

2012 Principal Initiatives and Accomplishments

1. Create an environment that attracts, retains, and develops world-class staff

Principal Initiative	Lead	Status
HR Strategic Plan: Develop an HR Strategic Plan which sets forth key priorities to advance Stanford's reputation as the best led, best managed university in the world.	HR	Completed
Healthcare Benefits: Complete rollout of redesigned health plans for calendar 2012 including 1) integrated BeWell program; 2) replacement of PacifiCare and HealthNet HMOs with Blue-Shield EPO; and 3) A-ICU (mid-year 2012). In addition, continue planning for 2013 enhancements including 1) broadening of BeWell component to include spouses/partners and physician check-in; and 2) provider pricing and quality transparency	HR, CFO	Completed
Business Affairs Facilities: Work with LBRE to consolidate HR and FMS organizations. Plan, program, facilitate, and move HR to 3160 Porter by April. Complete planning and facilitation of Procurement move to 3145 Porter, post LBRE move to 3160. Plan and Program HR and IT training facilities, and Risk Management to vacated Business Affairs locations from the 3160 or other moves. With LBRE, reprogram and re-purpose remaining vacated Business Affairs facilities to address SeRA, OSR, ITS and other facilities needs. Plans to be completed by 4/12. Most retrofits and moves will occur subsequent to HR and LBRE moves to 3160	BAFF	Completed

Department Secondary Initiatives

Bringing Lean to Stanford: formalize a process/community to train/mentor/coach interested employees in lean process improvement techniques FY12: Model approach and methodology (lean/change management) with active FMS projects	FMS	Completed: FY12 goal is to model approach with current projects. Subawards and Endowment are two Examples where process-centric approach is taking place. Partnering with HR to explore creating "Lean"
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		community of practice, including training courses and mentorship.
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2. Transform administrative processes, systems and infrastructure throughout the University so that people can spend more time on value-added activities

Principal Initiative	Lead	Status
<p>Research Administration Efficiency: Achieve major SeRA implementation milestones:</p> <p>a) Module 2 Clinical Trials functionality; b) Module 3 roll-out (Account Set-up - part of SAMS project); Integrate SeRA Module 3 with PTA Manager (all account/PTA set ups) c) Module 4 complete requirements and begin development (Sub-Awards); d) Redesign and document all internal OSR processes affected by the SeRA modules being implemented this year; e) Finalize structure and complete staffing of SeRA Operations and Maintenance Group</p>	<p>a,c,d) OSR;AS b)FMS;OSR e)AS; OSR</p>	<p>a)Completed b)Project delayed, currently schedule for summer 2012 c)Requirements completed; Development deferred pending completion of Module 3 and enhancements to Module 2 d)Thorough redesign of sub-award process completed (Module 4) e)Completed and operational with 2 maintenance releases of previous modules</p>
<p>Research Administration Efficiency: Complete specifications and mock-up of unified research website with links to various resources and applications (similar to FinGate for research)</p>	<p>DoR (Support - RFCS)</p>	<p>Specifications and mock-up completed; charter approved for full site development</p>
<p>Training and Compliance Enrollment: Improve STARS stakeholder satisfaction through enhancements, support, and training</p> <p>a) Upgrade to PS ELM 9.1 b) HR to assume Executive Sponsorship c) HR to complete assessment/discovery and develop a high level road map</p>	<p>HR; AS; IAI</p>	<p>a) 6,500 users completed HIPAA training in STARS, but several critical users experienced major issues with training enrollment and delivery, which ultimately led business owners to move training to Law Room instead of STARS. b)Upgrade completed in December c)Basic TNAT manager capability implemented d)Completed e)Completed f)Completed g)STARS primary reporting moved to HR January 1; assessment completed; road map in</p>

		process, and necessary resources being debated with Executive Business Owners
<p>Procurement Efficiency: Create a best-in-class strategic sourcing and payment services infrastructure inclusive of process, systems, and people.</p> <ul style="list-style-type: none"> a) Conduct Lean, Six Sigma Process Mapping project to optimize process efficiency b) Integrate R&DE "Eatec" food purchasing software with SmartMart providing direct transaction recording in Oracle GL and electronic invoicing c) Pilot Oracle iExpense Reimbursement Module with Business Affairs 	FMS; AS	<ul style="list-style-type: none"> a)Completed b)Completed c)Completed - April 2 pilot go live
<p>Financial Management Efficiency: Achieve major PTA Manager project milestones to standardize and upgrade account management process, including account setup, maintenance, and review:</p> <ul style="list-style-type: none"> a) Automate gift transmittal processing (Phase 1 roll-out) b) Automate PTA Setup process for both Sponsored and Non-Sponsored funds AND integrate with SERA Module 3 (Phase 2) c) Complete System Integration Testing phase for PTA Manager integration with new Form 1 (Phase 3) 	FMS; AS	<ul style="list-style-type: none"> a) Gift Transmittal complete although rolled out only to select units b) Sponsored and Non-Sponsored tracks separated; Non-Sponsored went live in April Sponsored delayed until summer with revised project planning in process (same initiative as A-1b listed above) c) Delayed. LBRE is building new Form 1 application, with expected go-live late Summer. BA will start PTA Manager integration once Form 1 application is available.
<p>IT Efficiency: Leverage Oracle EAM for Service Center billings university-wide:</p> <ul style="list-style-type: none"> a) Proof of concept b) Approve project charter and begin project development 	ITS; AS	<ul style="list-style-type: none"> a)Proof of concept completed jointly with ITS and AS, and was a success. b)Project charter approved, and project is in development.
Department Secondary Initiatives		
<p>IT Efficiency: Implement system to allocate School of Medicine cost for Converged VoIP</p>	AS/FMS	Project delayed; Working on functional design; development targeted to begin in May, with goal of completing implementation by 9/1

<p>Financial Management and Reporting: With the School of Humanities and Sciences, design effective and integrated graduate aid tracking, budgeting and forecasting processes and develop a tool that would support these grad aid activities throughout the year</p> <p>a) develop current state maps, high level business requirements</p> <p>b) complete detailed business and functional requirements, future state maps</p> <p>c) identify application developer (internal or external)</p>	FMS; AS	<p>a)Current state maps and high level business requirements completed.</p> <p>b)Business requirements completed; future state maps still to be completed</p> <p>c)Impacted by slow pace of b). RFI issued, with responses due in May. Other schools (Earth Sciences, Education) expressing interest in adopting solution</p>
<p>Security & IT Efficiency: Develop Card Services business and cost model for Approval by Provost</p>	ITS	<p>First draft reviewed with Randy. There will be a second draft before proceeding to meet with Tim and Randy. That will then go to the Provost.</p>
<p>CAP-Templates: Process automation to enable a more efficient correction of capital equipment postings</p>	RFCS	<p>Moved into production first week of May</p>
<p>Clinical Trials Invoicing Automation: Create a system to enable the recording of procedures to enable more timely billing and provide information for matching payments to billable events</p>	RFCS	<p>In production; being rolled out on a department-by department basis as requested by SoM</p>
<p>Salary Blocking Controls: Use Oracle functionality to block selected salary groups (primarily administrative) from being posted to selected types of federal sponsored projects.</p>	RFCS	<p>Delayed due to illness of critical person</p>
<p>Core Facilities Project: Select application vendor for campus-wide service center marketplace and billing system</p>	RFCS	<p>Application vendor (iLabs) selected</p>
<p>Financial Management: Create/implement formal Oracle Financials governance structure:</p> <p>a) Establish a way to collect, measure, and understand the impact of all outstanding system fixes and enhancement requests for Oracle Financials modules</p> <p>b) Implement process to prioritize the requested system fixes and enhancements</p>	FMS, AS, RFCS, LBRE	<p>Draft Charter completed by FMS. Will begin working with other central financial system owners (Budget Office, RFCS and OSR) to review, refine and implement plan.</p>
<p>Mobile Interface: Complete discovery for native mobile interfaces for enterprise applications - e.g., expense tracking, time and leave tracking, transaction approvals</p>	AS	<p>Discovery completed; Implemented mobile-aware web interface for</p>

		StanfordYou and Staff Time and Leave applications
Debt: Raise debt to fund the capital plan and/or trigger refinancing to lower the University cost of funds	FMS	Very successful \$240M debt refinancing completed in April, generating \$50M PV savings over remaining life of debt instrument.
Debt Management Process Automation and Improvement: Complete implementation and rollout of CADMS 2b (private use/tax compliance and enhanced distributed user experience)	FMS	a)The tax compliance phase is complete and was used successfully to prepare the FY2011 990 Schedule K b) The non-compliance phase is incomplete and targeted for completion this summer. Requirements have been carried over from prior phases. Several reports are yet to be completed.
Procurement Efficiency: a) Implement Oracle Buyers Work Bench Module to facilitate strategic allocation of purchasing/contracts workload. b) Implement Oracle eBusiness Tax feature, automating the application of applicable purchase order tax rate	FMS; AS	a)Complete b)Went live in April, but with numerous complications that are in process of mitigation.

3. Deliver accurate, timely and useful information to support decision-making

Principal Initiative	Lead	Status
Management Reporting: Continue development of BICC Dashboards: a) Update BICC research dashboard to use SeRA data b) Deploy new BICC dashboard for HR data by December 2011; c) Complete requirements for BICC dashboard for research expenditures	AS, OSR, HR	a)Completed, but issue on appropriate definition to count proposals remains open b)Completed c)Charter drafted, but requires more work to develop overall reporting strategy for research expenditure information,integrating RM3, OBIEE, CMS and FFIT.
Financial Management and Reporting: Improve distributed Campus Financial Management capability:	FMS	a)25 SoM departments completed, but 3 remaining,

a) Complete rollout of FFIT with School of Medicine b) Complete rollout of FFIT with School of Humanities and Science		all of which are being managed by SoM. b) Completed in December
Financial Management and Reporting: Perform an initial discovery phase of the endowment income allocation/payout/shortfall processes to determine how the processes could be improved with respect to transparency, predictability, and consistency between fund accounting and cash management a) Define potential future state b) Scope ramifications and resources required to manage a change	FMS; CFO	Complete. Future state defined, including Preliminary view of resources required for change in methodology and project timeline.
Department/Secondary Initiatives		
Streamline Processes for Capital & Non-Capital Projects: a) Complete and rollout the redesign of the Form 1 process in conjunction with LBRE and distributed users. b) As part of the project, evaluate non-capital projects to determine if additional	LBRE	Not completed, as LBRE delayed development of new Form 1 process
Financial Management and Reporting: Organize theme to "align reporting tools by business function" by developing a coherent strategy for display that includes: a) Coordinate reporting projects with BICC to implement Payroll report(s) using OBIEE technology which consolidate PS and Oracle Financials data b) Enhance FFIT to provide organizational view for account data (functionality referred to as OFIT) c) Complete Discovery to move Financial Reports from (RM3) to OBIEE	FMS	a) Payroll reports migrated to OBIEE, but integrated report not completed b) Completed c) Completed

4. Create a comprehensive and balanced approach to university-wide risk management

Principal Initiative	Lead	Status
Enterprise Risk Management: Continue enterprise risk management process with Cabinet and Trustees: a) Update prioritized list of enterprise risks with University Cabinet b) Coordinate 2 additional risk discussions with	IAIC; CFO	a) Completed b) Information Security (Jan) and Bicycle Safety (Mar) reviews completed. Dealing with Situations and

<p>University Cabinetc) Complete requirements for BICC dashboard for research expenditures</p>		<p>Healthcare Benefit Costs scheduled for May</p>
<p>Information Security: Couple online computer security awareness training with SUNet account creation</p>	<p>ITS; ISO</p>	<p>Training course is still under development, scheduled for completion in June; will be linked to SUNet account creation shortly thereafter.</p>
<p>Protecting Online Identity: Complete 2nd-factor authentication pilot and make solution available for use campus wide</p>	<p>ITS; AS</p>	<p>Solution available for use; Decision by Executive Cabinet to limit deployment. Account abuse detection module deployed.</p>
<p>Information Security: Implement device management for Stanford's predominant mobile devices, including ability to manage and audit security settings.</p>	<p>ITS; ISO</p>	<p>Solution available for use; promoted through Stanford Report article in March. Implemented on approximately 3,000 devices to date.</p>
<p>Global Activities: Develop and communicate coordinated infrastructure and services offerings with new Office of International Affairs, and other co-service providers, to provide seamless administrative support for University constituents working globally. Improve awareness and management of risks relating to global program activities</p> <p>a) Work with new Global HR person to develop & implement policy framework to support global mobility.</p> <p>b) Continue to improve visibility into planned foreign activities. Provide targeted and proactive support for in-country structuring options/operations.</p> <p>c) Leverage and enhance financial systems to enable improved tracking of foreign transactions in Oracle R12.</p> <p>d) Establish and maintain WFOE in China in support of SCPKU.</p>	<p>FMS; HR</p>	<p>a)Transitioned chair of GlobalMobility sub-group from GBS to HR; Coordinating on ongoing global HR issues; Given 403b issue, formal global mobility policy framework not completed. However, moving towards localizing compensation structures for permanent foreign center staff (BOSP).</p> <p>b) Establishing new subgroup of GlobalBIG for regular review/issue spotting for new global projects, now visible via SeRA/Registry integration and OBIE dashboards.</p> <p>c) New P2P transaction data being used for FY11 990/Sch F reporting.</p>

		<p>Implemented tracking of student grant data in PS.</p> <p>d) New Holdco - Stanford University Global LLC established in April 2012; WFOE establishment budget approved and set-up proceeding; timing dependent on China regulatory process, and not yet completed.</p>
<p>Records Retention: Clarify and adjust records retention policies given the switch to digital files and updated legal requirements (including debt-related issues)</p> <p>a) Sponsored projects and property b) Payroll c) Personnel. d) Gifts</p>	<p>a) OSR, RFCS b) HR c) HR d) FMS</p>	<p>a)Completed b)Completed c)Completed d)Expected to be completed in June Record retention policy for debt related records also completed</p>
<p>Distributed Financial Management: Evaluate risks in distributed model and develop plans to mitigate risk</p> <p>a) Establish and convene an advisory group from key UMG/ICCC representatives b) Identify subrisks and rank according to significance and likelihood c) Identify preliminary mitigation ideas d) Present preliminary findings to ICCE e) Start developing appropriate mitigation activities and project plans</p>	<p>FMS</p>	<p>a)Completed b)Completed c)Completed d)Completed e)Mitigation activities initiated in multiple areas</p>
<p>SLAC: Improve oversight and awareness of SLAC</p> <p>a) Develop presentations/training designed to educate FMS and RFCS/OSR staff on DOE rules/regs and on SLAC business model b) Define elements and components of a successful SLAC monitoring program. Determine appropriate metrics, discussions, regular reporting, status of systems project c) Develop a plan and begin implementing the program. d) Assess information security program,</p>	<p>a-c)FMS, RFCS, OSR, HR d)ISO</p>	<p>a)Presentation completed and delivered to wide range of FMS and RFCS/OSR staff b) & c)Developed SLAC assurance program, including responsibilities for 5-6 primary departments on campus (e.g., FMS, RFCS, OSR, DOR, HR, etc.) relating to operational activities as</p>

including policies, training, tools and effectiveness		well as "assurance" type initiatives. d) Completed
Department/Secondary Initiatives		
Quality Assurance: Develop an effective quality assurance function, including post-transaction audit capability. a) Hire a QA analyst (Yr 1) b) Develop a QA plan for years 2 - 3. (Implement as appropriate.)	FMS; IAIC	Deferred to FY13
Cash Management: FY12: Redesign campus cash collections (cashier's office) to facilitate collections while ensuring proper controls	FMS (FMCSG, TO, and CO)	Deferred to FY13
Information Security: Implement a Special Portal so that local departments do not have to collect Prohibited data for payment and reimbursement processes.	ISO	Working group determined that issue could best be addressed by redesigning workflow and forms to eliminate need to collect forms with Prohibited Data on distributed basis. Instead, data will be collected directly into central systems. HR, FMS and AS now need to implement new forms and processes.

5. Continuously improve faculty, staff, student and other clients' satisfaction with administrative services

Principal Initiative	Lead	Status
Client Accountability: Create Business Affairs / Administrative Services Web Site that conforms with "Stanford Modern" design standards, and includes vision and strategic goals and initiatives, with links to metrics, survey results, and pointing to other Administrative Services/ Business Affairs Websites, including ITS, AS, Fin Gateway, etc	BAFF	Completion delayed, anticipated by end of summer.
Client Satisfaction: Develop and complete annual client satisfaction survey for	OSR; RFCS	OSR survey (including RMG, ERA & OIC) completed with high level summary of results; RFCS also

research administration, potentially coordinating with RMG, ERA and DoR		completed surveys for PMO, AR and Service Centers.
Client Satisfaction: Improve client satisfaction using survey as measurement tool for Financial Management Services, including P2P, payroll and reporting. a) Roll out survey to campus financial distribution b) analyze results c) develop/implement a meaningful action plan which addresses areas for improvement	FMS	Survey and analysis completed and distributed to constituent departments for local improvement planning.
Client Satisfaction: Develop and complete client satisfaction survey for HR services	HR	Completed
Collaboration Services: Complete implementation of cloud-based collaboration services (email, calendar, desktop applications) in GSB and for undergraduate students. Implement Doc & Apps pilots	ITS	Contract with Google was signed. GSB migration completed. Undergrads move themselves starting in April, finishing over summer.. Google Doc & Apps piloted in IT Services and GSB
Department/Secondary Initiatives		
Client Satisfaction: Improve central marketing function to support the value proposition of FMS projects/processes/products and manage ongoing marketing projects based on improved analytics. FY12: a) develop financial management customer segmentation and profiles. b) develop improved communication plans with targeted outreach	FMS	a)Completed b)ZIP Purchasing campaign undertaken under new approach
Client Support: Evaluate and improve central customer support methodology for tax, expenditure type/object codes, and additional procurement categories. a) Conduct process analysis b) Migrate appropriate content to central support model Evaluate and improve self-service tools	FMS	Completed for tax, expenditure types, Treasurer's Office and PTA Manager; 90% completed for Procurement and OSR Post-Award (progress as expected for time period)
Data Center Facilities: a) Obtain Trustee design and construction approval of SRCF	ITS	a)Trustee construction approval Feb

<p>b) complete design and permitting of Forsythe Phase III (complete construction 2012)</p> <p>c) Submit Forsythe Phase IV/Expanded West Campus ECH to Capital Budget Group</p>		<p>b)Design & permitting for Forsythe III completed; construction underway</p> <p>c)Multiple options submitted for capital plan</p>
<p>Client Support: Implement transformational IT projects and ongoing support for SHC and LPCH as detailed in the new contracts</p>	<p>ITS</p>	<p>All transformational projects on schedule</p>
<p>Client Support: Support new student online billing services that includes redesign of the electronic student bill, student refund and stipend process handling, online payments, cashiering interface to PeopleSoft, etc</p>	<p>FMS</p>	<p>Completed</p>
<p>Client Support: Evaluate and improve central office customer support models.</p> <p>a) Evaluate customer service content for tiered delivery model.</p> <p>b) Migrate appropriate content to tier 1 service group (BPSC) in phased approach (e.g., Chart of Accounts, Payroll/Labor, Tax, CMS/FFIT, ePTA)</p> <p>c) Establish customer support processes and standards for tier 2 and 3 escalation.</p>	<p>FMS</p>	<p>a) Completed Evaluation of a number of subject matter domains. BPSC expanded service to several new content areas, and is now known as the Financial Support Center. New service areas include PTA Manager, iExpense, Zip Purchasing, tax basics and EBtax, Cash Management (including unidentified receipts), software licensing, and expenditure types)</p> <p>b) Post Award support center project is 90% complete, with over 100 questions covering PTA setups, FFIT and expenditure types prepped for move to Financial Support Center. Go Live targeted for June 2012</p> <p>c) Process maps for expenditure type requests done. Improvements carry over to FY13. d)Revision of exp type descriptions into user friendly language underway and ongoing into PY13. Business requirements for improving online exp type search completed, implementation in FY13.</p>

<p>Client Support: Transition to Student Affairs with improved process and controls FY12:</p> <ul style="list-style-type: none"> a) Work with SA to create and implement transition plan to improve/fix Student Financials functions b) Define appropriate Roles & Responsibilities, including defining SLA between FMS and SA c) Transition PS Student Financials system operations and projects d) Create and implement plan to evaluate level of controls and recommend enhancements in this area if required. e) Transition Cashiers function for non-student activities to FMS from SA 	<p>FMS; VPSA</p>	<ul style="list-style-type: none"> a) Working w/consultant to identify metrics for oversight of SSC/SFS operations and controls. b) Process for SLA started but delayed due to other SA/CO priorities. c) System operations and project functions transition completed. d) Refunds & TPC to be completed by 4/30; Tuition in process - target May 31 e) Not completed
<p>Sponsored Accounts Receivable: Eliminate receivables over one year unless supported by reasonable tracked rationale</p>	<p>RFCS</p>	<p>Receivables > 1 year down to less than \$100,000 (0.01% of collections)</p>