Questions & Answers for the IT Forum held on July 30, 2012 at the Loma Pelona Center

Governance & Policy

1) How will policy issues be disseminated to various groups (e.g., IT personnel, business managers)?

Communication will be in various forms and methods in order to clearly, timely, and openly communicate among all affected parties in order to ensure that people and departments have a voice so that concerns can be expressed and responded to.

What we are doing:
- Developing a communication plan for the Administrative Systems PMO
- Developing an Administrative Systems PMO website and SharePoint site
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A number of events have consumed our time during the month of August, such as RFP evaluations, selections, and contract negotiations. Our plan is to start visiting departments by joining existing meetings to answer questions and concerns face-to-face.

2) How will business processes and IT processes be prioritized as the implementations get underway?

The first phase of the Financial System Implementation Project (FSIP) is focused on getting off the mainframe. Business processes outside of Administrative Services will be formally addressed in phase two. Business processes should drive the systems, and not the other way around. IT processes are considered part of the business process; not independent from the business process. Therefore, business process is the only category in which to prioritize. IT impacts will certainly be a part of the assessment that leads to the prioritization. How IT impacts are addressed will certainly involve affected parties.

3) Who will decide the level of security access for each system?

This appears to be a phase two question since phase one is to keep all the ancillary or ‘shadow’ systems intact and unchanged. Regardless of any new implementation, security rights and access should be periodically reviewed and assessed as to who should have access and why. The management of each department will and should be doing these assessments and determining for themselves who needs access and why.

4) What will be the role of UCOP and the Office of the General Counsel in vetting a new email system? Will a campus policy review be included in this process? With regard to policy, privacy, and security, what is delegated and what isn’t?

Before our campus moved forward with the Office 365 initiative, UCOP and Office of General Counsel provided guidance to the UC system regarding UC email content maintained in a hosted email solution. The Office 365 approach being followed by UCSB is well within the guidelines provided. In addition, campus policies related to data privacy, records retention, and other issues are being closely reviewed and coordinated with the appropriate campus policy experts.
5) **How are the lessons learned from SciQuest informing this process?**

The lessons learned from the eProcurement Gateway project with SciQuest greatly influenced the concepts and topics discussed at the IT Forum. For example:

- The experiences gained in working with the SciQuest team to implement a hosted enterprise-level system have proven that UCSB is capable of achieving a hosted implementation.
- The project proved that utilizing technical and functional “centers of excellence” from across campus is a completely viable approach to enterprise-level projects at UCSB.
- The project provided UCSB management with proof that project team members are most efficient when dedicated to the project for major portions of their time. The times when the eProcurement Gateway project struggled were during periods when key team members were not able to dedicate time to the project.

6) **Will policies be developed with feedback from edge (e.g. Electronic Communications Policy)?**

At this point, we believe existing UC policy addresses all the technical and contractual issues that will be encountered while implementing and operating the financial system and UCPath. However, if we do encounter a situation which current policy does not address or does not address fully, the campus will certainly be engaged in any policy development or update discussions.

**Working with Vendors**

7) **Are we agile enough to keep up with the changes the vendors make? When vendors make changes, how will the changes be communicated and will IT staff have input? How will we stay up-to-date on vendor upgrades?**

In relation to the FSIP, UCPath, eProcurement Gateway, and Kronos, vendor changes will be communicated through the PMO office. Depending on the changes being made, communication will be to those affected or interested parties. Our goal is to have open, two-way communication. Decisions regarding staying up-to-date with vendor upgrades will be decided based on cost, risk, resources, and benefit considerations.

Are we agile to keep up with vendor changes? We should be. If not, we need to assess why we are not and mitigate the issues so that we can react to changes if we so desire.

8) **What will be done to ensure business continuity during the transition from local to hosted systems? Will the API be published and accessible to non-central staff? Will we add local test cases to ensure continuity during the updates?**

The campus already has two successful examples that give us a high level of confidence that we can accomplish a hosted financial system and UCPath solutions without impacting business continuity. The current financial system is hosted by the Office of the President (UCOP). The eProcurement Gateway SciQuest system is also a hosted implementation.

Phase one of the FSIP is focused entirely on getting off the mainframe so the question of access to APIs by non-central staff would be addressed in phase two of the implementation. If we architect the interfaces correctly, the need to access APIs should be minimal.

The plan for phase one is to keep the ‘shadow’ systems and batch file submissions for the financial system as they are and to keep the data warehouse whole. Real-time interfaces to the mainframe will be rewritten to point to the new system. This will allow the campus to continue to use familiar financial tools.
9) During the implementation, what provisions will be made to ensure IT staff can adequately respond to a high volume of vendor and customer questions?

Communication relationships will need to be established so that the management of staff (not just IT staff) can communicate issues and concerns in order for the organization to react and provide resources. Additionally, the PMO is establishing communication and governance structures to ensure that business and IT staff concerns can be efficiently communicated and resolved.

10) With the vanilla implementation, how many add-ons will be needed, who will be responsible for add-on components, what is the process for creating add-ons, and how will these add-ons be supported?

We want to minimize add-ons. The PMO has established governance structures (executive and steering committees) to help identify and assess any potential need for add-ons to the base systems during the implementation. If a requirement for an add-on is identified, the project team will be responsible for the implementation. Administrative and Residential IT (ARIT) will be responsible for the life-cycle support of the system and any add-ons. The governance structures mentioned previously will persist during the life-cycle support phase of these systems and will continue to provide input to the add-on and enhancement discussions.

11) What provisions are being made with vendors to address the following issues:
- Personal Information
- Data Types
- Operational Data
- Product Updates
- Outages
- Auditability
- Will client support come from the vendor sales or technical staff?
- How will training for administrators and system integrators be handled?

All of the above have various aspects to them, such as systems functionality, contractual obligations, service level agreements, University policy and procedures, and contingency plans. See the response to question number 19.

Internal Discussions

12) How will security during the data transport be addressed? Can this be a standardized solution?

Regarding the hosting aspects, is it addressed in the service level agreement.

The approach to data security during transport will be SSL session encryption as well as VPN tunnels through which the session will be established. This approach is common between the UCPath and financial system projects. Where hosted solutions are considered in the future, appropriate data transport requirements will always be established as part of the project assessment and/or planning. Data security at the endpoints, specifically at UCSB will need to be addressed by each individual department.

13) Is there a repeatable process for acquiring hosting services?

There should be campus-wide policies regarding general requirements for hosting services. This is a discussion that will be addressed by campus governance groups as the campus concept for hosting services matures.
14) When there is a gap in knowledge between IT experts and business process experts, how much of the latter will IT staff be expected to learn?

The business processes and controls established by governance organizations should drive the IT development and change. As processes change, operational staff knowledge, including IT staff, will have to change as well. The extent that IT staff will have to be familiar with the business processes will depend upon the business process and the department using the process.

15) The FAU is different in the new Financial System and UCPath. Are we mapping these?

The Full Accounting Unit (Location, Account, Fund, Sub Account) will not be changed during the FSIP. Our existing FAU will be implemented in PeopleSoft and we will have the opportunity to augment the FAU with additional capabilities that PeopleSoft provides. The UCPath project is currently working on an approach to integrate the HR/Payroll functions of UCPath with each campus’s financial system so that financial data will flow back and forth seamlessly.

16) What types of business process can be easily smart sourced?

The smart source concept is not tied to specific types of business process per se. The smart source concept attempts to identify tasks to which UCSB resources are tethered in order to maintain the campus status quo. In those cases where releasing the UCSB resources from the tether may allow the campus to achieve a goal, the task may be a candidate to be smart sourced. Departmental management will need to make the evaluation as to whether ‘smart’ sourcing is appropriate.

17) Is the move to hosted systems causing us to be overly dependent on the Internet?

We are and have been on hosted services for the mainframe financial system. Moving to a vendor solution for hosting service does make us more dependent on the Internet and our own network.

18) How can IT staff gain an awareness of how functional users access and experience the new systems?

Communication methods are being established so that IT staff and others from various departments can gain this experience.

19) What is the cloud’s risk profile? Are we anticipating any delays as a result of using it?

The primary risks associated with using “cloud” or “hosted” implementations are related to the following:

- Security
- Availability
- Accessibility/Response Time
- Control

**Security:** This risk will be mitigated by the contractual obligations written into the contract with the hosting vendor to provide physical and logical system and data security. The vendors are obligated to live up to all UC, state, and federal policies and laws regarding the protection of personal data. In the case of UCPath, HIPAA regulations are also a requirement. The hosting vendors that may be considered have facilities and practices that exceed our campus capabilities, so security is mostly about securing the data as it flows over the network between UCSB users, the hosting facility, and at the endpoint at UCSB. This will be addressed with the use of VPN as well as SSL encryption of the sessions. Information security at the various UCSB facilities/departments (endpoints) is a concern and should be addressed by those departments.
**Availability:** This risk will be mitigated by the contractual availability requirements written into the contract with the hosting vendor. Contractual obligations do not prevent a hosted system from going down. However, by using a hosting vendor we will obtain 24x7x365 coverage to address any system failure scenario. Therefore, our actual availability should be at least as high as our current systems and likely higher. Business continuity plans will be developed locally in order to mitigate potential sizable outages.

**Accessibility/Response Time:** This risk will be mitigated by contractual requirements written into the contract with the hosting vendor to provide high bandwidth connections to the hosting facility. Response times will be monitored by the hosting vendor at every level of the implementation (network, application, session, and database).

**Control:** This risk will be mitigated by contractual requirements written into the contract with the hosting vendor that will ensure that UC and UCSB retain control of systems and data and that data will be stored within the United States. Control of the update schedule is within the hosting vendor’s scope. Taking this control out of the campus’s scope will help ensure that UCSB stays current with software patches and releases.

Overall, if we feel it necessary, we do have the right to conduct reviews and audits of the SLA agreements in order to ensure that the specifications of the contract are being met.

**Organizational Change**

20) **What will be the IT staff’s role during the implementation of each of these projects?**

IT Staff will play critical roles during all phases of the FSIP and UCPath project. IT will be instrumental in fit/gap analysis, requirements definition, solution design, implementation, testing, and on-going support of the new operational system. Some of these tasks are already underway. However, if there are campus IT professionals who wish to know more about the task detail or about opportunities for involvement, they should contact Brian Richard, the PMO Director, at brian.richard@pmo.ucsb.edu.

21) **What has been done on campus to get buy-in for each of these systems? How can IT staff get more buy-in from their departments?**

Over the past many months, steering committees made up of business leaders from across the campus have been established for each of the projects. These committees have been instrumental in not only gaining campus buy-in but also ensuring that there is a free exchange of ideas and information across the campus business community. The approach has been so successful that the IT Forum concept is being modeled after the approach that was taken to engage campus business leaders. Our vision is that with the parallel business and IT communication channels, frequent and open communications within departments (and therefore greater buy-in at the department level) will be the natural result.

22) **How can we improve communication between departments and avoid silos?**

The Administrative Systems Program Management Office (PMO) has been established and is responsible for, among other things, streamlining the project communications for the campus and key stakeholders. This office will serve as the central communications hub for these projects. Department managers should make it a priority to communicate with each other, and the PMO will work to facilitate this communication. In addition, the goal of the IT Forum concept is that it will act as a vehicle to help avoid (or break down existing) silos. Finally, the campus Operational Effectiveness initiative suggested campus-level structures that will help break down and avoid silos.
23) How will status updates on the implementation of each system be communicated? Once the systems are operational, how will users and IT staff communicate their needs?

Communication will be in various forms and methods in order to clearly, timely, and openly communicate among all affected parties in order to ensure that people and departments have a voice so that concerns can be expressed and responded to.

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24) What types of new skill sets will be needed, and what steps will be taken to help employees acquire these skills?

The skill sets for the UCPath project and the FSIP are centered around the Oracle/PeopleSoft technologies (e.g. Java, Oracle Database, and networking). There will be vendor training provided to the financial system technical staff. For the campus technical personnel who are not explicitly part of the project team but who will be interacting with the systems, we will use forums such as the IT Forum and others to communicate and educate users in a timely manner.

25) Will IT staff become pigeon holed into vendor specific technologies?

All the enterprise-level implementations utilize industry standard and widely used technologies. For example, the FSIP utilizes Java technologies that include software as service components (e.g. web services, message queues, etc), a relational database (Oracle DB), as well as network connectivity and security approaches that are current and forward-looking. Rather than being pigeon holed, these technologies will provide UCSB technical personnel with many opportunities for career expansion.

26) Will a common support organization be created to foster personal growth and provide application training/support for employees impacted by these systems?

Career growth, training, and support should be addressed by the management of the various departments. During the implementation phase of the projects, the Administrative Systems PMO will help facilitate, communicate, and resolve issues and concerns. Discussions of common support, personal growth, and training are also beginning to take place.

27) What changes to our organizational structure are anticipated as a result of these new systems? How will the process of writing new job descriptions be handled?

The Administrative Services division is currently reorganizing itself to better reflect the concepts of the enterprise projects such as the financial system, UCPath, eProcurement Gateway, and Kronos. It is not anticipated that any of these projects will force a campus-wide reorganization. However, where personnel from outside Administrative Services become involved in these projects, updates to job descriptions will be coordinated between the project and the home department of the individual on a case-by-case basis.