

2016 Principal Initiatives and Accomplishments

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

"Next 10" Principal Initiative	Status
<p>Business Affairs in Redwood City 2019: Support and Collaborate with Capital Planning to design the Redwood City Campus to attract and retain world class staff</p> <ul style="list-style-type: none"> a. Actively Participate on committees to support Design Process ; e.g. - Technical Infrastructure Committee, Advisory Committee for RWC Campus, Executive Steering Committee for RWC (if created). b. Within Business Affairs, build a vision and principles for "Business Affairs in Redwood City", beginning with Sr. Staff design principle meetings and then gathering input from department designees c. Continue working on the Technical Infrastructure plans, including ECH design, network and connectivity plans and funding plans d. Identification and planning for onsite services provided by BA groups (e.g., cashier, card office, CRC, Technical Facilities, Building Facilities Operations coordination with On Site Facilities Management, Tech Training etc.) 	<ul style="list-style-type: none"> a. Complete b. Complete-our design principles are being used as model for other groups moving to RWC c. Complete-ECH and connectivity plan agreed to with LBRE d. In process: BA onsite services identified, but LBRE not ready to begin detailed planning process last year
<p>Talent Management: In support of growing our internal talent, continue multi-year program for staff development which includes the 3 E'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.</p> <ul style="list-style-type: none"> a. Review existing and identify next set of High Potential/High Performers b. Prepare/update Career Profiles for High Potential/High Performers c. Establish/continue Mentor relationships to include additional structure around mentoring best practices d. Provide additional development/rotational assignments e. Succession planning - next level 	<ul style="list-style-type: none"> a. Complete b. Complete c. Complete d. Complete e. Complete

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
<p>Email and Calendar Implementation: Transition campus to Office 365/Exchange email and calendar as planned:</p> <ul style="list-style-type: none"> a. Migrate University IT as pilot group (late June 2015) b. Cutover campus to Office 365 email and calendar (mid-August 2015) c. Define roadmap for delivery of additional Office 365 functionality (August 2015) d. Complete milestones in accordance with roadmap (through April 2016) 	<ul style="list-style-type: none"> a. Complete b. Complete c. Complete d. Complete
<p>Procure to Pay (P2P) Transformation: Create effective and efficient Procurement and Payment operations that support spend management strategy</p> <ul style="list-style-type: none"> a. SmartMart Replacement: Multi-year project with goal of creating unified "Amazon like" experience with built-in compliance for the purchase of goods and services based on BuyerQuest platform. PY 2016 milestones: i) Complete Phase 1: Migrate defined catalog suppliers from SciQuest to the BuyerQuest solution, implement non-catalog requisitioning; integrate into Oracle Financials and provide capability to transmit electronic invoices to Oracle; ii) Determine scope & plan for future phases. [Note: critical milestone is to achieve transition to BuyerQuest prior to expiration of SciQuest contract in December 2015.] b. Spend Management Pilot: Complete execution of program covering 4 purchasing categories and attaining measurable annualized savings of \$5M (October 2015). 	<ul style="list-style-type: none"> a. Complete b. Complete

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<p>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</p> <ul style="list-style-type: none"> a. Select budget system tool b. Create detailed implementation plan c. Begin implementation and achieve milestones in accordance with plan through April 2016 	<ul style="list-style-type: none"> a. Complete; selected Tidemark SAS solution b. Complete c. Delayed: initial milestone for March

	<p>Budget Plan release was missed; initial release completed in May/June 2016 for Booked Budget process, but with some functionality deferred to additional project phase</p>
<p>Cash & Liquidity Management: The CFO's Office, FMS and Treasurer's Office will collaborate with SMC to improve forecasting, management and reporting of cash and liquidity</p> <ul style="list-style-type: none"> a. Transition EFP forecasting from SMC to FMS b. Document and improve forecasting of cash transfers into and out of Merged Pool. c. Evaluate existing policies, with goal of minimizing volatility in cash transfers into and out of Merged Pool associated with operating cash, EFP, EIFP, new gifts, FFE, charitable trusts, DAFs and separately managed funds d. Clarify role of MP cash in supporting liquidity obligations associated with university debt and operating liquidity e. Improve monitoring and reporting of consolidated liquidity 	<ul style="list-style-type: none"> a. Complete b. Complete c. Complete: revised EFP and FFE policies to be approved at June 2016 Trustee meeting d. Complete e. Complete
<p>IT Service Management Program (Remedy Replacement): Define the Service Catalogue, IT Service Management architecture and system; and implement updated processes for Incident, Problem, Change, Knowledge and Request Management [first year of multi-year initiative]:</p> <ul style="list-style-type: none"> a. Define governance, service, and process roles and responsibilities across University IT, including a UIT Service Management Office that will drive improvement by providing process and service oversight in addition to advisory services b. Redesign the service catalog from the client's perspective to achieve alignment with the new service definition and taxonomy c. Define requirements, ITSM architecture, and select ITSM tool for the University. d. Create ITSM Implementation roadmap including Alpha Phase (SHC tickets only) and Phase One (University IT). e. Achieve project milestones towards completion of Alpha Phase within six months after required agreements (including BAA) are consummated with selected vendor, 	<ul style="list-style-type: none"> a. Complete b. Complete c. Complete d. Complete e. Complete

and Phase One within nine months after completion of Alpha Phase.	
<p>Oracle Upgrade to 12.2.4: Upgrade to the latest version of Oracle e-Business suite. While focusing this project primarily as a technical upgrade, explore what additional improvements can be made by upgrading the software. [Target implementation date: November 2016]:</p> <ul style="list-style-type: none"> a. Perform fit/gap analysis on FSG tickets and delivered functionality b. Analyze new functionality and determine if it can be leveraged to replace a custom and/or manual process and improve efficiencies c. Develop implementation plan and achieve milestones per plan through April 2016 	<ul style="list-style-type: none"> a. Complete b. Complete c. Deferred: When BuyerQuest (Stanford Express) implementation was initially delayed, decision was made to defer Oracle upgrade by 1 year

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

"Top 5" Principal Initiative	Status
<p>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)</p> <ul style="list-style-type: none"> a. Implement Consolidated Expenditure Reporting (CER) reports, Delivery 2 of Integrated Payments & Expenditures (IPE) (March 2016) b. Complete Functional Design Clarification & Technical Design for Delivery 3 (of IPE): Procure to Pay Detail Reporting (Dec 2015) c. Update and refine overall project roadmap (Mar 2016) d. Complete 1:1 conversion of approximately 30 identified RM3 reports to OBIEE (Aug 2015) 	<ul style="list-style-type: none"> a. Complete; highly successful rollout b. Complete as of April 2016 c. Complete d. Complete

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

"Top 5" Principal Initiative	Status
<p>Information Security: Improve University's profile with respect to information security risks:</p> <ul style="list-style-type: none"> a. Endpoint encryption: i) Implement compliance notification and campus network restriction capabilities in the Endpoint Compliance Management System; ii) Establish deadline for encryption of employee mobile devices (no later than April 2016); iii) Reach 67% mark for verifiable encryption of endpoints (including mobile) that are subject to the compliance requirements. 	<ul style="list-style-type: none"> a. Complete: 74% of all registered endpoints were compliant as of April 30, and 89% were either compliant, blocked from the Stanford network or granted exceptions Feb. 9 b. Complete c. i - Incomplete: 14 different

<ul style="list-style-type: none"> b. Deploy Microsoft SCEP anti-malware in place of Sophos. Transition all BigFix managed desktops and laptops to SCEP by November 2015. c. Server and application security: i) Promulgate minimum security standards for servers and applications per risk designations, including adoption of Splunk, Bit9, OSSEC, Duo, vulnerability management, and PBHs on 100% of capable University IT supported systems and 33% of capable inventoried distributed IT systems; ii) Provide two full days of Stanford Information Security Academy training for all University system administrators and web developers (according to new job classifications); iii) Complete Windows 2003 Server remediation (upgrade, decommission or exception) by July 14, 2015; iv) Develop “BigFix for Server” service, make available to entire campus, and deploy on all University IT supported servers. d. Update new hire security awareness video. Create and publicize three additional short (2-5 minute) security videos. e. Update and publish Admin Guide 6.2.1, Computer and Network Usage Policy (or its equivalent replacement) f. Validate merchant PCI DSS 3.0 and 3.1 compliance, as required, by December, 2015. 	<p>minimum security standards achieved weighted average implementation of 76% on UIT servers and 72% on distributed servers; however, less than 10% of servers were fully compliant. Two-step authentication and dedicated admin workstations were particularly low in adoption as of April 30. ii - Complete: 409 of 800 eligible IT staff completed training, h=which was offered multiple times during the year. iii - Complete: 90% remediated by July 2015, and 100% as of April 2016. iv - Incomplete: Service was made available but deployed on only 37% of UIT servers as of April 30, plus 719 distributed IT servers</p> <p>d. Incomplete: new hire video was updated, but additional videos were not created</p> <p>e. Incomplete: faculty committee and OGC unable to agree on privacy issues despite much effort, which continues this year</p> <p>f. Complete</p>
<p>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:</p> <ul style="list-style-type: none"> a. Communicate updated Cabinet guidance regarding travel and meal expenditures b. Modify and rollout training for travelers (FIN-400 Traveling for Stanford), and mandatory training for approvers (FIN-103 Approving Transactions) c. Implement system controls and management reporting in accordance with task force recommendation, e.g., Approver Reject Codes and Line Level Receipts 	<ul style="list-style-type: none"> a. Complete b. Complete c. Complete d. Complete

<p>d. Implement "Phase 1" of continuous monitoring capability (FICO), including delivery of FICO's Case Management Prototype: i) Pilot the FICO Rules Engine which provides statistical analytic strategies, and algorithms to analyze P2P transactions and identify potentially non-compliant transactions; ii) Develop risk scores for all flagged transactions based on the mathematical and audit driven scoring models; iii) Design workflows and displays to detect, prioritize, and investigate all flagged transactions.</p>	
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"Next 10" Principal Initiative	Status
<p>Integrated Identity and Access Management Program: Upgrade and modernize Stanford's identity and access management systems and services</p> <p>a. Accounts Sponsorship: i) Review and update the eligibility requirements for sponsored accounts and the sponsorship process with respect to access to network assets and licensed content; ii) communicate changes to all affected constituents; iii) implement system controls to enforce new requirements</p> <p>b. Web Authentication: i) Review options for Stanford's web authentication needs with a focus on determining whether the current WebAuth framework is scalable for future needs; ii) If current WebAuth is determined to be inadequate, select alternative vendor authentication tool; iii) develop project plan and complete milestones in accordance with project schedule through April 2016</p>	<p>a. Complete b. Complete</p>

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

"Next 10" Principal Initiative	Status
<p>PDRF Re-Design: Redesign PDRF module of SeRA to better meet the needs of all clients with particular emphasis on supporting School of Medicine faculty</p> <p>a. Assess current state and map desired future state - Summer 2015</p> <p>b. Gather business requirements, mock up prototype and obtain partner group and faculty approval-Fall 2015</p> <p>c. Using agile methodology, begin development-Winter 2016</p>	<p>a. Complete b. Complete c. Aborted: following a & b, team determined that PDRF redesign was no longer necessary, but instead is making minor revisions</p>
<p>Sponsored Research Expenditure Review and Certification System: Begin development of an electronic alternative to our current paper based quarterly expenditure certification system that also integrates payroll distribution certification [Dependent on project funding from SGG or alternate source].</p> <p>a. Assess current state and identify attributes of optimal application</p>	<p>Project funding was not approved until December 2015, so as a result, project schedule was pushed out by 6 months</p>

<ul style="list-style-type: none">b. Write Business Requirements Documentc. If project funded, develop Functional Requirements Documentd. Begin development (Spring 2016) and achieve scheduled milestones through April 2016	<ul style="list-style-type: none">a. Completeb. Now due September 2016c. Now due October 2016d. Development will begin Autumn 201
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