Mission / Purpose

The mission of Financial Affairs and Administration is to ensure proper stewardship over the university's financial, human, and physical resources while performing excellent services in support of UAB's mission and the community it serves.

FA&A conducts its business through five primary divisions:

Business & Auxiliary Services

Business & Auxiliary Services coordinates non-educational and general business services that contribute and relate directly to the mission, goals, and objectives of UAB. Some of these services are provided to departments and employees for a fee, and others are provided at no cost.

Facilities

The Facilities Division provides services relating to all aspects of facility planning including construction, facility care, occupation of facilities, safety, and maintenance. Specific units include Building Services (housekeeping), Campus Maintenance, Central Utilities, Design Build Services (which includes Architecture and Engineering and Construction), Facilities Planning and Design, Grounds, Hospital Maintenance, Occupational Health & Safety, and Project Management Services.

Financial Affairs

Financial Affairs is divided into seven primary functions including Budget & Payroll Administration, Procurement & Accounts Payable Services, Treasury & Investments, Space & Cost Analysis, Financial Information Systems, Accounting (General, Equipment, Student and Grants & Contacts), and Audits & Reporting. In providing these services, Financial Affairs' overall mission is to safeguard UAB's financial integrity, provide relevant information and service, and to promote financial planning, reporting, and problem solving within the UAB community.

Human Resources

HR provides support to the institution and its employees through the Department of Benefits, the Child Care Center, Compensation, Development and Training, the Employee Assistance program, Employee Relations, Employment, and Temporary Services. HR is committed to support the missions of the University of Alabama at Birmingham by becoming the primary employer of choice for employees at all job levels who share our values of exceptional customer service, positive response to change, continuous improvement, open communication, personal and professional development, team productivity, and integrity.

UAB Police Department

The UAB Police Department is an accredited policing entity with full police powers. In cooperation with the Birmingham Police Department, the UAB Police provides the following services: protection for the UAB community, crime prevention programs, criminal investigations, law enforcement training and education, and traffic control. The department also operates a security guard service, which provides an unarmed, uniformed presence in parking decks and other facilities on a routine basis.

Goals

G 1: Financial Stability and Integrity

The goal of UAB Financial Affairs is to safeguard UAB's financial integrity while simultaneously accommodating the needs of the UAB community by providing relevant information and service, and to promote a creative approach to financial planning and problem-solving.

G 2: Employment Retention of Disabled Employees

The goal of the Human Resources AWARE program is to enhance staff retention by providing disability-management services to employees whose job is affected by a physical, mental, or emotional impairment guided by a shared vision for a diverse UAB workforce within a supportive work environment.

G 3: Pedestrian Safety

The goal of the UAB Police Department is to foster a safe and secure environment for the UAB campus as guided by the accreditation standards of The Commission on Accreditation for Law Enforcement Agencies.

G 4: Parking and Transportation Customer Services

The goal of the UAB Parking and Transportation Services is to offer the best possible parking and transportation solutions by providing parking facilities and internal transit support to students, employees, and visitors of the university guided by our commitment to provide prompt, courteous, and effective service.

G 7: Printing & Mailing Services Customer Satisfaction

The goal of UAB Printing & Mailing Services is to deliver world-class print, copy and mail services to our
customers at the lowest costs possible.

Other Outcomes/Objectives, with Any Associations and Related Measures, Targets, Findings, and Action Plans

O/O 1: Financial Stability and Integrity
A desired outcome of the policies and procedures of the Division of Financial Affairs is to ensure that UAB maintains its financial stability and integrity as measured by the annual external financial audit performed by the certified public accountants appointed by the University of Alabama System Office and the annual review of the State of Alabama Examiners of Public Accounts with an achievement target of 100% compliance.

Related Measures

M 1: External Financial Audit
External audit of UAB’s financial status for the period ending September 30, 2012 performed by PriceWaterhouseCoopers, LLP. The 2012 Annual report can be found at Financial Reports.

Source of Evidence: External report

Target: 100% Compliance

Finding (2012-13) - Target: Partially Met
The 3rd party auditor noted one control deficiency in regard to the create and post journal entry access. No other deficiencies were found and management has developed an internal response that will ensure the institution’s continued compliance with generally accepted accounting principles.

Finding (2011-12) - Target: Met
We received an unqualified audit opinion on the financial statements and did not receive any management letter comments. The external audit in its entirety can be found here: http://www.contentedits.com/img.asp?id=31105.

Finding (2010-11) - Target: Met
UAB met its achievement target by receiving an “unqualified opinion” and no management letter comments from the external auditors.


Finding (2009-10) - Target: Met
UAB met its achievement target by receiving an “unqualified opinion” from the external auditors.

Related Action Plans (by Established cycle, then alpha):

Financial Stability and Integrity: External Audit
Established in Cycle: 2009-10
Implement policies and procedures to conform to changes in federal regulatory and generally accepted accounting practices as r...

Compliance Monitoring of Established Policies and Procedures
Established in Cycle: 2010-11
Monitor practices to assure compliance with federal regulatory and generally accepted accounting practices as required throughou...

Compliance Monitoring of Established Policies and Procedures
Established in Cycle: 2011-12
Continue to monitor activities to ensure compliance with policies and procedures.

External Financial Audit - Control Deficiency Plan 2013-2014
Established in Cycle: 2012-13
Management has enlisted Internal Audit to independently monitor the journal entry activity of individuals with create & post jou...

For full information, see the Details of Action Plans section of this report.

O/O 2: Accounting and Reporting on Sponsored Project Expenditures
A desired outcome of the policies and procedures of the Division of Financial Affairs is to appropriately account for and report on sponsored project expenditures as measured by the A-133 Audit (performed by an independent public accounting firm ) with an achievement target of 100% compliance.

Related Measures

M 3: A-133 Audit
Report of Independent Auditors on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards performed by PriceWaterhouseCoopers, LLP. The report can be found at: A133 Reports.

Source of Evidence: External report

Target: 100% Compliance

Finding (2012-13) - Target: Partially Met
UAB is substantially in compliance but 3 findings were brought to the attention of leadership for correction:

1. The University had used the same third-party loan servicer for the Perkins Loan Program for the past 30
years. Current management was not aware that a change of provider required notification to the Department of Education.

2. The University uses a manual calculation for the return of Title IV funds only when a student’s withdrawal also affects other financial aid (Pell) adjustments that had to be included in the calculation. Under these circumstances, the rounding was an error by the staff. In the second instance, University management was not aware that the scheduled run time of the daily student withdrawal report caused a lapse in time and did not include all student withdrawals.

3. The University implemented several systems and procedural changes effective 7/30/12 to improve the timely submission of FFATA reporting. All of the 28 reports that were not submitted timely were prior to these implemented changes.

Finding (2011-12) - Target: Not Met
We received 3 findings on the A-133 Audit. The audit can be viewed here: http://www.contentedits.com/img.asp?id=31105.

Finding (2010-11) - Target: Met
UAB met its achievement target by receiving no findings on the A-133 report. The report it its entirety can be found here: http://www.contentedits.com/img.asp?id=2B212.

Finding (2009-10) - Target: Met
UAB met its achievement target in regard to accounting and reporting on sponsored project expenditures by receiving an "unqualified opinion" from the external auditors.

Related Action Plans (by Established cycle, then alpha):

Appropriate Accounting and Reporting for Sponsored Project Expenditures
Established in Cycle: 2009-10
Stay abreast of changes in federal regulations and Implement policies and procedures to conform to changes.

Monitor Federal Regulations for Changes and Continued Compliance
Established in Cycle: 2010-11
Stay abreast of changes in federal regulations and Implement policies and procedures to conform to changes.

Corrective Action and Ongoing Compliance Activities
Established in Cycle: 2011-12
Correction plans for the 3 findings on the A-133 Audit have been developed and implemented. Activities will continue to be moni...

A-133 Audit Findings Action Plan for 12-13
Established in Cycle: 2012-13
1. The University notified the Department of Education on May 21, 2013 regarding the change of loan servicers. Future notifi...

For full information, see the Details of Action Plans section of this report.

O/O 3: AWARE Program Employee Retention

A desired outcome of the job retention services provided by the AWARE program is to increase the number of employees who retain their jobs as measured by the percent increase in the number of AWARE cases still employed with an achievement target of at least 5% growth over the next year.

Related Measures

M 4: AWARE Retention Rate
Tabulation of the number of AWARE case employees who retained their employment vs. the previous year's total.

Source of Evidence: Activity volume

Target:
Job placement services are measured by an achievement target of 5% growth over the next year.

Finding (2012-13) - Target: Not Met
In the previous measurement year, the RAVE Program was renamed AWARE Disability Management Program. The AWARE Program was actively involved in the rebranding and marketing of the program and services to UAB Leadership and UAB Community.

The AWARE Program participated in following events during 2012 – 2013:

- UAB Community Week 2013 – Diversity Event
- Presentation to Pharmacy Staff – Inpatient Managers and Supervisors
- Presentation at HR Partners Meeting
- 2012 OFCCP Compliance Conference as a Presenter
- One article was featured in the UAB Reporter.

Disability awareness training efforts were limited for 2012-2013 due to program evaluation and implementation of changes.

After analyzing historical data, we found that the percent of employees retained from 2008-present averaged 1.5% (excluding an anomaly for 2011-2012 of 26% retained). The program has continuously achieved a retention rate of 50% or greater from 2008 to present. This analysis shows that we overstated our target of 5% for last year. Consequently, for 2013-14, our target will be reduce to achieve 1.5% percent growth over the
last year with a retention rate of 50% or greater.

Related Action Plans (by Established cycle, then alpha):

RAVE Job Retention
Established in Cycle: 2009-10
Increase awareness of the program through features in UAB publications.

Marketing and Communication
Established in Cycle: 2010-11
Increased marketing and awareness of the program via working with the UAB Reporter on potential features and improving communica...

Rebranding
Established in Cycle: 2011-12
Based on our findings that the RAVE program's participant job retention rate increased by 26.6%, as compared to the previous y...

AWARE Program Employee Retention Action Plan for 13-14
Established in Cycle: 2012-13
Based on our findings that the AWARE program's participant job retention rate increased by 1.2% (in 2013) as compared to the pre...

For full information, see the Details of Action Plans section of this report.

O/O 4: Reduce Pedestrian Injuries by Vehicles
A desired outcome of the Pedestrian Safety Campaign of the UAB Police Department is to reduce the number of pedestrians injured by a vehicle as measured by an analysis of official Police Department incident reports with an achievement target of 10%.

Related Measures

M 5: Official Police Incident Reports
Tabulation of "vehicle on pedestrian" injuries caused by UAB faculty, staff and student pedestrians and drivers, as outlined in official Police incident reports compared to the same from the prior measurement period.

Source of Evidence: Activity volume

Target:
Reduce the incident of vehicle on pedestrian accidents by 10% over last year.

Finding (2012-13) - Target: Not Met
The Department did not achieve its goal. There were 4 faculty, staff and student at-fault accidents during this measurement period compared to four during the previous measurement period. There were a total of 13 pedestrian vehicle accidents in total. Nine were caused by transient traffic through campus.

Finding (2011-12) - Target: Not Met
The achievement target of 10% reduction in vehicle-caused pedestrian injuries was not met.

Finding (2010-11) - Target: Not Met
The Department did not meet the achievement target of a 10% reduction in pedestrian accidents for the measurement period. Pedestrian accident statistics remained static over the previous measurement period.

Finding (2009-10) - Target: Met
The Department achieved its goal. Pedestrian/vehicle accidents were reduced during the measurement period by 50% over the previous year.

Related Action Plans (by Established cycle, then alpha):

Reduce Pedestrian/Vehicle Accidents
Established in Cycle: 2009-10
1. Educate the UAB community on pedestrian safety by distributing safety brochures, publishing articles in UAB media and th...

Education, Patrols and Ticketing
Established in Cycle: 2010-11
The action plan to meet the coming year's target is as follows: 1. Continue to educate the UAB community on pedestrian safety by...

Continued Education and Coordination Activities
Established in Cycle: 2011-12
1. Educate the UAB community on pedestrian safety by distributing safety brochures, publishing articles in UAB media and the us...

Reduce Pedestrian/Vehicle Accidents Action Plan 13/14
Established in Cycle: 2012-13
The Department will continue to distribute pedestrian safety materials throughout campus and medical center areas. Further, the ...

For full information, see the Details of Action Plans section of this report.

O/O 7: Parking Customer Satisfaction
A desired outcome of the actions of UAB Parking and Transportation Services is to improve the level of customer satisfaction with the accessibility and condition of parking facilities as well as the level of satisfaction with internal transit and motorist assistance services as measured by customer satisfaction surveys and Noel-Levitz results, with an achievement target of 4.2 or higher for internal survey response results, with 5.0 as the highest level attainable; and 5.0 or higher for Noel-Levitz satisfaction results, with 7.0 as the highest level attainable.

Related Measures
M 7: Parking Customer Satisfaction - Internal Surveys
Customer satisfaction surveys tendered to faculty, students and staff.

Customer satisfaction surveys for internal transit and motorist assistance customers will be distributed by hand for a period of one week during each calendar-based quarter beginning with fiscal year 2010-2011. The weeks designated for the survey will be varied, but the survey period will be selected so that more than one month will pass before the next survey period. Between designated survey periods, survey cards are available to customers for their voluntary use and they have access to submit customer feedback via the parking website at www.uab.edu/parking.

Beginning in October, 2010, electronic surveys concerning the accessibility and condition of parking facilities will be sent via email to all student parking patrons in October of each year and to employee parking patrons March of each year. Between survey periods, parking patrons have access to submit customer feedback via the parking website at www.uab.edu/parking.

Source of Evidence: Client satisfaction survey (student, faculty)

Finding (2012-13) - Target: Not Reported This Cycle
The program design changes discussed in the action plan for the 12/13 measurement period, including the planning and initial implementation activities of the new transit system, absorbed more departmental resources than originally designated. As such, the measurement activity was postponed until the Fall term of 2013 in order to allow staff to meet necessary project deadlines.

Finding (2011-12) - Target: Not Reported This Cycle
Subsequent to the change in leadership in Business Services as described in the 09/10 assessment material, there was a further change in leadership within the Parking and Transportation Office and the measurement activities anticipated for the fiscal year 11/12 did not occur. A new director has been appointed and assessment activities are scheduled to begin in the 12/13 cycle.

Finding (2010-11) - Target: Not Reported This Cycle
Subsequent to the change in leadership in Business Services as described in the 09/10 assessment material, there was a further change in leadership within the Parking and Transportation Office and the measurement activities anticipated for the fiscal year 10/11 did not occur.

Finding (2009-10) - Target: Not Reported This Cycle
Note: There was a change in the executive leadership of Business Services during the 2009/2010 measurement period and, as a result, the assessment focus for the Division was revised. Due to the mid-year revision, the Parking Office was only able to establish a baseline in order to set customer satisfaction goals for subsequent measurement periods. As such, there is no achievement target or finding for the 2009/2010 measurement period, but an action plan has been provided in support of the achievement target planned for the 2010/2011 measurement period.

Related Action Plans (by Established cycle, then alpha):
Changes to Operations Planned for 12/13
Established in Cycle: 2011-12
- Decrease the number of parking meters on campus by using new technology
- Increase the number of parking sp...

Changes to Operations Planned for 13/14 Measurement Cycle
Established in Cycle: 2012-13
Continue to increase the number of parking spaces on campus; Improve parking facilities/areas on campus; Install deck cou...

For full information, see the Details of Action Plans section of this report.

M 8: Parking Satisfaction Ratings Via Noel-Levitz Student Satisfaction Inventory
Measure the satisfaction of students as noted in the Noel-Levitz Student Satisfaction Inventory as part of UAB's overall participation in the inventory tool.

Noel-Levitz survey results are reviewed after the completion of the survey every three years. Reviews began with the results from the 2008 survey and will continue with the next survey taking place in 2011.

Source of Evidence: External report

Finding (2012-13) - Target: Not Reported This Cycle
Note: Subsequent to the change in leadership in Business Services as described in the 09/10 assessment material, there was a further change in leadership within the Parking and Transportation Office and the measurement activities anticipated for the fiscal year 11/12 did not occur. A new director has been appointed and assessment activities are scheduled to begin in the 12/13 cycle. UAB participated in the 2011 Noel-Levitz Student Satisfaction Inventory but there was no previous achievement goal against which results can be compared.
Finding (2012-13) - Target: Not Met
The goal was not met. UAB participates in the Noel-Levitz inventory every 3 years. The last participation occurred in 2011, prior to significant program changes made by new management in the following years.

The 2011 mean score for the two parking-related topics covered under the Noel-Levitz inventory is 4.51.

21. The amount of student parking space is adequate (score 3.58)
28. Parking lots are well-lighted and secure (score 5.44)

While the goal was not met, this is an improvement from the 2008 survey when the mean score was 3.80.

Finding (2011-12) - Target: Not Reported This Cycle
Note: Subsequent to the change in leadership in Business Services as described in the 09/10 assessment material, there was a further change in leadership within the Parking and Transportation Office and the assessment activities anticipated for the fiscal year 11/12 did not occur. A new director has been appointed and assessment activities are scheduled to begin in the 12/13 cycle.

While UAB participated in the 2011 Noel-Levitz Student Satisfaction Inventory, there was no established achievement target against which results can be compared.

Finding (2010-11) - Target: Not Reported This Cycle
The most recent participation in the Noel-Levitz Survey occurred after the end of this measurement period.

Finding (2009-10) - Target: Not Reported This Cycle
There was a change in the executive leadership of Business Services during the 2009/2010 measurement period and, as a result, the assessment focus for the Division was revised. Due to the mid-year revision, the Parking Office was only able to establish a baseline using the last Noel-Levitz Student Satisfaction Inventory results. As such, there is no achievement target or finding for the 2009/2010 measurement period, but an action plan has been provided in support of future measurement periods.

Related Action Plans (by Established cycle, then alpha):

Changes to Operations Planned for 12/13
Established in Cycle: 2011-12
· Decrease the number of parking meters on campus by using new technology · Increase the number of parking sp...

Changes to Operations Planned for 13/14 Measurement Cycle
Established in Cycle: 2012-13
Continue to increase the number of parking spaces on campus; Improve parking facilities/areas on campus; Install deck cou...

For full information, see the Details of Action Plans section of this report.

O/O 8: Printing & Mail Services Customer Satisfaction
A desired outcome of the customer satisfaction program of the UAB Printing & Mailing Services is to ensure the printing expectations of its customers and stakeholders are met as measured by customer service surveys with an achievement target that focuses on increasing the number of customers who rate themselves as “very satisfied” by 5%.

Note: There was a change in the executive leadership of Business Services during the 2009/2010 measurement period and, as a result, the assessment focus for the Division was revised. Due to the mid-year revision, the UAB Printing and Mailing Service was only able to establish a baseline in order to set customer satisfaction goals for subsequent measurement periods. As such, there is no finding for the 2009/2010 measurement period, but an action plan has been provided in support of the achievement target planned for the 2010/2011 measurement period.

Related Measures

M 9: Printing and Mailing Service Customer Satisfaction
Customer satisfaction surveys.

Source of Evidence: Client satisfaction survey (student, faculty)

Target:
Increase the number of customers “very satisfied” with the quality of the final product by 5%.

Finding (2012-13) - Target: Not Met
83.5% (849 customers) are Very Satisfied with the quality of their final product in 2011-2013. The goal of improving by 5% over the prior measurement period was missed by 2.95%. However, it should be noted that the number of individuals responding to the survey increased by 226.

Finding (2011-12) - Target: Not Met
The target was not met. Actual improvement was 2.95%.

Finding (2010-11) - Target: Not Met
The achievement target was not met. Actual improvement was 2.34%.

Finding (2009-10) - Target: Not Reported This Cycle
Note: There was a change in the executive leadership of Business Services during the 2009/2010 measurement period and, as a result, the assessment focus for the Division was revised. Due to the mid-year revision, the UAB Printing & Mailing Service was only able to establish a baseline in order to set customer satisfaction goals for subsequent measurement periods. As such, there is no achievement target or finding for
the 2009/2010 measurement period, but an action plan has been provided in support of the achievement target planned for the 2010/2011 measurement period.

Related Action Plans (by Established cycle, then alpha):

**Action Items for 2010/2011 to Improve Customer Satisfaction**

**Established in Cycle: 2009-10**

Add a digital storefront (on-line ordering/tracking system) to be used for business card, stationary and other printing orders...

**WEBcRd Implementation**

**Established in Cycle: 2010-11**

To help improve customer satisfaction a very comprehensive web based ordering system (WEBcRd) was purchased. WEBcRd is an onl...

**Improving Access and Communication**

**Established in Cycle: 2011-12**

1. Dedicate staff person to provide support for our on-line ordering system and process all orders received via that system wit...

**Printing & Mail Services Customer Satisfaction Plan for 13/14**

**Established in Cycle: 2012-13**

Our focus for the coming measurement period will be to continue our efforts to improve customer satisfaction: 1. Improve ...

For full information, see the Details of Action Plans section of this report.

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**Details of Action Plans for This Cycle (by Established cycle, then alpha)**

**2009/2010 Actions to Impact Customer Satisfaction**


- Completed the addition of two levels to 9th Avenue Deck – a mixed use deck with students
- Add two levels to the 12th Street Parking Deck – a commuter student deck
- Completed reconfiguration of Lots 15F and 15R – commuter student lots
- Added 70 temporary parking spaces in Lot 15F – a commuter student lot
- Changed Remote 2 lot to a mixed-use commuter student lot
- Added Lot 15W – temporary lot of 80 spaces for commuter students
- Opened Lot 15Y – temporary commuter student lot with 35 spaces
- Hosted a citation amnesty day in association with USGA
- Added Connect by Hertz, a car share program
- Developed student complaint process for SACS compliance
- Modified student registration to on-line application process
- Changed student orientation parking process
- Student Housing instituted bike borrowing program for resident students
- Partnered with USGA to provide parking do's and don'ts handbill for students

**Established in Cycle: 2009-10**

**Implementation Status:** Finished

**Priority:** High

**Action Items for 2010/2011 to Improve Customer Satisfaction**

Add a digital storefront (on-line ordering/tracking system) to be used for business card, stationary and other printing orders.

**Established in Cycle: 2009-10**

**Implementation Status:** Planned

**Priority:** High

**Relationships (Measure | Outcome/Objective):**

Measure: Printing and Mailing Service Customer Satisfaction | Outcome/Objective: Printing & Mail Services Customer Satisfaction

**Appropriate Accounting and Reporting for Sponsored Project Expenditures**

Stay abreast of changes in federal regulations and implement policies and procedures to conform to changes.

**Established in Cycle: 2009-10**

**Implementation Status:** In-Progress

**Priority:** High

**Relationships (Measure | Outcome/Objective):**

Measure: A-133 Audit | Outcome/Objective: Accounting and Reporting on Sponsored Project Expenditures

**Projected Completion Date:** 09/2010

**Financial Stability and Integrity: External Audit**

Implement policies and procedures to conform to changes in federal regulatory and generally accepted accounting practices as required throughout the next measurement cycle.

**Established in Cycle: 2009-10**

**Implementation Status:** Planned

**Priority:** High
Financial Stability and Integrity: State Examiner’s Audit

Established in Cycle: 2009-10
Implementation Status: Planned
Priority: High
Projected Completion Date: 09/2010

1. Monitor all UAB financial transactions for compliance with state law;
2. Staff to monitor state legislation to identify and change policies and procedures to conform to new state law.

Paper Recycling Action Plan

Established in Cycle: 2009-10
Implementation Status: Planned
Priority: High
Projected Completion Date: 09/2010

1. Continue incorporating more campus buildings into the recycling program;
2. Provide additional cardboard bins for paper collections directly at the desks;
3. Place professionally designed display signs in the areas designated for collection of recycling materials which would serve both as marketing tools and reminders to all employees and visitors.

Planned Action Items for 2010/2011 to Impact Customer Satisfaction

1. Improve bike accommodations on campus
2. Add bike lanes to 11th Street South and 12th Street South
3. Modify campus tour parking accommodations for student recruitment
4. Complete work on parking and transportation operational efficiency group

Established in Cycle: 2009-10
Implementation Status: Planned
Priority: High
Projected Completion Date: 07/2011

Compliance Monitoring of Established Policies and Procedures

Established in Cycle: 2010-11
Implementation Status: Planned
Priority: High
Projected Completion Date: 07/2011

1. Monitor practices to assure compliance with federal regulatory and generally accepted accounting practices as required throughout the next measurement cycle.
1. Continue to educate the UAB community on pedestrian safety by distributing safety brochures, publishing articles in various UAB media outlets and through the use of a travelling educational display.

2. The Motor Scout unit will be used at busy intersections to help monitor pedestrian traffic.

3. Pedestrians may be issued warning citations for jay-walking violations.

Established in Cycle: 2010-11
Implementation Status: Planned
Priority: High

Relationships (Measure | Outcome/Objective):
Measure: Official Police Incident Reports | Outcome/Objective: Reduce Pedestrian Injuries by Vehicles
Projected Completion Date: 07/2011

Marketing and Communication
Increased marketing and awareness of the program via working with the UAB Reporter on potential features and improving communications with hiring departments.

Established in Cycle: 2010-11
Implementation Status: Planned
Priority: High

Relationships (Measure | Outcome/Objective):
Measure: AWARE Retention Rate | Outcome/Objective: AWARE Program Employee Retention
Projected Completion Date: 07/2013

Monitor Federal Regulations for Changes and Continued Compliance
Stay abreast of changes in federal regulations and implement policies and procedures to conform to changes.

Established in Cycle: 2010-11
Implementation Status: Planned
Priority: High

Relationships (Measure | Outcome/Objective):
Measure: A-133 Audit | Outcome/Objective: Accounting and Reporting on Sponsored Project Expenditures
Projected Completion Date: 09/2011

WebCRD Implementation
To help improve customer satisfaction a very comprehensive web based ordering system (WebCRD) was purchased. WebCRD is an online print job submission and management system providing tools for ordering print jobs and managing them effectively to their completion. Customers use an easy-to-use digital job ticket and user interface to order, reprint, store and monitor print jobs. WebCRD’s SurePDF provides clients with a print driver to create production-ready PDFs from any application running on their computer. WebCRD is available 24 hours a day to anyone having internet access to handle their printing requirements. The system will help print staff track customer orders and check their status. It also automatically emails customers updates regarding their order.

Established in Cycle: 2010-11
Implementation Status: Finished
Priority: High

Relationships (Measure | Outcome/Objective):
Measure: Printing and Mailing Service Customer Satisfaction | Outcome/Objective: Printing & Mail Services Customer Satisfaction
Measure: Parking Customer Satisfaction - Internal Surveys | Outcome/Objective: Parking Customer Satisfaction
Measure: Parking Satisfaction Ratings Via Noel-Levitz Student Satisfaction Inventory | Outcome/Objective: Parking Customer Satisfaction
Projected Completion Date: 07/2013

Changes to Operations Planned for 12/13
- Decrease the number of parking meters on campus by using new technology
- Increase the number of parking spaces on campus
- Improve parking facilities/areas on campus
- Install deck counting system at student parking decks
- Implement online only permit sales system
- Implement bus transit system on campus for the transportation of students and staff around campus

Established in Cycle: 2011-12
Implementation Status: Planned
Priority: High

Relationships (Measure | Outcome/Objective):
Measure: Parking Customer Satisfaction - Internal Surveys | Outcome/Objective: Parking Customer Satisfaction
Measure: Parking Satisfaction Ratings Via Noel-Levitz Student Satisfaction Inventory | Outcome/Objective: Parking Customer Satisfaction
Projected Completion Date: 07/2013

Compliance Monitoring of Established Policies and Procedures
Continue to monitor activities to ensure compliance with policies and procedures.

Established in Cycle: 2011-12
Implementation Status: Planned
Priority: High

Relationships (Measure | Outcome/Objective):
Measure: External Financial Audit | Outcome/Objective: Financial Stability and Integrity
Projected Completion Date: 09/2013

Continued Education and Coordination Activities
1. Educate the UAB community on pedestrian safety by distributing safety brochures, publishing articles in UAB media and the use of a traveling educational display.
2. Continue to use the Motor Scout Unit at busy intersections to help monitor pedestrian traffic.

3. Pedestrians may be issued warning citations for jay-walking violations.

4. Continue to work with State and City officials on potential signal improvements (i.e. restrict right on red turns, etc.).

   **Established in Cycle:** 2011-12  
   **Implementation Status:** Planned  
   **Priority:** High  

   **Relationships (Measure | Outcome/Objective):**  
   *Measure*: Official Police Incident Reports | **Outcome/Objective**: Reduce Pedestrian Injuries by Vehicles

   **Projected Completion Date:** 07/2013

**Corrective Action and Ongoing Compliance Activities**

Correction plans for the 3 findings on the A-133 Audit have been developed and implemented. Activities will continue to be monitored for 100% compliance in regard to policies and procedures.

   **Established in Cycle:** 2011-12  
   **Implementation Status:** Planned  
   **Priority:** High

   **Relationships (Measure | Outcome/Objective):**  
   *Measure*: A-133 Audit | **Outcome/Objective**: Accounting and Reporting on Sponsored Project Expenditures

   **Projected Completion Date:** 09/2013

**Hospital and Student Action Plan**

The Recycling Department will work with Student Housing to try and target and increase its participation, as well as continue to partner with the Hospital to increase their volumes. The Department will continue to promote the recycling center and recycling in general in various student media.

   **Established in Cycle:** 2011-12  
   **Implementation Status:** Planned  
   **Priority:** High

   **Projected Completion Date:** 07/2013

**Improving Access and Communication**

1. Dedicate staff person to provide support for our on-line ordering system and process all orders received via that system within 24 hours or less. A staff person has been identified and will be assigned to provide customer support and process orders for our on-line ordering system, WebCRD. This will take place once an existing vacant position is filled.

2. All orders regardless of the method in which they are placed (fax, campus mail, email or on-line ordering) are acknowledged via email by customer service staff the same business day the order is received or the following business day if received after 4 pm.

3. Customer Service staff will also communicate expected delivery dates. Management will be copied on the responses and compare dates to the when the order was placed. Management will also monitor delivery dates and take applicable actions to ensure the timely delivery of all orders.

4. A marketing campaign will be undertaken beginning in November 2012 to help increase awareness among faculty and students about the benefits of our print and mail services. Campaign effectiveness will be measured for printing by comparing the number of orders received beginning in January 2013 through September 2013 versus same time period for the prior year (excluding business cards and stationary) using statistics from Hagen, our print management system. Mailing will be measured by comparing retail sales for the Post Office during the same time periods.

   **Established in Cycle:** 2011-12  
   **Implementation Status:** Planned  
   **Priority:** High

   **Relationships (Measure | Outcome/Objective):**  
   *Measure*: Printing and Mailing Service Customer Satisfaction | **Outcome/Objective**: Printing & Mail Services Customer Satisfaction

   **Projected Completion Date:** 07/2013

**Rebranding**

Based on our findings that the RAVE program's participant job retention rate increased by 26.6% as compared to the previous year, we propose to continue improving retention rates with an ongoing achievement target of 3% growth over the next year, by rebranding the RAVE disability management program and marketing the program and services to UAB Leadership and the UAB community. The program will continue to provide disability awareness training sessions.

   **Established in Cycle:** 2011-12  
   **Implementation Status:** Planned  
   **Priority:** High

   **Relationships (Measure | Outcome/Objective):**  
   *Measure*: AWARE Retention Rate | **Outcome/Objective**: AWARE Program Employee Retention

   **Projected Completion Date:** 07/2013

**A-133 Audit Findings Action Plan for 12-13**

1. The University notified the Department of Education on May 21, 2013 regarding the change of loan servicers. Future notifications will be handled in a timely manner.
2. The University will no longer round the calculation of Title IV funds when it is necessary to use the manual calculation. Also, the University IT Department has changed the scheduled run time of reports. The University is in the process of refunding any over-awarded amounts resulting from these errors.

3. Management will continue to monitor FFATA reporting and make sure system and procedural changes are made as needed to ensure timely reporting.

   Established in Cycle: 2012-13  
   Implementation Status: Planned  
   Priority: High  
   Relationships (Measure | Outcome/Objective):  
   Measure: A-133 Audit | Outcome/Objective: Accounting and Reporting on Sponsored Project Expenditures  
   Projected Completion Date: 09/2013  
   Responsible Person/Group: Financial Affairs  

AWARE Program Employee Retention Action Plan for 13-14  

   Based on our findings that the AWARE program's participant job retention rate increased by 1.2% (in 2013) as compared to the previous year, we propose to continue improving retention rates with an ongoing achievement target of 1.5% growth over the next year with a retention rate of 50% or greater, by continuing efforts to market the program and services to UAB Leadership and the UAB community. The program will work with the UAB Reporter to feature an article annually. The program will increase the frequency in which disability awareness training sessions are provided.

   Established in Cycle: 2012-13  
   Implementation Status: Planned  
   Priority: High  
   Relationships (Measure | Outcome/Objective):  
   Measure: AWARE Retention Rate | Outcome/Objective: AWARE Program Employee Retention  
   Projected Completion Date: 07/2014  
   Responsible Person/Group: Human Resources AWARE Office  

Changes to Operations Planned for 13/14 Measurement Cycle  

   - Continue to increase the number of parking spaces on campus;  
   - Improve parking facilities/areas on campus;  
   - Install deck counting system at student parking decks to monitor parking volume;  
   - Implement online only permit sales system;  
   - Start-up operations for bus transit system on campus; and  
   - Create a new, more user-friendly web site for the Parking Office.

   Established in Cycle: 2012-13  
   Implementation Status: Planned  
   Priority: High  
   Relationships (Measure | Outcome/Objective):  
   Measure: Parking Customer Satisfaction - Internal Surveys | Outcome/Objective: Parking Customer Satisfaction  
   Measure: Parking Satisfaction Ratings Via Noel-Levitz Student Satisfaction Inventory | Outcome/Objective: Parking Customer Satisfaction  
   Projected Completion Date: 07/2014  
   Responsible Person/Group: Parking and Transportation Office  

External Financial Audit - Control Deficiency Plan 2013-2014  

   Management has enlisted Internal Audit to independently monitor the journal entry activity of individuals with create & post journal entry rights. Internal Audit is working with the University’s external auditors to develop the plan to monitor this activity.

   Systems control provide for approval by management before any individual receives create & post journal entry rights. Management also receives a monthly report of individuals with these rights that is reviewed to ensure that those rights continue to be appropriate for the individuals' positions.

   Established in Cycle: 2012-13  
   Implementation Status: Planned  
   Priority: High  
   Relationships (Measure | Outcome/Objective):  
   Measure: External Financial Audit | Outcome/Objective: Financial Stability and Integrity  
   Projected Completion Date: 09/2013  
   Responsible Person/Group: Financial Affairs  

Printing & Mail Services Customer Satisfaction Plan for 13/14  

   Our focus for the coming measurement period will be to continue our efforts to improve customer satisfaction:

   1. Improve product quality and cycle time;  
   2. Compile feedback from customers and look for trends, acting immediately on information received;  
   3. Give customers immediate feedback that their responses are appreciated and being acted upon.

   Established in Cycle: 2012-13  
   Implementation Status: Planned  
   Priority: High  
   Relationships (Measure | Outcome/Objective):  
   Measure: Printing and Mailing Service Customer Satisfaction | Outcome/Objective: Printing & Mail Services Customer Satisfaction  
   Projected Completion Date: 07/2014
Responsible Person/Group: Printing and Mailing Group

Reduce Pedestrian/Vehicle Accidents Action Plan 13/14

The Department will continue to distribute pedestrian safety materials throughout campus and medical center areas. Further, the Department, through Administration, will continue to petition the City, County and State for traffic flow changes that could contribute to an overall reduction in the total number of vehicle on pedestrian accidents.

Established in Cycle: 2012-13
Implementation Status: Planned
Priority: High

Relationships (Measure | Outcome/Objective):
  Measure: Official Police Incident Reports | Outcome/Objective: Reduce Pedestrian Injuries by Vehicles

Projected Completion Date: 07/2013
Responsible Person/Group: UAB Police Department