

Assessment Processes, Tools, Oversight and Improvements in Administration and Finance Division June, 2018

ID	AREA	Key Processes	Assessment Tool	Improvements	Oversight Council
A1	Academic Administration	Admissions, Enrollment, Registrar, Catalog, Grade Processing and Changes, Student Records, Student Degree/Grade Audit, Student Complaints, Student Discipline, Residency Verification	NASFAA, Annual Audit, Directive 1	Balance Team, Review of Bursar Overrides,	Academic Council
A2	Academic Quality	Accreditation, Recruitment, Academic Progress, Retention Curricula, Rankings, Remediation Programs	NASFAA	Remediation Programs under review by Central	Academic Council
A3	Faculty Staffing	Academic Credentials, Faculty Performance, Recruiting, Retention, Technology, Transfers, Sabbaticals/Fellowship Leaves, Workforce Development	NASFAA, annual assessment	AA Updated Forms, New Exec Dir of HR Hired; Will be working with team on Promotion Readiness Dashboard.	
A4	Opportunity Programs	SEEK (Search for Education Elevation and Knowledge), CD (College Discovery), ASAP, Education Opportunity Centers, Bilingual, CUNYStart, Black Male Initiative BMI	NASFAA	ASAP Program Implemented.	ASAP Central,
A5	Enhanced Learning	International Programs, Study Abroad, On-Line Program, Pre-College, Collaborative Programs, Off-Campus Programs, Adult/Continuing Ed, Internships, Work-study	NASFAA	Reorganized Career Development, New Internship Form, Collaboration with Events	EHSRM Council , Academic Council
A6	Student Services	Engagement, Academic Advisement, Food Services, Student Health and Wellness, Residential Life, Advanced Standing, Student Consumer Information, Career Advisement	Biannual Drug and Alcohol Review, Clery Review, NASFAA,	Food Service Review resulting in a new RFP which is underway	
A7	Research	Animal Research, Clinical Research, Environmental Safety, Human Subjects, Lab Safety, Patenting, Security, Technology Training and Safety	EHS Lab Safety Program Monitoring	Review resulting in repositioning EHS	
C1	Integrity and Ethics	Academic Dishonesty, Fraud, Intellectual Property, Theft, Conflict of Interest, Policy Compliance	Annual COI Reporting, Internal Control/Directive 1 Review, Annual Risk Assessment	COI Training	EHSRM Council, IG Oversight
C2	Regulatory Reporting	Accounting Standards, Federal, State, City, Lawsuits, Foreign,	Directive 1. Annual External Audit,		Legal Oversight, Admin Council, Business Manager Council
C3	Compliance Program Administration	HR, TITLE IX, Information Security, Research/Grant/Medical Billing, Financial Aid and HEOA, Public Safety, Financial Processing and Reporting	Clery, Annual Title IX review, Annual External Audit	Bursar Hold Review	Bursar, Business Manager Council, Admin Council. IT Council
F1	Budgeting and Financial Planning	Funding Levels, Budget Metrics, Monitoring, Reconciliation, Restricted Accounts, Fee Schedule(s)	Directive 1, Annual Internal Control, Annual External Audit, Year End Close	Fee Schedule Updated and undergoing another review.	UBO,
F2	Cash Management	Cash Receipts, Cash Disbursements, Cash/Check Storage, Bank Accounts/Deposits/Reconciliations, Petty Cash, MetroCards, Collections	Directive 1, Annual Audit, Year End Close	MetroCard Distribution and Cash Management review resulted in significant changes - new MetroCard System and CSC	Bursar, Business Manager Council, Admin Council.
F3	Fees	Tuition, Parking, Library, Bookstore Pricing, Technology, Student Activity, Events	Annual Audit, Directive 1	Not effective - created Campus Operations	Bursar, Business Manager Council, Admin Council.
F4	Compensation	Payroll, Benefits, Fringe, Payroll Taxes, Timekeeping, Overtime, Multiple Positions, Time and Leave Balances, Staff Reimbursements, Workforce Scheduling	Directive 1, Central Office Review, Annual Audit	New timekeeping system being implemented, payroll interface	SHRM and HR Council, Business Council, Admin Council
F5	Financial Management	Treasury, Interfaces, Credit, Liquidity, Segregation of Duties, Transactions, Wire Transfers, Closing Process, Revenue Reporting	Monthly and Year End Close, Annual Audit, Directive 1, Central Office Monitoring	Created All-Funds Round Table to improve monitoring	
F6	Accounting and Finance	Accounting, Reporting, Financial Audit	Directive 1, Monthly Close, Annual Audit, External Review, Central Office Monitoring		
F7	Fundraising & Development	Donor Intent, Growth Investments, Market Fluctuations, Alumni Relations, Bequests, Capital Campaign, Gifts, Restrictions, Reporting	external audit	Plan to add to all-funds roundtable	
F8	Student Financials	Student Eligibility. Verification, Return to Title IV, Student Disbursement, Student Refunds, Grants, Scholarships, Gifts/Prizes, Bankruptcy, Loan Repayment, Stipends, Reporting,	NASFAA, Annual Audit, Directive 1		
F9	Assets and Inventory	Inventory, Asset, Capital Depreciation, Sale of Donated Goods, Retirement/Salvage, Gifts	Directive 1, Annual Inventory, Year End Close,	Fuel Monitoring Review, Salvage Process, PPS Inventory Realign	CUCF
G1	Leadership and Strategy	Strategic Planning, Statement of Ethical Principles, Tone at Top, Benchmarking, Innovation, Risk Assessment, Councils, Steering Committees, Board of Trustees	Annual Evaluation Process,	Ongoing Central Office Review	Various Steering Committees
G2	Governance	Org Structure, Mission/Charter, Policies and Procedures, Indicators/PMP Program, Quality Assurance	Annual Review,		
I1	Internal Audit Administration	Audit Planning, QA, Reporting, Committees,	Monthly and Year End Close, Annual Audit, Directive 1, Central Office Monitoring	Need Improvement at College Level	Admin Council
I3	Mgmt Analysis and Planning	Assessments and Attestations, Follow-Up and AIP Implementation, Internal Audit, Risk Management, Internal Controls	Institutional Research, Middle States	Creating New Function to perform this process	
I5	Training and Staff Development	Tasks and Standards, CPE Standards, Cross Training, Career Path Planning	Annual Review	Improvement Needed - New Exec Director HR Hired	SHRM and HR Council
O1	Athletics	Eligibility, NCAA Div III Compliance, Recreation, Sports Teams	Annual?		Athletic Council
O2	Human Resources	Pre-Employment Screening, Hiring, Retention, Employee handbook, Orientation and Training, Termination/Separations/Transfers, Labor Relations, Performance Evaluations, Discrimination, Employee Classification, Employment History Record, Multiple Positions,	Central Office Process Review, Annual Review, Directive 1, Annual Performance evaluations,	Currently Under Process Review and Improvement	SHRM and HR Council
O3	Facility Operations	Accessibility, Custodial, Landscaping, Infrastructure, Asset Management, Maintenance, Replacement Schedules, Core Systems, Energy Use, Fuel Delivery, Classroom Scheduling	Directive 1, Creating new assessment tool	Reorganized Campus Operations to improve focus and coordination	
O4	Fleet and Transportation	Fleet Services, Transportation, Travel, Motorized	Annual Review	Process Review - resulted in LENS,	