2015 Principal Initiatives and Accomplishments

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

"Next 10" Principal Initiative	Status
Talent Management: In support of growing our internal talent, we will institute a multi-year program for development that includes the 3E's: Exposure, Experience and Education. We plan to include such options for development as rotational assignments, management and leadership classes and informal mentoring as well as other development opportunities. a. Identify high potential/high performers b. Prepare career profiles for high potential individuals c. Establish mentor relationships d. Provide development assignments and rotations e. Undertake succession planning for senior staff	a. Completed b. Completed c. Completed - 24 high potential individuals assigned mentors d. 3 developmental assignments e. Completed
Redwood City: Support and collaborate with Capital Planning to design the Redwood City campus to attract and retain world class staff a. Design to accommodate Business Affairs and other groups b. Identification and planning for onsite services provided by BA groups (e.g., cashier, card office, CRC) c. Technology plan for Redwood City campus and communication with south campus d. Funding plan	a. Provided LBRE all requested input to facilitate designing workspace to accommodate Business Affairs and other groups (90 pages of documentation provided). Participated in committees to support campus Design Process. Began internal process to develop Business Affairs RWC Space Design principles. b. Tentatively agreed that CRC, Data Center and Technical Infrastructure personnel remain on main campus. (~ 160 staff members) c. Provided technology requirements to LBRE, including ECH and small data center d. Current plan is to 100% debt finance campus. Raised debt to fund initial stages of construction

2. Transform administrative processes, systems and infrastructure throughout the University so that people can spend more time on value-added activities

"Top 5" Principal Initiative	Status
Procure to Pay (P2P) Transformation: Create effective and efficient Procurement and Payment operations that support spend management strategy a. Spend Insight - Develop and execute data-driven, 18-month, spend management pilot program covering appropriate categories with targeted $5M savings (May 2015 - October 2016) b. SmartMart Replacement - Identify solution for unified P2P experience across all source systems and establish an implementation plan for PY 2016 c. Payments - Complete implementation of Expense Request System (Feb 2015 go live)	A. In process with completion date of October 2015. Focus on 6 spend categories: a. Travel –Program rollout complete, using Orbitz. Focus on service, content, pricing, and functionality. b. Med/Lab Supplies - Fisher contract renegotiated to provide greater transparency, controls, and $2.1M in additional savings. c. 3rd-party Labor - ZeroChaos selected as MSP, but UIT resources required to support implementation not available until Jan 2016 d. Desktop Hardware - RFP is completed. Dell and Apple standards set and negotiated. VAR RFP in the analysis phase. Microsoft negotiations underway for “Surface.” e. Office Supplies - Finalized vendor agreement, new prices loaded in SmartMart f. Job Order Contracting - Validating value proposition with key constituents B. BuyerQuest selected and contract negotiated. Scope includes catalog/open marketplace, non-catalog requisitions, supplier collaboration, & electronic invoicing. High level implementation plan complete, with Go-Live targeted by November 30, 2015. Project has commenced; detail integration planning with BuyerQuest underway. C. Full campus went live February 9, 2015. In first two months, processed 26,296 transactions from 1,712 different preparers (526 transactions/day) with zero backlog in T&R auditing

"Next 10" Principal Initiative"	Status
Research Administration Transformation: Complete transition of SeRA system to O&M mode	a. Completed 5 releases (Zeta, Eta, Theta, Iota and Kappa) including one

a. Maintenance Releases - Build new features and address user issues through enhancements in 3 to 4 future releases, following priorities dictated by business user group b. Finalize O&M budget and funding model c. Integrate support for OPACS and determine responsibility for other research systems (e.g, eCertifty, eProtocol)	focused solely on addressing critical RMG/SOM issues b. Completed. Final based funding increment approved by Budget Group and Provost c. OPACS fully supported by the SeRA Team, including integrations into with OTL and gift transmittal systems. eProtocol discussions ongoing
Budget Process, System and Reporting Transformation: Provide a robust and dynamic budget management processes to plan and monitor the utilization of university resources that is well integrated with other financial systems and reporting a. Discovery Phase: i) current state process mapping for central and distributed users (Dec 2014); ii) systems (Hyperion EPM) and reporting evaluation (Mar 2015); iii) develop proposed end state (July 2015); and iv) assess change management impact (Aug 2015) b. Parallel improvements - deliver improvements to current process and tools during PY 2015	i. Completed current state maps for UBO and 25 Budget Units; 60+ interviews and 75+ process maps. Completed current state analysis report/deck with summary of 14 pain points. ii. Surveyed 17 peer universities. RFP and Tool Selection process is in progress iii. High level business requirements document (BRD) completed, including central and distributed user requirements iv. On track for August 2015
University IT Leadership and Presence: a. Provide leadership for university IT community (e.g., STP and IT Partners); b. Promote consistent technology and application adoption, and c. Establish communication program, including unified web presence, to effectively promote service support opportunities and communicate value	a. Merged IT Services, Administrative Systems and Information Security Office into single University IT organization. Established Office of the CIO and University IT Senior Staff group. Formed CIO Council including school and department CIOs from across university. b. Established University IT Planning Team, and 6 improvement teams including distributed IT representation. Standardized on Jira and Confluence tools. c. Created University IT website and monthly newsletter. Convened University IT Town Hall and Summit (unconference). Launched unified client survey.

Departmental Principal Initiative	Status
Core Facilities Project: a. Complete implementation of iLab for 8 additional service centers (25 total as of April 2015);	

b. Create an Amazon-like user interface outside the University firewall to enable customers to identify products and services with greater ease	
ShARES (Stanford Application for Reuse, Excess and Surplus): Design, seek approval for and begin development of new system for equipment reuse, excess requests and collection, and surplus processes	

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

"Next 10" Principal Initiative	Status
Evolve and Consolidate Financial Planning & Reporting: Consolidate and update tools for financial management reporting, with the ultimate goal of moving financial reporting content to OBIEE (Analysis and BI Publisher) a. Implement Expense Request System reports (phase 1 of Integrated Payments and Expenditures - IPE) b. Begin technical design for IPE phase 2: expenditures, budget and hard commitments c. Update and refine overall project roadmap d. Identify existing RM3 reports that will migrate 1:1 to OBIEE and begin implementation	a. Predefined and Ad Hoc reporting functions released with ERS system Feb 2015. 800 unique users to date. Minimal post-release bugs b. Business requirements and functional design complete. Technical design and development 41% complete as of April 30 c. Completed; presented and approved by executive sponsors d. Identified 31 reports for conversion, in three areas: 1) Endowment, 2) Accounts Receivable and 3) Burdening and Capital. Developing and testing for first group in progress. Target completion date for all groups August 2015.

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

"Top 5" Principal Initiative	Status
Information Privacy and Security: Improve University's profile with respect to information privacy and security risks a. Server Security – Establish and enforce minimum configuration and security standards: i) upgrade or decommission Windows 2003 and older servers; ii) provide security training and certification for system administrators; and iii) deploy security tools, including centralized logging (Splunk), vulnerability scanning (Qualys), intrusion detection (OSSEC), application whitelisting (Bit9) and EMET for Windows b. Endpoint Security – Finalize, communicate and implement standards for endpoint security and management: i) Monitor and encourage progress towards encryption deadlines; ii) transition legacy MDM devices to AirWatch; iii)	a. Finalized and published new risk classifications (dataclass.stanford.edu) and minimum security standards for servers and applications (minsec.stanford.edu). Risk classifications went into effect May 1, 2015. a.i) On track for July 14, 2015 deadline. Identified servers and notified system administrators. More than 50 servers remediated. Tracking exceptions. a. ii) Designed and delivered four courses, which will be offered periodically going forward. (sisa.stanford.edu). a. iii)

Complete implementation of endpoint compliance management system, combining data from BigFix, MDM, PeopleSoft/LDAP, user authentication logs, attestations and exceptions; iv) identify and deploy read-status-only compliance reporting alternative to BigFix; and v) deploy EMET on Windows endpoints c. Email Security – i) Implement ProofPoint on central email gateways to reduce spam, malware and phishing attacks; and ii) deploy Code Green to filter all outgoing email and block transmittal of bulk unprotected PHI/PII d. Account Security – Implement Duo for enhanced two-step authentication and extend to VPN and other access methods e. Network Security – Provide dedicated network segments for highly vulnerable devices such as industrial control systems f. PCI - Design, build and support a PCI DSS v3.0 compliant infrastructure by Dec 2014 and work toward completion of Stanford merchant validation by Dec 2015 deadline. Migrate to PCI DSS v3.0 compliant web payment solution by (vendor imposed) Sep 2014 deadline g. Privacy – i) Implement an ongoing university-wide privacy auditing program; ii) Implement process to identify and review vendors who access, use, store and/or transmit Regulated Data; iii) Revise Computer and Network Usage administrative guide policy; iv) Design and implement a new privacy office website; and v) Provide on-line privacy training programs	• Splunk - Deployed to 1,869 servers supported by University IT. Made service available to distributed IT units (log2splunk.stanford.edu). Designed 200GB modular hardware stacks for future expansion. • Qualys - Twice monthly external scans and monthly internal scans of entire campus. Initiated external web application scans. Made tool available to all system administrators (> 200 accounts in use). Implemented Vulnerability Dashboard and made available to IT management and sysadmins: (vulnerability.stanford.edu). Sending automated vulnerability notifications to cognizant system administrators. • OSSEC - Deployed to more than 100 University IT servers. Made available as a free service to the campus with logs feeding into Splunk. (itservices.stanford.edu/service/ossec) • Bit9 - Deployed on more than 120 University IT servers, including all Ring 0 servers. Made available as a free service to the campus. (itservices.stanford.edu/service/bit9) • EMET for Windows - Deployed on University IT & GSB Windows infrastructure servers. Published service page: (emet.stanford.edu) b. Finalized and published minimum security standards for endpoints (minsec.stanford.edu). Publicized in numerous presentations and University IT newsletter article. b.i) Established encryption website (encrypt.stanford.edu). Created and distributed encryption posters. Conducted more than 60 presentations referencing

	encryption effort. Reports listing unencrypted devices sent to system administrators. During the performance year, verifiably encrypted laptops/desktops increased from 15,300 to 25,600 and mobile devices from 10,000 to 15,900. b.iii) Decommissioned legacy MDM system. Multiple notifications sent to users over several months. Conducted migration clinics. Legacy MDM devices reduced from 8,500 to less than 1,000 before decommissioning. *Individual user notifications and campus network restriction capabilities scheduled for June and July 2015, respectively.* b. iv) VLRE agent developed, tested, and published along with source code (vlre.stanford.edu). Source code validated by CS grad student in Prof. Boneh's security group. b. v) Established as a service available to entire campus (emet.stanford.edu). Piloted in GSB and rolled out to Business Affairs. Deployed on more than 2,200 Windows laptops and desktops. Adoption will continue in PY16. c. Deployed ProofPoint resulting in significant improvement in spam filtering. Improvements still needed for bulk mail filtering and false positives (especially for internal email) c. ii) Deployed Code Green. Successfully blocking outgoing (non-secure) messages containing 5+ SSNs or 2+ MRNs in close proximity to corresponding last names d. Duo implemented with multiple authentication options including hardware tokens and backup devices (twostep.stanford.edu). New WebLogin page implemented. VPN integration completed e. Isolated network template for ICS devices established, and LBRE's ICS migration plan completed and approved. Dedicated LBRE

	Network Security Project Manager funded out of Security Program, and job posted. Network segments will be provisioned per the template as ICS devices are identified and migrated by LBRE. Approach also used to isolate 276 Windows XP systems with registered exceptions f. Built PCI DSS v3 compliant infrastructure. Published PCI policy (pcicompliance.stanford.edu) Implemented PCI training/awareness program and incident response process. Conducted quarterly security scans with remediation and annual compliance validation for all 178 Stanford merchants. g. i) Program developed and implemented. Three assessments substantially completed. *g.ii) Process designed, with vendor identification implemented, but reviews not yet implemented.* *g. iii) Restructured and revised entire Admin Guide Chapter 6. Worked on revised policy with OGC and Faculty Senate Subcommittee. In process.* g. iv) New website designed and substantially populated *g. v) In process*
Business Expenditure Processing Review: Develop and implement a revised set of processes that ensure compliance with university and regulatory requirements governing business expenses while providing distributed units with an efficient way to manage those transactions a. Establish steering committee (May 2014) b. Implement short-term adjustments to staffing, policies and procedures to increase compliance and reduce risk (Summer 2014) c. Respond to NSF audit, and develop and implement prioritized action plan	a. Steering committee formed and met 4 times. b. T&R, OSR and RFCS agreed upon review criteria; T&R increased staff by 4 FTE; T&R completing post quality audits; RFCS and OSR reviewing 100% of sponsored transactions at closeout for selected agencies, and providing feedback and coaching to departments where applicable. c. Responded to all preliminary findings; Initial findings smaller than

d. Undertake current state process analysis for central administration and distributed units (Fall 2014) e. Submit future state recommendations and implementation plan to Steering Committee	expected and smaller than peers subject to similar NSF audits. d. Completed analysis through 80+ interviews with transaction originators and approvers; and review of internal audit findings. e. Received approval from Steering Committee and Randy Livingston to proceed with 13 recommendations, including 2 already implemented: o Travel Packet and Post travel discussion checklist o Required training for preparers (FIN-400 Traveling at Stanford)
Uniform Guidance: (Subject to revision as interpretation of UG evolves) a. Modify policies in Administrative Guide, Research Policy Handbook, and Disclosure Statement b. Update training to reflect new policies c. Revise processes and modify systems as necessary to reflect new policies	a. The transition to UG will evolve over several years. Federal agencies are interpreting UG and developing applicable terms and conditions for university contractors. AG and RPH were revised to reflect applicable terms, but revisions to DS deferred to Autumn 2015 pending further guidance. b. Updated to reflect applicable terms. c. Minimal changes required thus far. New expenditure codes added to Oracle.

Departmental Principal Initiative	Status
Global Initiatives: Continue to support growing global activities: a. Complete establishment of SEED Kenya b. Complete in-country BOSP+ Assessments c. Complete discovery phase for global reporting solution d. Develop infrastructure to support School of Medicine international clinical trials research	
Atlas System Optimization: Create additional automation to increase efficiency and elevate the overall customer experience a. Provision services on mobile field devices (Jun 2014)	

b. Improve eAM to Oracle billing integration to reduce manual entry and improve accuracy (Oct 2014) c. Improve mobile app UI experience for back office functions by reducing number of screens needed to process transactions (Jan 2015) d. Improve client UI to streamline the ordering process and provide more specific data to automate provisioning services (Mar 2015) e. Automate provisioning of voice services (Apr 2015)	
Video Security System: Complete pilot and create charter to implement campus-wide video security system with a sustainable financial model that meets client needs	

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

"Top 5" Principal Initiative	Status
Research Computing: Substantially increase capacity of research computing base infrastructure while improving ease of access to resources a. Implement 100 GBPS between campus, SRCF and external internet b. Deploy high-speed (i.e., 10 GBPS) research networking between 20 major research buildings and data centers c. Create charter for Science DMZ and implement within SRCC and RCF	a. Completed b. Completed c. Collaborated with CENIC, LBNL and 12 West Coast Universities to establish common Science DMZ accessible to Stanford faculty.

"Next 10" Principal Initiative	Status
ERP user experience: Complete PeopleSoft/Axess redesign and implementation for teaching users, advisors, employees and alumni; and assess client satisfaction with the new platform	Completed MyAxess for students in May 2014, MyAxess for faculty in Sept 2014, Advisor Center in Feb 2015 and Alumni Center in March 2015. MyAxess for staff scheduled for rollout June 2015. *Client satisfaction assessment incomplete.*

Departmental Principal Initiative	Status
Communication Technology: Enable users the ability to "click to reach" a person via multiple channels such as call, email, chat and video via Stanford identities. 1. Upgrade SU and SHC clusters (Nov 2014)	

2. Leverage converged directory information for seamless Unified Communication (Apr 2015) 3. Build central contact directory to support seamless click to reach services (Apr 2015) 4. Pilot click to reach via multi-channels such as call, email, chat and video (Apr 2015)	