payment received online, reflect immediately in department’s account – consider a “pending” status
- Post faster and handle the exception, rather than holding up all posting until exceptions are checked – e.g. waiting to see if any checks bounce holds up posting for the entire batch
- Configure web payment forms to direct to correct account
- Use EFT for large grant accounts
- Revisit third party payment vendors – e.g. Community Ed, Foundation – look for opportunities to consolidate OR for ERP to handle
- Discontinue accepting checks for student payment
- Take checks electronically – or use credit or debit cards
- Allow District and Colleges to run reports – free IT from that task
• Use a single merchant ID – rather than separate ones for each college
• Automatic journal entries from SIS to Finance ERP – then review and validate (rather than review first and post manually)
• If payment received via mail, issue receipt
• Automate 3rd party billing
• Pre-authorize for 3rd party billing
• Generate all invoices from ERP
• Automatically invoice for some grants – e.g. monthly, quarterly
• Image supporting documents
• Send invoices and supporting documents electronically
• Online time and effort reporting
• Negotiate terms with granting agency – look for consistency across grants
• Clarify guidelines for which grants can be run through Foundation
• Include an integrated document library with ERP
• Conduct “real” invoicing
• Consider fine-grained access to data – e.g. specific payroll information for some grants
• Provide a payroll calculation tool – or use a standard rate
• Image checks and attach to record in ERP
• Eliminate paper
• Save time
• Improve accuracy
• Coordinate all grants administration
• Conduct BPA workshop for grants – from pre-award through close-out
• Negotiate rates District-wide
• Use standard rates as outlined in Ed Code
• Move facilities rentals under College Business Officers – ensure consistency, transparency, and controls
• Analyze which facilities are in use? Are costs being covered?
• Online rental reservation
• Online invoice/payment
• View total receivables from a single source (ERP)
• Receive monies into correct account
• Use accrual accounting
• Conduct analysis and aging
• Coordinate collections District-wide
• Implement online gift giving
• Move all fundraising under the Foundation
• Issue standard receipt for all gifts
• Encourage more online giving
• Integrate Raiser’s Edge with ERP
• Evaluate ERP functionality for Foundation – would eliminate need for additional software, maintenance, and integration
• Deploy electronic routing, review, and approval
• Deploy a single, authoritative source of data
• Develop District-wide procedures – one result is the elimination of paper
• Track funds, campaigns, appeals, events – relate to donations
• Provide for flexible reporting – e.g. by sub-account, restricted and unrestricted accounts, campaigns, etc.
• Allow donors to see their giving history online
• Develop guidelines for in-kind gifts – e.g. dollar threshold under which gifts not accepted
• Vetting guidelines for in-kind gifts
• Route in-kind gift review and approval electronically
• User Raiser’s Edge for events
• Create a policy to require all fundraising to go through Foundation – ensure Foundation is the “business side” of every fundraising event
• Provide clarification re: trust accounts
• Designate one cash control location on each campus
• Designate specific departments authorized to receive cash
  o Develop guidelines
  o If another department is hosting an event, invite “cash handling” staff person to handle the cash handling part of the event
• Deploy imaging in the departments
• Send “odd balls” to cash control point at campus
• Consider a “no cash” policy (like American Airlines) – credit and debit cards only
• Utilize card readers at events
• Fewer checks – encourage all to go online o pay/donate
• Auto-notify if cash received but not deposited the same day
• Bring all cash to control point every day – receive, record, deposit
• Embed help within the technology
• Utilize fee/detail codes – Accounting sets up the DR and CR GL account numbers in the background to ensure money credited to correct account
• Ask vendors to demonstrate student refunds
• Consider refunding net rather than gross
• Use friendly, clear terminology with new technology
• Intuitive interface – context-specific help, videos, chat, etc.
• Use voice recognition
• Target controls and oversight in the right spots
• Build in a “mock” audit
• Identify one contact person in Athletics
• Develop a clear message about this project – the big “why?” – the “elevator speech”
  o What are the big benefits? For students, faculty and staff
  o What if there were no lines when students were paying?
  o What if money was deposited the same day it was received?
  o Making doing business with the District easier
• Collect baseline data in order to measure improvement – e.g.
  o Time from receiving money to depositing
- Time from receiving money to recording in department account
- Time from financial aid award to student refund
- Tie savings to ongoing costs
- Utilize workflow for in-kind gift review and approval process
Accounts Receivable Processes

Obstacles

In the same manner, participants identified the following obstacles:

**Cash Handling**

- No common process for receiving cash
- Procedures not followed
- Employees are vulnerable because of absence of controls
- Lack of controls
- Unclearly marked mail
- Cash in unlocked mail slots, bags, envelopes, etc.
- Unmarked checks
- No log for a signature indicating “cash received”
- Different deposit slips in circulation
- Many methods for handling cash
- No tracking of the cash
- No guidelines documented in one place
- Don’t provide training on cash handling
- Manual process
- No receipts
- Lacking safeguards – e.g. one person counts, another person verifies and signs
- Safe is not always locked
- Process is long
- Staff vulnerable when money is counted at their desks
- Bank is charging for deposits
- Delays in depositing
- Some deposits done only two times a month
- Doesn’t show in revenue account until much later
- Can’t deposit a single check to more than one account
- Separate process for large checks
- Process designed around the exception – waiting to see if checks bounce (very rare)
- Entering the same data in at least two places – County and Escape
- Third parties not audited – e.g. Community Ed
- Current 3rd party payment processors do not have functionality for someone else to pay student’s bill – e.g. “Aunt Betty”
- IT is checking cash totals and reconciling (should be done in IT, it’s a business function)
- Manually cut-and-paste to more than 150 accounts in Escape

Grants
- No single process to bill granting agencies
- No electronic invoices – all “handmade” using MS Word
- No invoice template or numbering system
- Cannot answer the question, “What’s the outstanding receivables balance?”
- Not efficient for audit
- Takes hours to generate back-up materials to send with invoices
- Multiple people sending information to District
- Access to payroll information is restricted
- No accounting entry when invoice is sent
- Different processes at IVC and Saddleback
- Risk losing grant fund
- Risk bad PR
- Asking people to work outside their areas of expertise – e.g. asking non-accountants to be accountants
- Risk credibility

Renting Space

- Variable rental rates
- Lack of controls
- Same person sends invoice and receives payment – vulnerable to fraud, barter, etc.
- Unknown uses of facilities – poses a liability issue

Foundation

- Taking credit card numbers over the phone represents a security risk
- Colleges using different software for Foundation activities
- Some gift processing happening outside Foundation
- Not depositing daily
- Manual compliance reports
- Manual (“homemade”) invoices from Foundation
- Using Excel to manage events
- Big events produce lots of cash – with few controls
- Hard to show where the money went
- Can’t track fundraising costs – or other overhead
Onboarding Process
Observations

During the workshop, participants identified issues with the current onboarding process. Themes included the following:

- Process is long, convoluted, cumbersome, muddled, fragmented, paper-driven
- No clear “owner” of the process
- New employee is not the focus of the process
- Massively redundant data entry
  - Entering data in several systems, Excel, etc.
  - Creating labels and folders
  - Copying and filing
- Process is not very welcoming – missing the personal touch
- Many choke points and missed hand-offs in the process – gaps between HR and Benefits, Benefits and Payroll, HR and Payroll
- Many variations and inconsistencies – process done differently every time
Objectives for new process

- Name a process “owner”
  - Develop overall objectives – e.g. welcoming, preparing, equipping, etc.
  - Coordinate with all departments involved
  - Develop consistent message
- Personalize the process
  - Ensure one-on-one contact
  - Appoint a mentor/contact person
  - Support the employee to hit the ground running
- Simplify process
  - “Design around the rule, handle the exception”
  - Reduce steps
  - Reduce errors
  - Eliminate re-work
  - Reduce approval layers
  - Clarify handoffs
  - Enter data once – eliminate shadow systems
- Utilize new technology
  - Make steps visible to all stakeholders
  - Online checklists – “Getting Started at IVC”
  - Deploy work flows
  - Eliminate paper
- Cultivate coordination between Colleges and District
- Become a model for excellence in welcoming new employees
- Measureable
  - Point of hire to provisioning account
  - Point of hire to start date
  - Two weeks after start date, connect with new employee, “What could we do better?”
  - Collect questions from new employees – use to improve process
- Better information “hub”
  - Web-based forms (employee self-service) – e.g. I9, benefits selection, direct deposit
  - Self-paced videos/tutorials – e.g. sexual harassment prevention, safety, etc.
  - FAQs
  - Live chat
Onboarding Process

Opportunities for Improvement

In brainstorming fashion, participants identified the following opportunities. (These are not listed in ranked order, nor do they necessarily represent consensus.)

- One location for information – a “hub”
- Review orientation
- Provide consistent information
- Provide mentor to new employees
- Provide 1 to 2 hours of training to supervisors
- Invite last year’s new hires to speak with supervisors
- Develop new employee checklist
- Use Claudia’s “Ten Tips” for new employees
- Consider naming a process owner – e.g. Human Resources – to coordinate onboarding activities
- Clarify hand-offs between departments
- Provide a local HR presence at the Colleges
- If item needs approval, route electronically rather than via paper – parallel rather than sequential
- Differentiate between approval and notification – the latter allows for parallel processing
- Make entire process visible to all stakeholders
- Utilize backup/proxy to account for vacations
- Use new ERP to monitor limits – e.g. 50% law, 195 days, etc.
- Use one ID number
- Auto-notify departments upon status change to “hired”
- Ensure everyone applies online (incl. students) – eliminate paper applications
- Complete onboarding information online
- Clarify provisioning process
- Develop real-time provisioning prior to start date – e.g. status changes to “hired” triggers account creation, assignment to role(s), notification, etc.
- Develop consistent message to give to new employees
- Provisioning should be fast and specific to type of new employee
- Start training earlier – prior to start date
- Definition – “hired” means offer accepted – after that, the process is onboarding – this is the handoff
- Clarify process to obtain ID card
- Develop one checklist for new employees (by type)
- Handle non-instructional OSH more effectively
- Obtain parking permit online
- Include verification of employment as part of the hiring process
- Develop a formal, scheduled, clear, consistent onboarding process
- Require onboarding process be complete prior to cutting first pay check
- Gather all required information – e.g. I9, benefits selection, address, etc. – via web
- Allow new employees to upload docs via web
- Identify a single point of contact for new employees
• Eliminate paper personnel folders – use “e-folders”
• Communicate “welcome, we’re glad you’re here” on the first day – keys, computer, business card, e-mail account, etc.
• Extract Board agenda from system – i.e. all those hired between Date A and Date B sorted by employee type
• Provide mentoring for new employees – e.g. best practices, checklist, etc. – very intentional
• Include mentor on hiring committee
• Provide some onboarding information via video – e.g. sexual harassment prevention, safety at work, etc. – new employee can watch from home
• Clearly define what information is where – make it easy to find
• Provide additional college-specific orientation
• Provide job-specific training
• Conduct most of onboarding process prior to start date – hit the ground running
• Outsource campus safety – contract it out – requirements are too onerous
• Consider issuing keys to every employee who needs them
• Install electronic locks
• For new employee “sign in and start process”
• Take advantage of sufficient time to onboard full-time faculty
• Protect the District AND get full-time faculty started – both are possible
• Idea – teach a class the summer prior to starting
• Early provisioning – start communication and onboarding upon acceptance of offer – prior to start date
• Provision computer, keys, ID cards, etc. during Flex Week
• Make the case that many departments need access to new employee’s address
• Roll data from applicant tracking system to new ERP
• Provide pamphlet with photos and bios
• Put all the bio sketches in one place – ERP – extract for various uses – allow stakeholders to update online
• Include emergency procedures and risk management in onboarding – candidates for video
• Utilize variety of media for onboarding – e.g. video, Skype, self-paced tutorials, chat, etc.
Onboarding Process

Obstacles

In the same manner, participants identified the following obstacles:

- 13 page instruction packet
- Frustrating
- Complicated
- Onboarding police officers is especially difficult
- Start work without being done with process
- Assuming process is same as at other campuses
- Culture is different and nuanced at each college
- Lots of handoffs between different areas – not smooth
- New employees don’t know what they’re supposed to do
- Process for adjunct faculty is muddled – unclear handoffs between hiring process and onboarding process
- Adjunct faculty can be “stealth”
- Form 003 replicates the application – redundant data gathering
- Process is long – paper and signature driven
- Sometimes delays of one month
- Those who don’t apply online have a longer process
- Issue when don’t have original social security card
- Takes many weeks to complete paperwork, fingerprinting, etc.
- Master agreement and placement on step is complicated
- Division doesn’t know username
- Provisioning is too late in the process
- Gap – some supervisors not communicating with new hires
- Lots of loop-backs to answer questions and obtain additional access to systems
- Counseling LHE calculation is manual
- Confusion – what’s District IT and what’s College IT?
- Unknown office location – need for phone, computer, keys
- Adjunct faculty not always available for orientation
- Inappropriate book selection by adjunct faculty member – process does not include review
- Not much time for “culture” orientation – curriculum, teaching, goals, etc.
- Difficult when employees start at different times
- New employees who are benefits-eligible are in the same room as those who are not
- Silos – e.g. HR and Benefits and Payroll
- Benefits is sometimes not in the loop
- Different departments maintaining at least three different personnel folders
- It can take 1 week to several months to get keys
- Departments who only hire occasionally don’t always know the onboarding process
- Must re-learn process every time
- Requires new employee to take charge and advocate for herself – “sink or swim” – “figure it out”
- Delays in Benefits if person not there
• Don’t know location – e.g. office, desk – for new hire
• Orientation is focused on sexual harassment prevention, discrimination prevention, risk management, safety, forms, etc. – all important – but no time spent on culture and vision
• No standard instructions for new employee – e.g. “getting started at Saddleback”
• Entering data in many different places – e.g. for new faculty: CHARMS, apps, HR system, Excel
• Penalties for late entries in STRS
• “Fake” hire dates and SSNs being used as a workaround
• Reluctant to ask new employee to come in prior to their start date
• No access to information about new hire
• Hire date triggers many processes – but it’s too late for many of them
• Info available on Wiki, SharePoint, etc. – but very few people know to look at it
Purchasing Process
Observations

During the workshop, participants identified issues with the current purchasing process. Themes included the following:

- Process is long
  - Too many steps
  - Too many approvals
  - Too many hand-offs
  - Too many errors
  - Too much paper

- Length of process has many downstream effects
  - End runs
  - Dissatisfaction
  - Missing significant discounts

- Shadow process – one electronic and one paper
  - Double and triple data entry
  - Shadow systems – like Excel – result in redundancies, out-of-sync conditions, and significant overhead costs

- Despite all the touch-points and paper copies, still communication gaps, loop-backs, and lag times

- One size does not fit all – i.e. same process for a $15 PO as for a $5000 PO

- Current technology is not working for us

- Some controls are too tight, while others are too loose
Current Purchasing Process – Purchase Orders for Goods – 1

Requisition Creator
- (Some) Requestor completes internal form (paper or elec) w/ details, prices, quotes, etc.
- Submit form to Req Creator

Approvers
- Dept dir/dean reviews and approves in Escape
- If >$5000, auto-route to Budget Director

Approvers (cont.)
- If <$5000, auto-route to approver
- Budget Director reviews and approves in Escape

Purchasing
- If > $10,000 auto-route to President
- President (or proxy) reviews and approves in Escape
- If tech, auto-route to IT
- IT reviews and approves in Escape
- If all OK, auto-route to Purchasing
- Auto-route to dept/dir/dean
- Auto-check for available funds
- Auto-encumber funds
- Enter in shadow system – e.g. Excel, log, binder
- VP reviews and approves in Escape

Buyer
- Sort reqs (e.g. travel)
- Enter "A" on all reqs and submit
- Process rush reqs first
- Enter "Bu" on all reqs and submit (changes status to "on hold")
- If no quote (95%), create requests for quotes in Escape – enter vendor # for each quote
- Save and close twice
- If quote incl. (5%), review prices, terms, etc.

Vendor
- Create quote – pricing, terms, shipping, etc.
- E-mail/fax quote to Buyer

Buyer (cont.)
- File quotes by commodity type
- Wait for quotes to be received
- Identify low quote and complete Req in Escape – quote #, vendor #, shipping, contact, etc.
- Update comment line, remove hold, change to "no", delete next line, submit
- Print req and quote – put in basket
- Review paper copy for format, spelling, delivery, etc.
- Review in Escape
- Pull up by Fund and view .PDF (converts to PDF)
- Print PO – 6 colors per page per PO

Accounts Payable

Send checks to County

When checks returned from County, attach to remittance (from Invoice)

Mail check to vendor

Send copy of check w/paperwork through canceling machine

File in vendor file
Objectives for new process

- Give directors and deans authority and responsibility for their budgets
  - Clarify roles
  - Reduce layers of approvals
  - Allow them to approve up to $10,000
  - Allow transfers within budget
- Expand use of purchasing cards
  - Develop guidelines for when to use p-cards versus POs – e.g. < $2,500
  - Utilize commodity codes to restrict purchases
  - Utilize commodity codes to map to SOCCCD object codes
  - Reduce use of Direct Pay and Blanket POs
  - Pilot then roll-out broadly
- Take advantage of discounts and rebates
  - Volume discounts
  - Purchasing card rebates
  - Early payment
  - Consortia buying
  - Multi-year maintenance renewals
- Fully utilize technology
  - Make every step in process visible – in real-time – to stakeholders
  - Easy access to query information
  - Eliminate paper
  - Eliminate need for shadow systems
- Shorten cycle times for purchases
  - By using p-cards
  - By reducing the number of POs by 80%
  - By reducing steps – e.g. approval layers
  - By eliminating paper
  - By clarifying roles and guidelines
  - One result – allow purchasing up to June year-end closing
- Deploy a single inventory in the ERP
Ideal Purchasing Process – POs

**Inputs**

- Give budget authority and responsibility to directors and deans
- Develop guidelines – e.g. if <$2000, use P-Card (see next page)
- Re-educate vendors – e.g. e-mail all POs, no verbal orders, send all invoices to AP, etc.

**Requestor**

- Enter requisition in ERP (request quotes, if needed) – suggest vendor
- Auto-check pooled budget, encumber amt
- Auto-route for approval – if <$10,000, straight to Purchasing
- If IT, auto-route, review, approve
- If grant, auto-route, review, approve

**Purchasing**

- Auto-route to correct buyer – based on commodity codes, or alphabet, etc.
- Request quotes – send directly from ERP (if needed)
- Conduct professional review – e.g. appropriate, legal, best deal, contract
- Change from Req to PO in
- Auto-email/EDI PO to vendor directly from ERP
- Auto-notify requestor “PO sent”

**Vendor**

- Fill order
- Ship/deliver
- E-mail/EDI invoice to AP

**Receiving**

- Open box – scan bar codes 9Integrated w/ ERP
- Enter receipt, short, damage in ERP
- Sign, image, index, shred packing slip

**Accounts Payable**

- Enter invoice in ERP w/ pmt date (auto-checks tolerances, taxes, etc.) – if paper, scan, index, and shred
- Run 3-way match (PO, Receiver, Invoice)
- If met, ACH pmt to vendor or print check
- Control point – e.g. review register, random audit, outliers, etc.
- Run exception reports – e.g. POs w/out Receiver, POs w/out Invoice, etc.

**Deliver to requestor**

- If short or damaged, work w/ vendor to issue credit memo (RMA)
Ideal Purchasing Card Process

**Inputs**
- Clear guidelines
- Set up limits and restrictions
- Issue named cards w/ appropriate use agreement
- Map commodity codes to object codes – incl. fixed assets

**Cardholder/Proxy**
- Buy goods/book travel
- Image and shred receipts OR enter reason for each transaction online
- If fixed asset, auto-notify stakeholders

**Bank**
- Provide online access (real-time) to all transactions

**Accounts Payable**
- Auto-notify cardholder and supervisor (1x/mo) to review transactions

**Outputs**
- Auto-route to for review and approval
- Division reviews and approves
- Auto-route to AP
- Randomly audit – run exception reports
- Send statement to AP – 1x/month
- Auto-pay bank
- Make journal entry
In brainstorming fashion, participants identified the following opportunities. (These are not listed in ranked order, nor do they necessarily represent consensus.)

- Fast response time
  - Fewer than X seconds especially during busy times
- Deep evaluation of ERP solution
- Know where you are in the purchasing process
- Capture needed information once – eliminate double and triple data entry
- Easy to use – anyone can enter a request – including faculty
- Handle attachments
- Copy previous requisition
- Clarify when quotes and bids are needed
- Use ERP to handle quote and bid rules
- Flag a lot of usage with one vendor
- Clarify roles – for example requester, buyer, etc.
- Clarify language and terminology
- Provide education to users via various media – for example, video, online tutorials, checklists, etc.
- Create histogram for the last two fiscal years of POs - determine the dollar amount at which 80% of the POs fall, for example less then $2000
- Do not execute change orders against blanket POs
- Enter quotes directly into new ERP
- Utilize a tentative budget prior to final approval for some level of budget checking at the beginning of the fiscal year
- Create clear, simple routing rules
- Allow some routing through approval queues to be executed in parallel
- Use commodity codes to check and route
- Provide auto-notification to requester at certain points in the process, for example, when PO has been issued to vendor
- Allow users to manage their own alerts
- Ensure that ERP has a summary screen of all requisitions with their various statuses
- Utilize the system to route to buyers based on commodity codes
- Minimize the use of blanket POs, clarify the definition of when to use one
- Clearly define PO types, for example, “PO without receiving”
- Ensure clear communication when a requisition has been denied
- Automatically select requisition type
- The ability to change requisition type if in error
- Add new vendors with W9 information at the requesting stage, then route for review
- Re-educate vendors when deploying new ERP, for example, all invoices go to accounts payable, don’t send an invoice without the PO number, don’t take phone orders, we will email the PO to you, etc.
- Ensure text entered into system is clear and complete, spot-on for review by the Board
• Review chart of accounts, simplify if possible
• Utilize the ERP to generate and send request for quote
• Utilize E-fax
• Clarify guidelines for when requisitioner obtains quotes and when buyer does
• Ensure that all quotes meet minimum guidelines – utilize ERP to require fields
• Establish a dollar threshold for obtaining quotes
• Develop a preferred vendor list
• Implement tolerances – e.g. 10% over, handle shipping and taxes, etc.
• Eliminate paper from the process
• When e-mailing PO to vendor, include Ts and Cs
• Eliminate need for shadow systems – e.g. visibility, easy of reporting, etc.
• Consider printing PO# on return address
• Give vendors requirements for what data to include on packing slip
• Make procedures visible
• Deploy integrated bar coding/scanning system at receiving
• Ensure ERP has ability to add visible notes – e.g. “post-it” style
• Take advantage of discounts/rebates – e.g. volume, early payment, ACH payment, P-card use, etc.
• Use ERP to query and sort
• Require training with good trainers – managers take part and support
• Ensure ERP can handle partial receiving, partial payment, damaged goods, etc.
• Ping (using workflow) requisitioner when goods have been received
• If services, ping requisitioner to enter receipt in ERP – validate that services have been rendered satisfactorily
• View “unofficial” PO in ERP
• View purchasing history – support ad hoc queries – e.g. by vendor, by item, by amount, by date, etc.
• Allow online approval for Office Max
• Discontinue buyer review of Office Max purchases
• Negotiate next-day free delivery from Office Max
• Order 24/7 from Office Max – i.e. ongoing rather than once a week
• Low hanging fruit – scan and e-mail Office Max approval to buyer (short term solution)
• Discontinue paper catalogs of goods
• Conduct random audits for Office Max purchases
• Restrict Office Max purchases by commodity codes
• Role-based approval queues
• Carry over year-to-year – avoid spend-out at end of FY, encourage saving and planning
• Explore online catalog of goods to purchase
• Inventory fixed assets
• Utilize “tags” for fixed assets
• Consolidate software licensing agreements to save money
• Deploy District-wide imaging solution – well integrated with ERP
• Ensure ERP handles quote requests, quote guidelines
• Ensure ERP handles change orders
• Demonstrate functionality for formal bid process
• Robust, easy-to-user reporting tool – with various output formats
Purchasing Process

Obstacles

In the same manner, participants identified the following obstacles:

- Shadow systems double-tracking all information – i.e. quotes, vendor info, PO details, payment dates, receiving, etc.
- Unclear as to when a quote is required and who is responsible to obtain it
- Sometimes incomplete quotes
- Many POs
- Many approval layers – regardless of dollar value
- Budget is not finalized until two months into the fiscal year – no budget checking during this period – example of controls too loose
- Process not well coordinated with Facilities
- Some remodels are not approved before they being
- Choosing incorrect object code for purchase
- Cannot change requisition type after it’s entered
- Enter information in notes – then enter a line item that says “check notes”
- Clunky technology (Escape) – for some transactions must open, save, close, re-open, save again
- Process steps start electronically, then are printed to paper, then re-entered electronically
- Some Reqs and POs are on hold “forever”
- Areas not staying “in their lane” – e.g. requesting department contacting vendors
- Sending multiple copies of the same PO to vendors – double order, double delivery, double payment
- ATEP delivered to Saddleback – costly
- Reliance on paper adds significant time to process
- Sometimes invoices are included with the goods rather than sent to AP
- Some invoices sent without PO numbers
- AP cannot see details at a glance in Escape
- Too many layers
- Many layers of internal controls to process invoice and cut checks
- Checking and re-checking does not ensure accuracy
- Sometimes lower prices available but can’t take advantage of them
- Can’t view Office Max history
- Office Max orders layered with approvals
- Office Max orders placed only one time per week – completely misses the point of having an office supplies vendor (namely next day delivery)