


EMPORIA STATE UNIVERSITY

INTEROFFICE MEMORANDUM

TO: Karen Johnson (OPE), project officer, Strengthening institutions, team A

FROM: Bruce W. Vieweg, Associate Vice President, Technology & Computing Services and Project Director, Title III Grant

SUBJECT: PR Award number: P031A030130 – Increasing institutional efficiency through institutional research and access to information systems
84.031A – Strengthening institutions
Requested modifications to the Title III project

DATE: November 1, 2004

COPY: Kay Schallenkamp, Ph.D., President
John Schwenn, Ph.D., Vice President, Academic Affairs

Karen,

The following is a detailed position paper that provides the background for the University's current Title III initiative; identifies a new direction toward implementing commercial administrative systems; proposes to continue the Title III initiative using a new approach; identifies new goals; identifies a somewhat new use of grant resources; and substantially changes the methodology for the required match from the University. No additional funds beyond those already committed are requested.

Imogene Byers and our group from Emporia State University had a chance to review the draft version of this when we were in Washington, DC on October 7, 2004. The attached has been fully vetted by Vice President Schwenn and President Schallenkamp.

Thank you for your consideration. Please let me know if you would like for me to come to meet with you in your office in Washington, D.C., to discuss. Also, please give me a call if any additional clarification is needed.

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Introduction and Background

Emporia State University is located in rural East-central Kansas and was founded in 1863. It is a regional comprehensive university, has an enrollment of 6,278, including 4,434 undergraduate and 1,844 graduate students.

In 2003 the University applied for and received a Title III grant through the Strengthening Institutions Program. It is titled “Increasing institutional efficiency through institutional research and access to information systems”. The total amount of the grant is \$1,750,000 for its five-year period (October 2003 through September 2008) and is distributed at \$350,000 per year. The University has recently received notification of second year funding.

The grant proposed “enhancing the institutional research area by adding staff and evaluating data and implementing a data warehouse to make the data web accessible” (original grant application, page 2). While the University’s current administrative systems support the basic business and administrative requirements of the University, the data that they contain are largely ‘locked away’ with access only available to professional programmers who are familiar with its unique and archaic data structures. The majority of funding from the grant supports project-dedicated personnel with a relatively limited amount being spent on equipment and software.

As a part of the grant, significant resources are required in match from the University. The majority of this match is through ‘percent of effort’ allocation of current University staff and faculty assigned to support the goals and objectives of the grant. The total match contribution from the University, over the five year period of the grant, is approximately \$1.7M dollars

The Title III grant identified the following five problems to be ameliorated by the initiative:

1. Unavailability of crucial information
2. Lack of institutional studies opportunities
3. Information inaccessible to key administrators
4. Information inaccessible to students
5. Misspent resources

In addition, the Title III grant identified the following two specific “Goals” in response to these problems:

1. Increase analysis of critical information for decision makers and stakeholders
2. Increase access to critical information for decision makers and stakeholders when, where, and how they need it

The grant included specific evaluation requirements that created a robust evaluation plan to assure that the goals and objectives envisioned by the grant were realized and progress toward them were measured objectively.

Proposed new direction

The following proposal recommends that the University be permitted to make several changes in the original Title III grant:

1. A change in the way that the required match is met away from percent of effort, toward actual dollars;
2. No change in the original goals, however, several new goals are added;
3. No substantial change in the specific objectives and tasks associated with the original goals, however, they may be achieved in a different order; however, all of the specific tasks and objectives will be achieved within the original 5-year time frame of the grant.

No changes in current funding levels are requested.

New administrative systems

The University's current administrative systems need to be replaced with integrated, robust, modern, and contemporary systems that better meet the University's current and future needs. Nonetheless, at the time the original Title III grant application was filed, it was not considered possible for the University to replace these legacy systems. The state and university were in the midst of a severe budget crisis making it impossible to consider such an acquisition. Subsequently, an opportunity has surfaced in which ESU can partner in system acquisition with Wichita State University, another Kansas Regents University. This partnership provides a considerable opportunity for efficiency and cost savings in purchase, training, and implementation. Accordingly, after significant review and evaluation, the Universities have decided to purchase, install, and implement Sungard SCT Banner. With this new direction, the University wishes to restructure and refocus the Title III grant to be in better alignment with and support for the longer term initiative. The University believes that this restructuring is in its best interest and will provide a wise and prudent use of the resources provided by the Title III initiative.

The Title III initiative is appropriately focused on improving data access and decision making. Unfortunately, it does not provide for any improvement in current business processes or practices, nor does it resolve the many issues associated with the challenging 'way' in which current information is collected and stored in the in-house-developed and maintained legacy systems. While it promises to solve some of the shadow and standalone system issues, it cannot solve those in a way that will greatly improve operational efficiency or effectiveness. That said, however, it is also clear that the original reasons for the grant as well as its original goals are absolutely consistent with a new system and the new direction.

The replacement of the mainframe-based legacy systems with an integrated commercial system will provide the University with a new focus on information usage for decision support. This will help to solve the above identified problems and when coupled with the Title III initiative exceed all of the original goals identified within the proposal. We are also recommending expanding these original goals by adding the following:

1. To improve the overall quality of information for gathering metrics and conducting institutional assessment
2. To improve our responsiveness to state-system information requests
3. To improve our preparation for accreditation activities

4. To enhance grant success across the campus by simplifying statistics, summaries and analysis of various elements required for the application process

Objectives and Specific Tasks

The following original objectives of the Title III grant are tied directly to the programmatic goal of developing a data warehouse to provide needed access to information currently held in the University's legacy systems. Individual tasks are very detail oriented and highly structured to provide objective measures of progress. Each of these objectives remains valid and is in concert with the new ERP initiative although the specific order may change.

Objectives

Year 1 – 2003-2004

- 1.1 To increase the appropriateness of centralized data by 30% in comparison with 2002 baseline by September 30, 2003
- 1.2 Increase access to centralized information via the web by 100% by September 30, 2004

Both of these objectives have been successfully realized during the first year of the grant.

Year 2 – 2004-2005

- 2.1 Increase the amount of centralized data for strategic decision making by 50%
- 2.2 Increase the number of identified strategic decision makers accessing the data warehouse to 100.
- 2.3 Increase the satisfaction level of strategic decision makers in regard to appropriate data by 50%.
- 2.4 Increase the effectiveness of student access to appropriate data by 50%.

Year 3 – 2005-2006

- 3.1 Increase the amount of appropriate centralized data for marketing, enrollment management, and distance education staff by 50%
- 3.2 Increase the number of staff/faculty requiring data for marketing, enrollment management, and distance education accessing the data warehouse by 250.
- 3.3 Increase the satisfaction level of marketing, enrollment management, and distance education staff by 50%

Year 4 – 2006-2007

- 4.1 Increase the amount of appropriate centralized data for financial areas focusing on daily operations by 50%.
- 4.2 Increase the number of staff/faculty accessing the data warehouse for financial data to 500.
- 4.3 Increase the satisfaction level of staff/faculty using financial data by 50%.

Year 5 – 2007-2008

- 5.1 Increase the amount of centralized data for student affairs by 50%.
- 5.2 Increase the number of users accessing the data warehouse to 750.
- 5.3 Increase the satisfaction level of staff/faculty using student affairs data by 50%.

Specific Tasks

Specific tasks will require some modification in terms of timing – however, each is required to meet the objectives of the ERP initiative as well as the Title III initiative.

Year 1 – 2003-2004

- 1.1 Establish Title III management team and evaluation procedures
- 1.2 Hire Institutional Researcher, Database Administrator, and Web Programmer positions
- 1.3 Contract with vendors for hardware and software for increasing web access to centralized data warehouse
- 1.4 Formulate plan to analyze ESU's current centralized data
- 1.5 Install required hardware and software
- 1.6 Develop plan for producing templates and procedures for accessing data developed
- 1.7 Implement analysis plan of current centralized data
- 1.8 Determine appropriate data and cleanse what is not needed
- 1.9 Implement initial data to be made web accessible
- 1.10 Select users and pilot training for access to data warehouse
- 1.11 Assess overall process and procedure and make changes as necessary

All tasks from year 1, other than hiring of the Institutional Researcher that is on hold pending outcome of this request, have been successfully completed.

Year 2 – 2004-2005

- 2.1 Formulate plan to determine ESU's data needs for strategic decision-makers and students
- 2.2 Implement plan to determine data needs for strategic decision makers
- 2.3 Implement plan to determine data needs for students
- 2.4 Determine appropriate data for strategic decision makers and students
- 2.5 Implement data to be web accessible
- 2.6 Select strategic decision-makers and train them for access to data warehouse
- 2.7 Publicize access for student access
- 2.8 Evaluate Year 2

Year 3 – 2005-2006

- 3.1 Purchase and install equipment upgrades
- 3.2 Formulate plan to determine ESU's data needs for marketing, enrollment management, and distance education
- 3.3 Implement plan to determine data needs for marketing, enrollment management, and distance education
- 3.4 Determine appropriate data
- 3.5 Implement data to be made web accessible

- 3.6 Identify users of marketing, enrollment management, and distance education data and train them for access to data warehouse
- 3.7 Evaluate year three

Year 4 – 2006-2007

- 4.1 Purchase and install equipment upgrades
- 4.2 Formulate plan to determine ESU’s financial data needs
- 4.3 Implement plan to determine data needs for strategic decision making
- 4.4 Determine appropriate data
- 4.5 Implement data to be made web accessible
- 4.6 Identify financial data users and train them for access to data warehouse
- 4.7 Evaluate year 4

Year 5 – 2007-2008

- 5.1 Formulate plan to determine ESU’s data needs for student affairs
- 5.2 Implement plan to determine data needs for student affairs
- 5.3 Determine appropriate data
- 5.4 Implement data to be web accessible
- 5.5 Identify student affairs data users and train them for access to data warehouse
- 5.6 Convert the Title III Steering Committee to an on-going management team
- 5.7 Evaluate year 5

Match

Currently, the majority of the required University match is generated from individual employee percent of effort activities. As we refocus the grant and expand its original goals, we will identify a different way of meeting the required match. Rather than meeting it through personnel, we will meet the match using actual dollar matching. Since the University will be making a multi-million dollar investment in the Banner software and its associated implementation processes, those dollars could very suitably be used for the required match. This redefinition of match, will release a number of individuals to perform activities associated with both the ERP and Title III initiatives since the match will no longer be based upon time but actual dollars.

Match detail

Year	Total % of effort match – salaries plus fringes	Equipment and software	Cash match
Year 1 – 2003 – 2004	\$180,418	\$112,000	\$0
Year 2 – 2004 – 2005	\$0	\$17,000	\$185,829
Year 3 – 2005 – 2006	\$0	\$51,589	\$191,405
Year 4 – 2006 - 2007	\$0	\$17,000	\$197,148
Year 5 – 2007 – 2008	\$0	\$17,000	\$203,061

The total amount of the match will be a minimum of \$1,172,450 as proposed in the initial budget included as a part of the grant application.

Staff involvement

The following individuals will continue to be involved in the grant project; however, their percent of effort will change according to need. All time dedicated to the Title III initiative will be tracked:

- Bruce W. Vieweg, Associate Vice President, Technology and Computing Services, Title III Project Director;
- Roy Gallup, Director of Technology and Computing Services, Title III Technology Support Coordinator
- Other staff members from Technology and Computing Services will be involved with the Title III initiative as required. An accurate record will be kept of each individual's involvement.

The following positions will continue to be funded using grant dollars, \$1,396,729 across the five-year grant period. Each of these individuals is a highly skilled information technology expert. Each one has exceptional skills that assure a positive and successful outcome to both the Title III initiative and the ERP.

1. Database administrator – currently held by Dale Pember
2. Web programmer/analyst – currently held by Donald Morfitt
3. Web programmer/analyst – currently held by Randal Geringer
4. Web programmer/analyst – currently held by Nikki Barnes
5. Senior Institutional Researcher – the initial search failed to identify a viable candidate – a new search will be instituted upon receiving permission to proceed with the new direction for the grant.

A relatively smaller amount from the grant over five years, \$243,271, is dedicated to equipment, supplies, and other expenses all of which will be used to support the new direction for the Title III grant.

The evaluation plan that was a part of the original grant proposal will be reviewed and restructured to better align with the above proposed changes. It will continue to focus on objective measures of progress and impact. The results of the evaluation plan will inform both the Title III and ERP initiatives. In addition, the state of Kansas Information Technology Office (KITO) requires significant project oversight, in order to better guarantee a successful outcome.

As suggested above, it is certainly possible to redefine the 'method' of achieving the original goals of the grant. Rather than achieving them by developing and programming a data warehouse to support our current archaic legacy systems, we are proposing, as a part of our overall ERP (Enterprise Resource Planning) initiative, that these individuals be focused on assisting the University to build a data warehouse and decision support system for the new initiative. All specific objectives and tasks will be met – however, they may be met in a different order. Each of the tasks and objectives will be added to the ERG project plan to assure that all are successfully met.

We will continue to request support for the 5 positions as outlined in the original grant, but their primary purpose will be to augment current staff in working through the significant data migration challenges and with the development of a decision support system based upon commercial software that will have longer term positive impact for the University.