Financial Affairs Strategic Plan 2015

A. Current unit plans (this section is OPTIONAL): Please provide the URL for any current unit plans already in existence. NA.

B. Unit mission/vision statement: Please provide your current unit mission/vision statement. If your unit has multiple departments with differing mission/vision statements, list them as well.

Financial Affairs mission statement:
- Financial Affairs provides high quality, cost effective financial and procurement services to the UCSC community in support of its research, teaching, learning, and community service mission and goals.

Financial Affairs vision statement:
- Continually improve the quality and variety of services provided to students, faculty, staff, and the public:

  What it means to those served by Financial Affairs: Seek ways to cost-effectively improve processes and services by using technology and redeploying staff to meet the evolving service needs of the campus community.

  What it means to those working in Financial Affairs: Continually identify areas of emerging campus service need and areas of diminishing need; plan strategically so that staff can be trained, and staff and resources can be redepolyed to meet the emerging needs; build the listening skills of staff; build the project management skills of staff; continually build the technical skills of staff; encourage staff to stay abreast of current financial management issues and new methods and processes; stay abreast of applicable technologies; engage staff in unit and campus improvement efforts.

- Continually evaluate the cost-effectiveness of financial controls and eliminating or changing controls of little or no value:

  What it means to those served by Financial Affairs: Change or eliminate financial controls that add little or no value to achieving University strategic and business objectives. Removal of these obstacles will enable campus employees to work more effectively and efficiently.

  What it means to those working in Financial Affairs: Identifying and changing or eliminating non-value-added policies and procedures will require having Financial Affairs staff members strong in the following competencies: analytical, collaborative, intuitive, articulate, problem-solver, good listener, risk-taker, committed, continuous learner, enthusiastic, resourceful, and last but not least, customer-oriented. It is these competencies, combined with a strong technical financial
management knowledge that Financial Affairs will continually strive to build in Financial Affairs employees.

- Continually improve the campus financial accountability environment:

  What it means to those served by Financial Affairs: Improve the understanding of members of the campus community having financial management responsibilities of their responsibilities and assist them in fulfilling them.

  What it means to those working in Financial Affairs: Build the communications, training, and consultative skills of staff to enable them to work effectively with others on campus with financial management responsibilities. This is likely to include building expertise in developing useful websites, facilitating workshops and meetings, developing training, and preparing guidance materials.

C. Adaptive organizations: Identify actions your unit will take in 2015-16 to advance the five characteristics of adaptive organizations (Heifetz and Linsky): 1. Elephants in the room are named 2. Responsibility for the organization’s future is shared 3. Independent judgment is expected 4. Leadership capacity is developed 5. Reflection and continuous learning are institutionalized

1. Elephants in the room are named:
    - Deploying the “True Colors” framework throughout Financial Affairs to strategically provide avenues and tools for open communication among diverse staff members and establish an expectation of constructive collaboration at all times in the performance of job duties.

2. Responsibility for the organization’s future is shared:
    - Mentoring and developing staff members’ skills and knowledge - see below:
      - Certified Buyer training.
      - OMB A-81 training webinars.
      - Various third-party training workshops and programs.

3. Independent judgement is expected:
    - Building leadership skills through staff participation in ongoing and ad-hoc committees and workgroups - see below:
      - Financial Affairs’ Sustainability Program “Green Team”.
      - Cross-functional workgroups, e.g. simplification initiatives management and oversight.

4. Leadership capacity is developed:
    - UC-wide committees and workgroups, e.g. banking services RFP workgroup.
• Implement the UCPath system and process: Financial Affairs - managed functions, AVC Financial Affairs
• UC Connexxus Travel Programs: joint leadership - AVC Financial Affairs, Accounting Services Director, and Enterprise Financial System Director
• Non-supervisory staff professional skills development: Financial Affairs Sustainability Program "Green Team Workgroup" - leadership as it pertains to implementing this strategic initiative - AVC Financial Affairs
• Professional development of Procurement Services Buyers - Buyer Professional Certification: Procurement Services Office Director.
• Student Business Services Office customer service enhancement initiative: leadership - Student Business Services Office Director.
• Financial Affairs’ BAS Simplification Procurement Services Initiative: Procurement Services Office Director.
• Campus payment card merchant support program: AVC Financial Affairs.
• An initiative to change the Effort Reporting certification frequency: joint leadership - Extramural Funds Accounting Manager and Enterprise Financial Systems Office Director.
• BAS Simplification Travel Expense Reporting - Accounting Services Office Director.
• BAS Simplification Entertainment Reporting - Accounting Services Office Director.
• Procurement 200 Contract Management: joint leadership - Procurement Services Office Director and Enterprise Financial Systems Director.

5. Reflection and continuous learning are institutionalized:
   • Identifying opportunities to reorganize duties and continually align employee skills and ability to campus support priorities.
   • Encouraging feedback and comments from those served by Financial Affairs.

D. Unit strategies and year one actions: For each of the four BAS goal areas, identify strategies (that will span the entirety of the strategic plan timeframe) and year one actions that your unit will undertake. Ensure you review the BAS strategies and year one actions to avoid duplication or the creation of conflicting efforts.

1. Finances (advances campus goals 1,5) - Deploy and manage BAS resources to align with institutional goals

Financial Affairs Strategies - Finances:
• UCPATH. Investing the time and resources necessary to strategically implement the UCPath system and process will enable the campus to eventually realize long-term efficiencies from centralizing payroll and human resource processes, thereby enabling maximization of the resources devoted to the campus’ core mission.
• Replace the increasingly unstable and outdated UC Payroll Personnel System with a modern Human Resource/Payroll system and associated business processes
enabling, over time, significant efficiencies through consolidation and standardization of payroll processes across all UC locations.

- **UC CONNEXXUS TRAVEL PROGRAM.** In collaboration with the UCOP Travel Management Office and related to the BAS Travel simplification initiative, an extensive campaign will be implemented to inform the campus travelers of the many benefits of using the Connexxus travel program. Use of the program will result in lower overall costs to campus units and, in general, a better travel experience for the faculty or staff member. To be led jointly by the leadership group identified below.

- **Simplify the business travel experience for UCSC employees and improve cost management by increasing awareness of the advantages of using the recently-enhanced UC Connexxus travel program.**

**Financial Affairs Year One Actions - Finances:**

- Transitioning additional campus Payroll Personnel System-facilitated processing duties to the UCPath Center.
- Reorganizing remaining payroll functions within Financial Affairs to leverage staff resources across units.
- Completing UCSC implementation of new system and processes.
- Providing improved information and resources for UCSC business travelers.
- In collaboration with the UCOP Travel Management Office, promoting the program among campus constituent groups most engaged in business travel.

2. **Learning and development (advances campus goals 4,6,5) - Ensure that BAS team members have the opportunity for engagement, advancement and fulfillment**

*Provide unit level strategies and year-one actions here*

**Financial Affairs Strategies – Learning and development:**

- **STAFF LEADERSHIP SKILLS DEVELOPMENT.** Non-supervisory staff professional skills development by providing supervisory and management-type learning opportunities through chairing and co-chairing the Financial Affairs Sustainability Program “Green Team Workgroup”.
- **Structure the governance of the program to encourage non-supervisory staff members to assume workgroup leadership roles, specifically as chair and co-chair.**
- **BUYER PROFESSIONAL CERTIFICATION.** Consistent with the UC Procurement 200 implementation strategy, actively supporting the professional development of Procurement Services Buyers by providing a training and a development path enabling them to attain Certified Professional in Supply Management (CPSM) status. To be led by the Procurement Services Director.
- **Fully develop the skills, knowledge, and abilities of Procurement Services Buyers so that each is positioned to fully support the campus’ core mission.**
Financial Affairs Year One Actions – Learning and development:

- **STAFF LEADERSHIP SKILLS DEVELOPMENT**: Develop a rotation system enabling different members to serve as chair and co-chair.
- **STAFF LEADERSHIP SKILLS DEVELOPMENT**: Members with management experience mentor the chair and co-chair.
- **BUYER PROFESSIONAL CERTIFICATION**: Attending training and development classes and workshops designed to attain Certified Professional in Supply Management (CPSR) status.

3. Constituents (advances campus goals 3,2,5,6) - Collaborate with stakeholders to ensure alignment of BAS activities with efforts to support teaching, research and public service

Financial Affairs Strategies – Constituents:

- **CUSTOMER SERVICE ENHANCEMENT**: Student Business Services Office customer service enhancement initiative will involve adding AIS functionality and redeploying staff resources to provide more “front-line” support to students and their families. The latter will be made possible by streamlining campus cash handling processes.
- **CUSTOMER SERVICE ENHANCEMENT**: To improve the quality of and timeliness of service provided to students in resolving campus business-related matters, thereby enabling them to spend more time on learning and participating in the discovery process.
- **PROCUREMENT SERVICES OFFICE SIMPLIFICATION**: Successfully planning and implementing the Financial Affairs’ BAS Simplification Procurement Services Initiative will require the active participation of key campus stakeholders to ensure the effort focuses on identifying improvements in the services supporting achieving the campus’ core mission.
- **PROCUREMENT SERVICES OFFICE SIMPLIFICATION**: Identify and implement service improvements that simplify the procurement process for end-users.
- **PAYMENT CARD MERCHANT SUPPORT**: Implementation of the campus payment card merchant support program will assist campus departments and programs accepting payment cards for charitable donations and the sale of ancillary products and services. The program also provides support for merchants that are also engaged in eCommerce.
- **PAYMENT CARD MERCHANT SUPPORT**: Increase the sales of ancillary products and services, and the amount of charitable donations by protecting the reputation of the campus for the safe and secure handling of payment cardholder information.
- **EFFORT REPORTING**: An initiative to change the Effort Reporting certification frequency from quarterly to semiannually will reduce the time spent by Principal Investigators and other researchers on this administrative task.
- **EFFORT REPORTING**: Reduce the burden on principal investigators and other researchers of having to certify effort by reducing reporting cycles from four to two times annually.
Financial Affairs Year One Actions – Constituents

- CUSTOMER SERVICE ENHANCEMENT: Reduce staffing levels devoted to cash handling and increase staffing levels devoted to responding to customer in-person, phone, and e-mail inquiries.
- CUSTOMER SERVICE ENHANCEMENT: Leverage a UC-wide banking services contract to enable electronic acceptance of overseas payments from foreign students.
- CUSTOMER SERVICE ENHANCEMENT: Identify and implement AIS Student Financials system functionality that will simplify the student contact process.
- PROCUREMENT SERVICES OFFICE SIMPLIFICATION: Development and implementation of a project plan, including extensive consultation with stakeholders.
- PAYMENT CARD MERCHANT SUPPORT: Provide guidance to campus payment card merchant units assisting them in ensuring compliance with industry security requirements.
- PAYMENT CARD MERCHANT SUPPORT: Provide support to merchants in establishing and maintaining payment card and eCommerce merchant operations.
- EFFORT REPORTING: In collaboration with UCOP Information Technology, modify and test the UCSC instance of the Effort Reporting System.
- EFFORT REPORTING: Address transition issues such as the handling of summer salaries and develop and implement a transition strategy.

4. Processes (advance campus goals 4,5,6) - Ensure BAS processes are transparent, efficient and effective

Financial Affairs Strategies – Processes:

- TRAVEL EXPENSE REPORTING SIMPLIFICATION: Successfully planning and implementing the Financial Affairs’ BAS Simplification Travel Expense Reporting Initiative will require the active participation of key campus stakeholders to ensure the effort focuses on improvements simplifying the process for end-users.
- TRAVEL EXPENSE REPORTING SIMPLIFICATION: To simplify the travel expense reporting process by eliminating non-value added requirements and streamlining the reporting process for end-users, possibly through automation.
- ENTERTAINMENT REPORTING SIMPLIFICATION: Successfully planning and implementing the Financial Affairs’ BAS Simplification Entertainment Reporting Initiative will require the active participation of key campus stakeholders to ensure the effort focuses on improvements that directly support achieving the campus’ core mission.
- ENTERTAINMENT REPORTING SIMPLIFICATION: To simplify the entertainment expense reporting process by improving end-user guidance and streamlining the reporting process for end-users, possibly through automation.
- PROCUREMENT 200 CONTRACT MANAGEMENT: Implementing the Procurement 200 Contract Manager functionality will allow for campus procuring departments to
easily obtain comparative data from other campuses, enabling them to obtain the most favorable pricing available.

- **PROCUREMENT 200 CONTRACT MANAGEMENT**: In collaboration with UCOP Procurement Services, implement the SciQuest Contract Manager module.

**Financial Affairs Year One Actions – Processes:**

- **TRAVEL EXPENSE REPORTING SIMPLIFICATION**: Identify and assess options for improving the efficiency of the process, including automation options.
- **TRAVEL EXPENSE REPORTING SIMPLIFICATION**: Identify and implement the phased short-term and longer-term projects associated with the initiative, in consultation with key stakeholders.

**E. Success measures:** Please identify success measures that your unit will utilize to track progress on unit plans.

**Financial Affairs Success measures:**

- **UCPath**: Successful and timely completion of payroll-related accounting and compliance duties remaining at the campus.
- **UC Connexxus Travel Program**: Increased dollar volume of UC Connexxus usage as measured by UCOP.
- **STAFF LEADERSHIP SKILLS DEVELOPMENT**: Successful completion of the established goals of at least one major Financial Affairs-wide sustainability initiative annually.
- **STAFF LEADERSHIP SKILLS DEVELOPMENT**: Successful publication of an (academic) quarterly Financial Affairs newsletter.
- **BUYER PROFESSIONAL CERTIFICATION**: Number of Procurement Services staff members attaining CPSR status.
- **CUSTOMER SERVICE ENHANCEMENT**: Implement webchat, providing students with another convenient way to make account inquiries.
- **CUSTOMER SERVICE ENHANCEMENT**: Identify and deploy desirable AIS-delivered functionality expected to improve customer service in a practical and cost-beneficial way, such as 3C’s and Activity Guide.
- **PROCUREMENT SERVICES OFFICE SIMPLIFICATION**: Survey and focus group feedback related to measuring the effectiveness and quality of services provided by the Procurement Services Office.
- **PAYMENT CARD MERCHANT SUPPORT**: Number of cardholder data security breaches among campus payment card merchants.
- **EFFORT REPORTING**: Successful transition to semi-annual certification as measured by certification completion rates.
- **TRAVEL EXPENSE REPORTING SIMPLIFICATION**: Survey and focus group feedback related to measuring the effectiveness and quality of services provided by the Accounting Services Office.
• ENTERTAINMENT REPORTING SIMPLIFICATION: Survey and focus group feedback related to measuring the effectiveness and quality of services provided by the Accounting Services Office.