

Business Affairs
PY 2016-17 Principal Initiatives
Performance Period May 1, 2016 – April 30, 2017
Results – June 12, 2017

“Top 5” most critical strategic priorities:

1. **Information Security:** We will provide security solutions such that we have no incidents attributable to a lack of best practices:
 - a. Authentication for third-party systems handling High Risk data: i) Create an inventory of all such systems, document current authentication process and prioritize in terms of risk by August 1, 2016; ii) Develop mitigation plans for 10 highest risk systems, accounting for user impact, development resources and vendor capabilities by August 1, 2016; iii) Complete mitigation of 10 highest risk systems by April 30, 2017. - i) and ii) complete; iii) mostly complete: 9 of 10 systems mitigated
 - b. High Risk servers and applications operated by University: i) Create and maintain an inventory of all such servers and applications by September 1, 2016; ii) Attain and maintain adoption of Minimum Security Standards across all such servers and applications by April 30, 2017, allowing for exceptions. – i) complete; ii) incomplete: of 238 high-risk systems, 56% fully compliant, with 96% of security standards applied overall.
2. **Talent Development:** In support of growing our internal talent, continue multi-year program for staff development which includes the 3 E's: Exposure, Experience and Education.
 - a. Support the APEx Talent Development initiatives through participation in advisory group and workforce planning efforts - Complete
 - b. Review existing and identify next set of Talent Development Participants from within Business Affairs - Complete
 - c. Review and update succession plans for AVPs and their direct reports - Complete
 - d. Provide additional Exposure through engaging volunteer TDPs in Talent Development activities such as events, trainings, and facilitation of meetings - Complete
 - e. Offer 3 of the top Exposure activities as identified by 2016 Survey of TDPs. These activities will include but are not limited to the following; TDPs attend different department management meetings; informal meetings of the TDP group; shadowing; TDPs have one-on-one meetings with their AVP - Complete
 - f. Offer 3 of the top Educational activities as identified by 2016 Survey of TDPs. These activities will include but are not limited to the following; Self Assessments; Giving and Receiving Feedback Workshop; Myers Briggs Assessment; Influencing without Authority class; Managing Up – a class and discussion - Complete
3. **Integrated Identity and Access Management Program:** Implement a modern, scalable identity and access management solution. Address growing requirements of the Stanford

community to secure digital assets, foster collaboration, improve lifecycle management, and manage teaching, learning, and research computing environments across platforms and institutions.

- a. Sponsored Accounts: i) Review and republish Admin Guide policies regarding SUNet ID Eligibility with revised guidelines as per recommendations from Sponsorship Eligibility Charter by September 1, 2016; ii) UI Flow and Persona mapping per new Sponsorship Policies (persona mapping for Sponsors and Services) by April 1, 2017; iii) Create ability to indicate “on behalf” sponsorships by April 30, 2017; and iv) Update all campus-facing service pages to reflect revised SUNet ID Eligibility guidelines by April 30, 2017 – **All components complete**
 - b. Access and Authorization: i) Upgrade Shibboleth Identity Provider (IdP) from v2 to v3 on VM by August 7, 2016 and geo-replicate IdP v3 in AWS by November 1 2016; ii) Replicate KDC (Kerberos) and LDAP to the cloud by February 1, 2017; iii) Determine strategy for authentication middleware portion of LSDB (Leland Systems Database) by October 15, 2016; iv) Complete gap analysis of Grouper with Workgroup Manager and LSDB Account Services to decide whether Grouper should be pursued as replacement for existing group and/or account provisioning services by December 15, 2016; v) Create charter for project to move authentication portion of LSDB to cloud by March 1, 2017 (implementation in PY18); and vi) Transition 50% of UIT WebAuth applications to Shibboleth or other SAML 2.0 authentication method (evaluate and identify exclusions) by April 30, 2017 – **i), iii) and v) complete; ii) and vi) deferred to PY 2018; iv) adopted different approach**
4. **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. Complete Post-CER reports by July 31, 2016 - **Complete**
 - b. Complete Delivery 3 of Integrated Payments & Expenditures (IPE) - Procure-to-Pay by April 30, 2017 - **Complete**
 - c. Complete Business Requirements for Revenue & Funds Management Reporting by July 31, 2016 and Functional Design by October 31, 2016 - **Complete**
 - d. Update and refine overall program roadmap by April 30, 2017- **Complete**
5. **Communication/Collaboration:** Partner with APEx to evolve our integrated collaboration/communication solution to include voice, video, and instant messaging in addition to email and calendar; and support robust solutions between Main Campus, Redwood City, and other remote sites:
- a. Video conference services: Evaluate BlueJeans and Webex capabilities for handling video conferencing rooms at Stanford and beyond. Run pilot with at least 20 departments. Complete analysis and determine which services can be placed in production by November 30, 2016. Put those services into production and deliver a roadmap for future releases by April 30, 2017 – **Complete with Zoom selected as new primary service provider**

- b. Instant Messaging services: (Jabber is currently in production for campus and medical center.) Work with the CIO Council to evaluate an IM solution (e.g. Skype for Business) for campus (School of Medicine CIO to chair the evaluation group). Complete analysis by December 15, 2016 and determine with University IT which services can be implemented by April 30, 2017. Put those services into production and deliver a roadmap for future releases by April 30, 2017 - **Complete with Zoom selected as new primary service provider**

“Next 10” most important initiatives:

- 6. **Procure to Pay (P2P) Continuous Monitoring of Financial Transactions (FICO) –**
Implement FICO Phase II
 - a. Improve and enhance key Case Manager application functionality such as case management workflow, searching of transactions, case decision options, and business rules refinement - **Complete**
 - b. Implement new functionality related to risk score criteria and analytics to identify outliers and patterns – **Partially complete, adopted different approach**
 - c. Pilot text analytics on attachments via OCR for specific transactions (i.e. ERS, requisitions) and free-text fields - **Complete**
 - d. Define reporting and visualization requirements for Procurement which may include rejection rates, throughput report and elastic & user-defined reports - **Complete**
 - e. Complete business requirements and change management strategy for Phase III scope - **Complete**
- 7. **Procure to Pay (P2P) Spend Management Implementation:** Build a formal spend management program (SMP) that establishes the requisite foundation to select and manage new and existing categories, vendor performance and compliance, and aligns to the overall P2P open marketplace vision:
 - a. Establish a Spend Advisory Council and choose three to four new categories to introduce into the SMP by August 31, 2016 - **Complete**
 - b. Determine savings target; establish new program strategies, based on prior methodology, to manage and measure these categories; report progress quarterly - **Complete**
 - c. Establish and execute a Client and Supplier Relationship Strategy (CSRM) to manage all categories - **Complete**
- 8. **Procure to Pay (P2P) Purchasing Marketplace:** Create a unified consumer-like buying experience with built-in compliance that’s simple, easy to use, requires little training, and aligns to the Spend Management initiative:
 - a. Run a rapid assessment exercise with three to four companies that provide solutions in support of our goal - **Complete**

- b. Conduct an in-depth two-week exploratory exercise with each company - **Complete**
 - c. Compile analysis and present options to select a provider by December 20, 2016 - **Complete**
 - d. Implement Phase I, of the selected option, with new provider (date TBD) – **Complete: Amazon Business marketplace launched in April 2017**
9. **Procure to Pay (P2P) Vendor Management:** Develop a scalable Vendor Management Program (VMP) to help manage vendor performance, compliance and pricing:
- a. Select a Vendor Management tool and service provider to centralize vendor data, assess vendor risk, manage vendor relationships, and ensure compliance with policies, regulations and contracts - **Complete**
 - b. Develop a comprehensive vendor assessment profile that captures required compliance concerns for the University; determine roles and responsibilities and develop plans/infrastructure for vendor management function - **Complete**
 - c. Develop a Business Associate Vendor Management Program that includes the following: i) capacity to assist contract offices, including Procurement, with negotiating BAAs; (Privacy); and ii) streamlined and routinized vendor privacy & security risk assessment process (Privacy and ISO) - **Complete**
10. **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
- a. Continue to influence and shape design and operations of RWC campus through participation on committees; e.g. - Technical Infrastructure Committee; Advisory Committee and subcommittees; Executive Steering Committee; Focus Group/Change Agent group and Workspace Programming committees - **Complete**
 - b. Begin to implement the Business Affairs Design Guidelines for interim relocations (e.g., RFCS, Privacy) - **Complete**
 - c. Complete office assignment guidelines with input from RWC workspace pilot - April 2017 - **Complete**
 - d. Develop guidelines for privacy, HIPAA, claim & benefit work spaces (BA & UHR) - April 2017 - **Complete**
 - e. Complete detailed Workspace & technical infrastructure plans & determine final groups/headcount moving to RWC - Sept. 2016 - **Complete**
 - f. Business Affairs departments to participate in the RWC workspace design pilot. A few departments will volunteer to relocate to a RWC mock up in a vacant facility in the Research Park for 2-4 weeks. We will commit to rotate through several (possibly many) working groups - **Complete**

11. **Budget Process, System, and Reporting Assessment:** Provide a robust and dynamic budget process to plan and monitor the utilization of university resources that is well integrated with other financial systems and reporting
 - a. Complete Phase 1 rollout for booked budget functionality - **Complete**
 - b. Deliver Phase 2: Healthcare services (reporting) and variance analysis - **Complete**
 - c. Refine Phase 1 functionality as necessary to be used for FY2018 budget plan - **Complete**
12. **IT Service Management Program (Remedy Replacement):** Implement ServiceNow to transform and unify service management for University IT and the broader campus community. [2nd year of multi-year initiative]
 - a. Implement Phase 1a: Problem and Change Management, Knowledge Management, Jira integration for University IT by August 31, 2016 - **Complete**
 - b. Implement Phase 1b: Stanford Services Portal, Incident, Non-Billable Requests, Knowledge (client-facing knowledge articles), CMDB lite for University IT by December 5, 2016 - **Complete**
 - c. Implement Phase 2a: Incident, Request, and Knowledge for three Campus Partners with IT organizations by TBD - **Complete**
13. **Sponsored Research Expenditure Review and Certification System:** Achieve milestones in implementation of electronic alternative to our current paper based quarterly expenditure certification system that also integrates payroll distribution certification (Consistent with APEx Process Improvement in Research Administration initiative):
 - a. Complete Business Requirements Document by September 30, 2016 - **Complete**
 - b. Complete Functional Requirements Document by October 15, 2016 - **Complete**
 - c. Begin development in Autumn 2016 and achieve scheduled milestones through April 2017 - **Complete**
14. **Enterprise Risk Management:** Implement a more robust ERM program
 - a. Complete the identification and assessment of sub-risks for all applicable enterprise risks - **Complete**
 - b. Work with risk owners to document mitigation and monitoring actions and plans for at least eight enterprise risks - **Complete**
 - c. Conduct internal reviews of at least four enterprise risks to assess the effectiveness of mitigation and monitoring actions and plans - **Substantially Complete**
 - d. Include ERM in new Board member orientation - **Complete**

15. **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

- a. Automate the application of the revised MP policy - **Complete**
- b. Design and implement refined medium term cash forecasting model for working capital invested in the EFP: i) Conduct a discovery of the forecasting process for determining operating cash needs; ii) Operationalize the cash forecasting process, utilizing a significantly revised cash forecasting model; and iii) if necessary, select a new system tool or platform - **Complete**
- c. Design and implement forecasting model for MP commitments with goal of avoiding unscheduled net withdrawals - **Complete**
- d. Design and implement an intermediate pool - **Complete**