

February 28, 2022

Dear Trustees,

We are pleased to share that we have completed the third phase of the Business Practices Project as outlined in our November 2021 Memo (see below for background). Over the last year, we have worked with dozens of portfolios to help support their efforts to improve their business practices and address the risk issues identified by Internal Audit. We will be sharing an overview of this project with you during the March Board meeting. Included in this packet for your review are the summary reports of operations and transition plans provided by each portfolio documenting how they are adapting business practices, as of February 2022. As you will see, some of the work is still under way; however, we have made tremendous progress over the last year. We look forward to discussing this important initiative with you.

Mike Schill, President

Patrick Phillips, Senior Vice President and Provost

Jamie Moffitt, Vice President for Finance & Administration and CFO

**To:** Board of Trustees, University of Oregon  
**From:** Mike Schill, President  
Patrick Philips, Senior Vice President and Provost  
Jamie Moffitt, Vice President for Finance & Administration and CFO  
**Re:** Update on Business Practices Project  
**Date:** November 17<sup>th</sup>, 2021

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## **Background**

### Audit Memo

In January 2018, after conducting several audits of business functions at the university, the Office of Internal Audit provided university leadership with a memo outlining several systemic risks they had observed at the institution, resulting from our highly decentralized structure for processing business transactions.

These risks included:

- The significant delegation of authority to local levels
- The lack of data necessary for decision-making and monitoring by oversight functions, including questions regarding the quality of existing data
- The absence of accountability necessary in a highly decentralized environment
- The assignment of responsibilities not always being aligned with necessary skills
- Individuals being assigned “a myriad of additional responsibilities,” especially in smaller departments, which contributes to additional risk and/or operational efficiency
- The Office of Internal Audit noted that they had growing concern over the systemic nature of these issues and the overall impact that they have on university personnel, financial management, and accountability.

### Management Response

In response to the memo from the Office of Internal Audit, we developed a three-phase approach to address the issues raised. The plan included the following actions:

1. The Office of Internal Audit conducting a diagnostic audit to map out the types of business services across the university (i.e., which departments utilize shared services organizations vs. business offices vs. single “office manager” models)
2. University leadership launching a Business Practices Task Force to discuss the findings of the audit memo and the diagnostic audit and to develop options and recommendations for addressing the identified risks
3. University leadership reviewing the Business Practices Task Force recommendations and developing an implementation plan for addressing the risks identified in the audit

### *Phase One: OIA Diagnostic Audit*

In November of 2019, the Office of Internal Audit completed the diagnostic audit of critical business functions. The objective of the audit was to conduct a high-level inventory of where and how business processes were performed across the University. The audit report included an inventory of how business processes were performed (i.e., through shared services operations, business offices or individual unit personnel) in various areas of the institution, as well as identification of associated risks.

The audit recommended that senior leadership and management assess the current structure, processes and controls regarding business functions to ensure key themes and risks were addressed. It further recommended that a consultative structure be used for this assessment.

#### *Phase Two: Business Practices Task Force Work*

In January of 2020, a cross-functional task force was launched to discuss and analyze how business practices are conducted at the University and provide recommendations for changes the institution could implement to address identified risks. The task force concluded its work in August 2020 and developed a framework of recommendations.

Primary recommendations included the establishment of the following:

- Institutional support for the further development of Regional Shared Services Hubs to provide business services to campus
- More standardized business processes, workflows, and technological tools and systems that support business services
- Clearer and more consistent accountability structures for business service staff
- Increased training and support

#### *Phase Three: Implementation Plan*

There has been considerable organic growth of Regional Shared Services Hubs across the campus. These “regional hubs” provide consolidated business services, work closely with central functions, but organizationally report within their client portfolios. Examples include the Finance and Administration Shared Services department, the Central Business Services Office serving the School of Journalism and Communication, the College of Design, and the Honors College, and Advancement Operations, which serves both the Advancement and Communications portfolios. Despite the general movement in this direction, each effort to organize individual hubs was in the past done independently. Today other portfolios are also considering creating shared services organizations – however, each group is working on these issues individually.

Given the Business Practices Task Force recommendations and the university context in terms of emerging Regional Shared Services Hubs across campus, University leadership decided to focus on two key initiatives to address the risks identified in the audit:

- Launch of network and expertise groups for major business processes in Regional Shared Services Centers.
- Focused Institution Wide Strategic Planning Initiative around Development of New Regional Shared Services Hubs

These two initiatives are discussed in more detail below.

#### **Launch of Network and Expertise Groups**

In winter 2021, four functional groups were formed around key business processes. Comprised of professional staffing from existing regional hubs, the groups came together with relevant central experts to identify best practices for working with clients, share business processes used in the hubs, discuss technology platform requirement, explore gaps in policies and procedures, and consider training needs. These groups formed around the following focus areas: Regional Service Center Hub Directors; Business Transactions; Human Resources; and Purchasing and Contracting. In summer 2021, an additional group formed to look specifically at best practices related to Grants Administration. The groups have begun their work and have also been a resource for portfolios looking to establish new regional shared services hubs on campus.

## **Institution-Wide Business Practices Project**

In spring term 2021, we launched an institution-wide planning effort around further development of regional business hubs, designed specifically with the following goals:

- Address risks identified in the audit related to the University's decentralized structure related to business transactions
- Improve our business processes and practices, particularly in terms of efficiency and effectiveness
- Improve support for local clients

The business practices project was structured around three key phases, as follows:

- Phase One: Portfolio diagnostic
- Phase Two: Assessment of strategic options
- Phase Three: Implementation plan Phase

### Phase One: Portfolio diagnostic (April-August)

In April 2021, a series of project launch meetings were held for portfolio heads across campus, including Vice Presidents, Vice Provosts, and Deans. Following these meetings, portfolios were provided with data on their business transactions as well as tools to complete quantitative, qualitative, and staff mapping assessments. The assessment tools were designed to help portfolios examine how they were providing business services, and to help them identify strengths and areas for improvement. The business practices project webpage was also launched in April (<https://vpfa.uoregon.edu/uo-business-practices-project>), providing a project overview, the purpose and goals of the project, reference documents, and success stories from other regional business hubs around campus. In May, a series of workshops were held that provided training on the regional business hub model. In July and August, individual meetings were held with each portfolio to review their quantitative, qualitative, and staffing assessment findings. At the end of Phase One, portfolios with robust business practice teams were triaged out of the process. The majority of portfolios continued to work with the project team in Phase Two.

### Phase Two: Assessment of strategic options (September-November)

During Phase Two, portfolios received a list of critical questions to consider when evaluating different business service structures. Portfolios also received resources developed by the network and expertise groups on best practices and considerations for implementing or improving regional business hubs. Consultations with the project team were provided during August and October, and individual meetings with each portfolio were held in November to review strategic options under consideration.

### Phase Three: Implementation plan (December-March)

During Phase Three, each portfolio will be consulting with business practices experts and developing implementation plans to either facilitate the transition to regional business hubs, or to improve their current business practices. At the end of Phase Three, a project report will be submitted to the Board of Trustees including a summary of the operations and transition plans for each portfolio.

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## Section 1: Summary of Progress by Portfolio/Unit

### Portfolios Forming New Regional Business Hubs

Portfolios/Units	Pre-Project	Post-Project Strategic Structure
College of Arts & Sciences (CAS)	45 departments; decentralized business services with staffing at the local unit level	CAS standing up shared service center (SSC) and 8 academic support units (ASUs)
Office of the Provost – Schools and Colleges	8 Schools and colleges; most have independent business services with local staff; CBSO (regional hub) formed with some financial services for Design, College of Ed, and Honors College	Central Business Services Office (CBSO; regional hub) expanding to include Human Resources services and to also serve Journalism, in addition to Design, College of Ed, and the Honors College
Office of the Provost – Admin Units	Information Services, Undergraduate Education, Libraries, Global Engagement, and others; each have local business support	Administrative business hub being formed to serve all Provost admin units; Information Services moving to F&A portfolio and receiving support through FASS (regional hub)
Student Life	Major auxiliaries (EMU, PE & Rec) have separate business teams; Student Life started forming hub to serve other units	Student Life business hub expanding to serve all Student Life departments, including auxiliaries
Student Services and Enrollment Management	Fiscal and HR services handled decentrally	Student Services and Enrollment Management centralized business and travel team being formed
VP Research and Innovation	Shared business hub for central research functions; centers and institutes mainly have decentralized support	Beginning to develop shared regional hub structure for centers and institutes

### Portfolios Joining Existing Regional Business Hubs

Portfolios/Units	Pre-Project	Post-Project Strategic Structure
Division of Equity and Inclusion	Business services for division managed by VPEI office staff	Moving business support to Student Life regional shared services business hub
Office of the President	Business services supported by office staff in various offices	Moving business support to Finance and Administration shared services hub (FASS)
Information Services	Business services managed by local staff	Moving business support to Finance and Administration shared services hub (FASS)
VP General Counsel	Handled by staff in Purchasing and Contracting Services (PCS) and Office of General Counsel (OGC)	<ul style="list-style-type: none"> <li>Moving business support to Finance and Administration shared services hub (FASS)</li> <li>PCS to retain contracting (partners with FASS to provide contracting support to FASS clients)</li> <li>OGC to retain legal contracting and legal invoice processing</li> </ul>

### Portfolios with Existing Robust Business Offices / Hubs

Portfolios	Pre-Project	Post-Project Strategic Structure
Advancement & Communications	Business hub services both portfolios	Adding HR functions and improving regional hub governance structure
Athletics	Central business/human resource services provided to over 50 sport programs and administrative units	Continuing to enhance efficiencies and improve services to all internal and external stakeholders
College of Business	Two central administrative units: Fiscal Services and Faculty Support	Enhanced HR-payroll integration and improved cross-training opportunities
Knight Campus	Centralized Knight Campus business operations team provides all business services	Improving training and orientation materials for shorter onboarding timelines
Law School	Centralized business services	Improved incorporation of Foundation information
VP Finance and Administration	Business hub (FASS) established in 2016; provides services to majority of Finance and Administration departments	<ul style="list-style-type: none"> <li>Working with HR on enhanced Recruitment Partner workflows</li> <li>Providing services to President's office, General Counsel's office, Purchasing and Contracting, and Information Services</li> </ul>

## **Section 2: Academic Administration**

### **Report submitted by: College of Arts and Sciences (CAS)**

#### **Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

Business services for the 45+ departments and programs within the College of Arts and Sciences have been provided in a decentralized manner with staffing located at the local unit level. In a few areas, business services to multiple departments/program has been provided by a team of employees, but in most areas, business services are localized and staffed at varying levels depending on size and complexity of the unit.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

Creation of a CAS shared service center (SSC) and eight academic support units (ASUs). The SSC will be the main business hub for CAS. It will be staffed with professionals focused on particular functions (fiscal, human resources, research support), and be managed by professionals in each area resulting in application of consistent business practices. Professional development and training for staff will be streamlined and more equitably delivered in both the SSC and ASU. Cross-training to ensure continuity of service when there is staff departure or leaves is also a critical objective. Workflows and standard operating procedures are being developed to ensure efficient and effective processing, as well as the implementation of control points to ensure accountability and delegation of tasks.

#### **Section B: Please answer *either* question 3 or question 4**

3. If you are moving to a new regional business hub structure:
- a. Describe the target organizational structure

A combined structure which includes a shared service center (SSC) and an academic support unit (ASU) structure. The SSC will initially include three areas of business services:

- i. Fiscal – including but not limited to procurement, payables, travel, report generation
- ii. Human Resources – including but not limited to payroll, hiring, onboarding, visas
- iii. Research Support – general administration

The eight ASU hubs will serve as the connection between departments/programs and the SSC. The ASUs will support unit specific work that cannot be supported at the SSC. Some examples of this work are (not an inclusive list):

- i. Strategic partnership with the department/unit head
- ii. Promotion/Tenure/Reviews
- iii. General faculty support
- iv. Budget management

- v. Undergraduate program support
- vi. Graduate program support
- vii. GE management

b. Share the current projected implementation timeline

The launch date for the SSC and ASU is fall 2022, with optimization planned to be complete by fall 2023. At that point all new processes should be seen as “business as usual.” (See [CAS Timeline](#).)

4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

*Not relevant.*

### **Section C: Optional**

5. Please share any other information about your plans to ensure that your portfolio provides effective and efficient business services. This may include collaborations, training, and workflow enhancements with University-wide offices such as University HR.

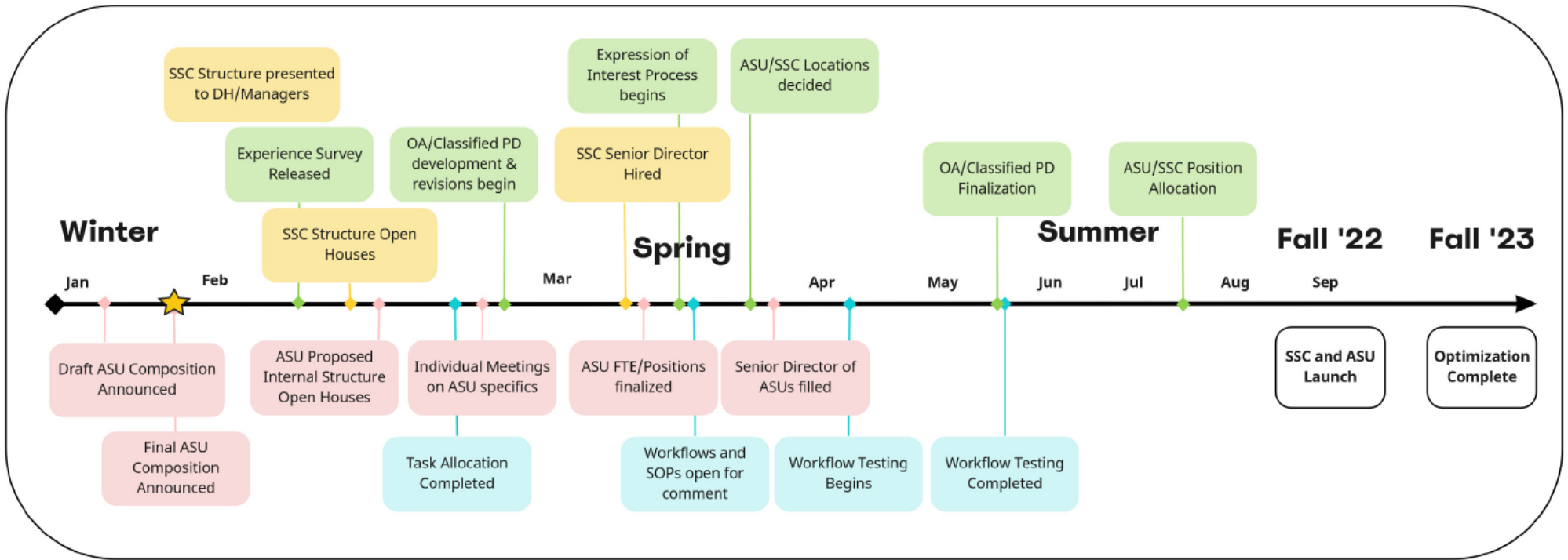
A strong collaboration with HR is critical for this initiative to succeed. Therefore, the Steering Committee for the project is working closely with HR on the personnel impacts this initiative will have including but not limited to position descriptions, supervisor reassignment, searches (internal and external), and other reorganization aspects. Additionally, for those roles tied to HR services, we are incorporating the professional competencies as defined by HR into the PDs (position descriptions). The SC will also be working closely with HR on trainings and professional development for staff to ensure they have the abilities needed if taking on a new role in this initiative.

Specific work tied to employee relations (in particular around performance management) is being placed into Senior Director roles, and class/comp position(s) are being included in the SSC structure.

As standard operating procedures and workflows are completed, it is anticipated that those will also improve communications and processing outside of CAS with centralized UO Offices (i.e. Travel and Payroll).



# CAS Shared Services Timeline



## **Report submitted by: Information Services**

### **Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

Business services were provided through the embedded finance team (Manager and three staff) and one HR specialist.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

Finance and HR services will be migrated to being supported through FASS beginning March 2022.

### **Section B: Please answer *either* question 3 or question 4**

3. If you are moving to a new regional business hub structure:
  - a. Describe the target organizational structure
  - b. Share the current projected implementation timeline

Finance and Administration Shared Services (FASS) is comprised of 45+ employees whom provide department level administrative support across 3 business areas (Business Operations, Human Resources, Specialized Information Technology). FAASS will begin supporting Information Services business and human resources needs throughout the winter/spring of 2022, with full support being provided by July 1, 2022. Existing IS staff will be integrated into FAASS and FAASS organizational structure will adjust to account for the additional employees and workload. The current teams within FAASS that will work with Information Services include the purchasing, accounting, finance & budget, payroll and Human Resources groups.

4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

*Not relevant*

### **Section C: Optional**

5. Please share any other information about your plans to ensure that your portfolio provides effective and efficient business services. This may include collaborations, training, and workflow enhancements with University-wide offices such as University HR.

## **Report submitted by: Lundquist College of Business**

### **Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

Business services for the Lundquist College of business are provided almost entirely by staff in two central administrative units (Fiscal Services and Faculty Support) under the supervision of the dean's office.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the audit report?

Centralized administrative structure is being enhanced by creation of a director-level role responsible for HR under supervision of Associate Dean for Finance & Administration to replace the human resources specialist. With this hire, we are undertaking a review of HR and payroll processes to better integrate with fiscal operations, streamline, and increase reliability. We are also exploring cross-training opportunities, the balancing of workflow to ensure that back-ups are available when needed, and with staffing turnovers, reviewing budget authorities and signatures to ensure the proper flow, review, and approval of transactions in all units.

### **Section B: Please answer either question 3 or question 4**

3. If you are moving to a new regional business hub structure: *Not relevant.*
4. If your current business services structure is working well, please describe how the risks identified in the audit report are currently addressed?

Staffing levels currently allow for adequate separation of duties in creation and authorization of transactions. Supervision of employees entering transactions and authorization of transactions is performed by administrative unit directors with adequate knowledge of UO policies and relevant applicable laws. The college develops detailed budgets with internal operational units, which are reviewed and approved at Dean's office level. Operational directors receive timely reports on their performance relative to these budgets. Reports are based on reliable information originating from Banner or UO Foundation.

### **Section C: Optional**

5. Please share any other information about your plans to ensure that your portfolio provides effective and efficient business services. This may include collaborations, training, and workflow enhancements with University-wide offices such as University HR.

We are planning an initiative to better document our internal policies, processes and practices to enhance the transparency and continuity of our business operations. This will include the development of standard operating procedures, the update/buildout of additional resources for budget managers and supervisors on Lundquist Bizweb, and, as mentioned above, cross-training.

## **Report submitted by: School of Law**

### **Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

The Law School has centralized business services to support the various units, clinics, programs, and centers within our portfolio. These services include business transactions, purchasing and contracts, human resources, and grant administration. We have adequate staff to have proper separation of duties for business functions. Our staff is cross-trained to be able to handle situations in short-term absences. This structure allows the Law School to develop subject-matter expertise, making us efficient and able to partner with central university offices.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

The primary area where the Law School is improving is finding ways to incorporate foundation information more efficiently for easier management. By doing so, the Law School is able to present budget holders with general, foundation, and grant fund information in a simpler, more streamlined monthly report. Working with central partners, the Law School would benefit most from implementing a time entry system that removes double entry and manual signature routing. This change would create efficiencies and improve the quality and consistency of our data.

### **Section B: Please answer *either* question 3 or question 4**

3. If you are moving to a new regional business hub structure: *Not relevant.*
4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

The Law School's centralized structure and separation of duties is working to address the risks identified in the audit report. Having professional staff with subject-matter expertise as well as a workflow that requires at least two checkpoints for data consistency and accountability are the most noteworthy in our current business services structure. Our staff has been able to develop reports necessary for effective decision-making. We also reconcile our data to the official system of record to ensure accurate data.

### **Section C: Optional**

5. Please share any other information about your plans to ensure that your portfolio provides effective and efficient business services. This may include collaborations, training, and workflow enhancements with University-wide offices such as University HR.

The Law School continues to serve on University-wide committees and projects to keep our portfolio effective and efficient. We have representation on the HR Advisory Team, the Officers of Administration Job Family Framework (OAJFF) project, Record Retention, Travel Consultants, Department Grant Administrators (DGA), HR Partners, Business Managers, Academic CFOs, and Academic Finance and Operation Teams (AFOT).

**Report submitted by: The Office of the Provost**  
**Provost's Shared Services Initiative: OtP Colleges Organizations**

**PREAMBLE**

The Business Practices Project was originally launched with communications directed (within the Provost portfolio) at the level of Deans and Vice Provosts. It was only later that this approach was corrected and the Project was lifted to the level of the Provost. Within the Provost's portfolio we have 8 Schools and Colleges, forming the *academic portfolio* and a substantial number of administrative units, including the Provost's office itself, forming the *administrative portfolio*.

Once the Project changed focus, the Provost made several decisions. One such decision was to have several separate projects and, specifically, to separate shared services between academic units and administrative units. Within the academic portfolio:

- The College of Arts and Sciences would continue to work on its own central services project. CAS will report separately on their progress.
- The extant financial shared services unit (CBSO) within the College of Design, serving Design, Honors College and Journalism, would be moved to the Provost's office, expanded to include Human Resources, and would serve some additional units in the academic portfolio.
- Some of the academic units needed only minor adjustments to their business practices to conform to the Business Practices Project.

Within the administrative portfolio:

- Information Services would move all appropriate business transactions to the VPFA's business services unit: FASS.
- All of the remaining units in the administrative portfolio would move appropriate business transactions (financial and HR) into a new Central Business Services Office.

It must be noted that the Provost's office has been carrying out this work during a very challenging time. Staff shortages across the administrative portfolio have necessitated the use of personnel to cover both administrative and academic business transactions, with several people asked to perform substantial overloads and several units expected to be very patient and flexible. These challenges have made the shared services planning and transition more difficult, while at the same time emphasizing the resiliency of a shared services structure.

Other than this Preamble, this document will deal only with the Provost's academic portfolio, less the College of Arts and Sciences. CAS will report separately.

**Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

The following schools and colleges had central business offices reporting up to a CFO (reporting directly to the Dean): Business, Law, and Education. Law does not have departments and the departments in Business are not separately organized (within banner) from a financial or HR point of view. The College of Education created its central business office several years ago (FY18), pulling business transactions out of

its several departments. In all cases, these offices handle both financial and HR transactions, but not always grant-related business activities.

The School of Music and Dance was recently reorganized to incorporate the Bach Festival, which was previously in the Provost's office. As of spring 2021, business services for the Bach Festival were still separate from the rest of the School, but work was under way to integrate all of the business functions into one area, under the School's CFO.

The remaining three units: College of Design, School of Journalism and Communication, and Honors College were already partially integrated at the transactional business level. Within Design, the Central Business Service Organization (CBSO, established in FY17) provided financial transaction work to SOJC, Design and HC (primarily payroll). HR transactional work remained distributed across these units. Like Business, the departments in SOJC are not separately organized in banner. Honors College is very small and all business operations report directly through the CFO. With the CBSO in place, all financial transactions were consolidated into a single business office reporting to the CFO, but HR transactional work was still somewhat distributed in the college.

It should be noted that by the end of spring 2021, staffing challenges across the Provost's portfolio were already severe. The CBSO and several individuals were asked to pick up transactional work for several other units, including Division of Graduate Studies, Undergraduate Education and Student Success, Museum of Natural and Cultural History.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

The Schools of Business and Law already have business service and control structures that are compliant with the audit report. No immediate changes are necessary.

The School of Music and Dance has mostly completed its integration of the Bach Festival and will soon have a single business office reporting appropriately to their CFO, who reports to the Dean. A planned expansion of the extant CBSO is underway. First, the CBSO will move from Design to the Provost's office and combine with parts of the business services office of the College of Education. This new unit will serve Design, Education, Honors College and SOJC. In addition, the new unit will expand to include HR services for those four units. The operational and governance structure of this new unit and the services it will provide, have been extensively discussed and planned with the leadership of the four units (Deans and CFOs) and with Central Human Resources.

Two notes about the services the CBSO will provide (for the time being): The CBSO will not provide grant-activity based services, nor will it do budgets for the various Schools and Colleges. Unit-level budgeting is too closely aligned with academic planning to be centralized.

The CBSO continues to provide some services to several administrative units. We plan to phase that out as quickly as possible, as a new structure for administrative business processes is put in place for the administrative portfolio (see separate report). When all of these planned changes are complete, the seven

units covered by this report should have business structures fully compliant with the suggestions of the audit report. Moreover, several efficiencies and improvements to services will have been achieved – not only within the units, but centrally as well.

Finally, we leave open the possibility that one or more of the units SOMD, LAW or Business may, at a later date, have their business services units integrate with the newly expanded academic CBSO. This would primarily be a question of efficiency and improvement to services, rather than compliance or controls.

**Section B: Please answer either question 3 or question 4**

*(Clearly these instructions are not compatible with this report. We will address both questions.)*

3. If you are moving to a new regional business hub structure:
- a. Describe the target organizational structure

The expanded CBSO will be a general-fund budgeted operation that operates as a distributed shared service organization. It will not be a service center.

By and large, current UO employees who will be pulled into the CBSO will not need to move from their current locations. The new CBSO will have several new HR professionals, who will be distributed amongst the Schools and Colleges.

The structure described here is not unlike the current distributed shared service structure utilized by Information Services to provide basic IT services across campus.

The organizational structure of the new CBSO, and its reporting structure, is summarized in the attached org chart.

- b. Share the current projected implementation timeline

The planned expansion of the new CBSO has been moving forward since May 2021. The primary shift of org structures (moving pieces from both COE and Design into the Provost's office) should be complete by the end of spring term, 2022. However, full implementation of the structure and the services it is meant to provide may be delayed by difficulties with hiring. We will also need to be very flexible with timing as the current CBSO continues to help provide services to several administrative units, and the administrative shared services planning somewhat lags the academic side.

That said, all open and new positions are already posted, and searches are on going with some key positions already filled. A ticketing system has been identified and is being incorporated into the current CBSO. A general Service Partner Agreement (SPA) document is completed, and each unit is currently working on their SPA addendum to address specific unit needs. We anticipate all addendums to be completed during the winter term.

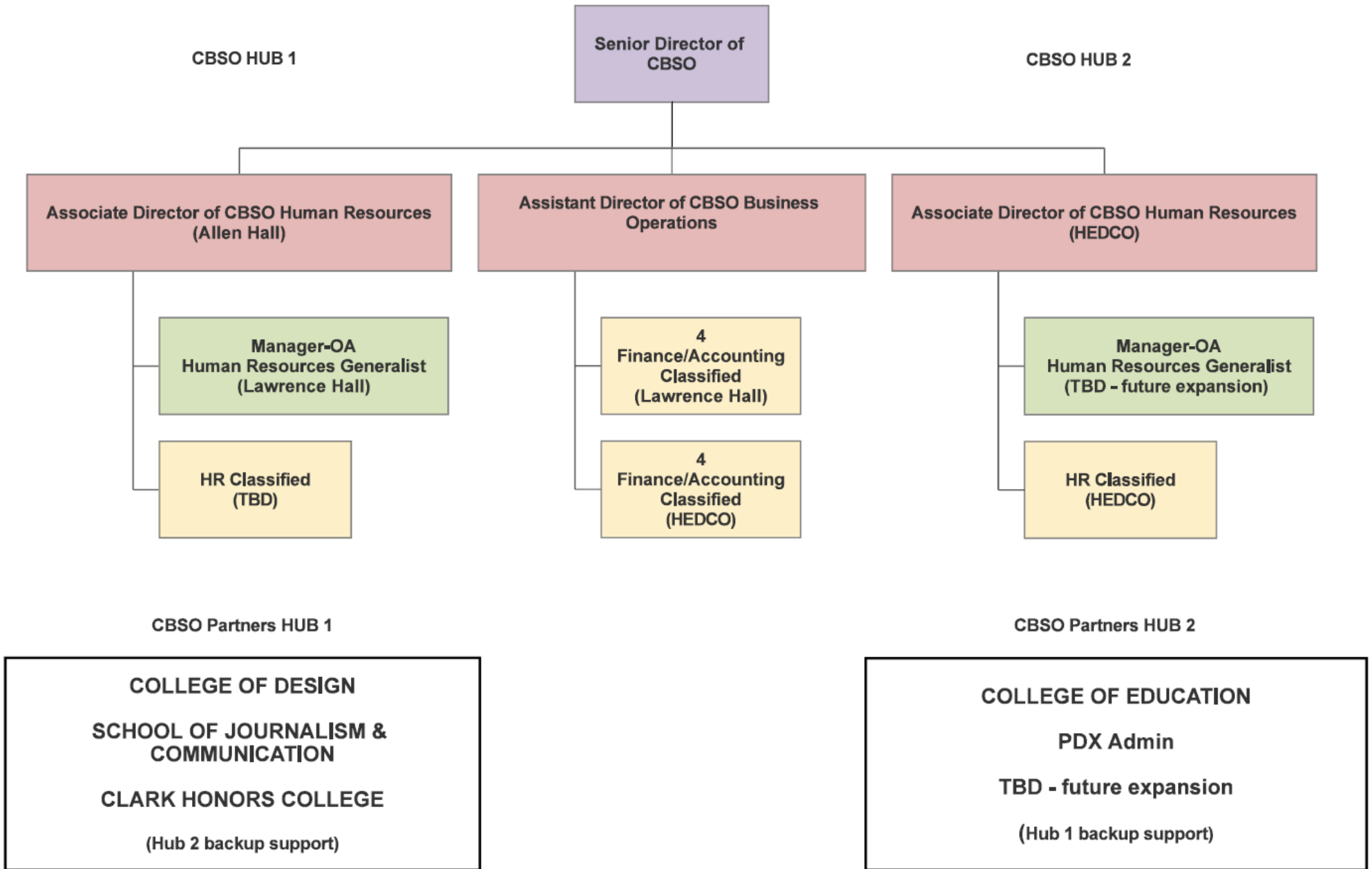
4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

As already stated: Law and Business have central business offices with appropriate reporting and controls. It is possible that these structures could be more efficiently organized if they were integrated into the CBSO, but that is not clear and is a question for another day.

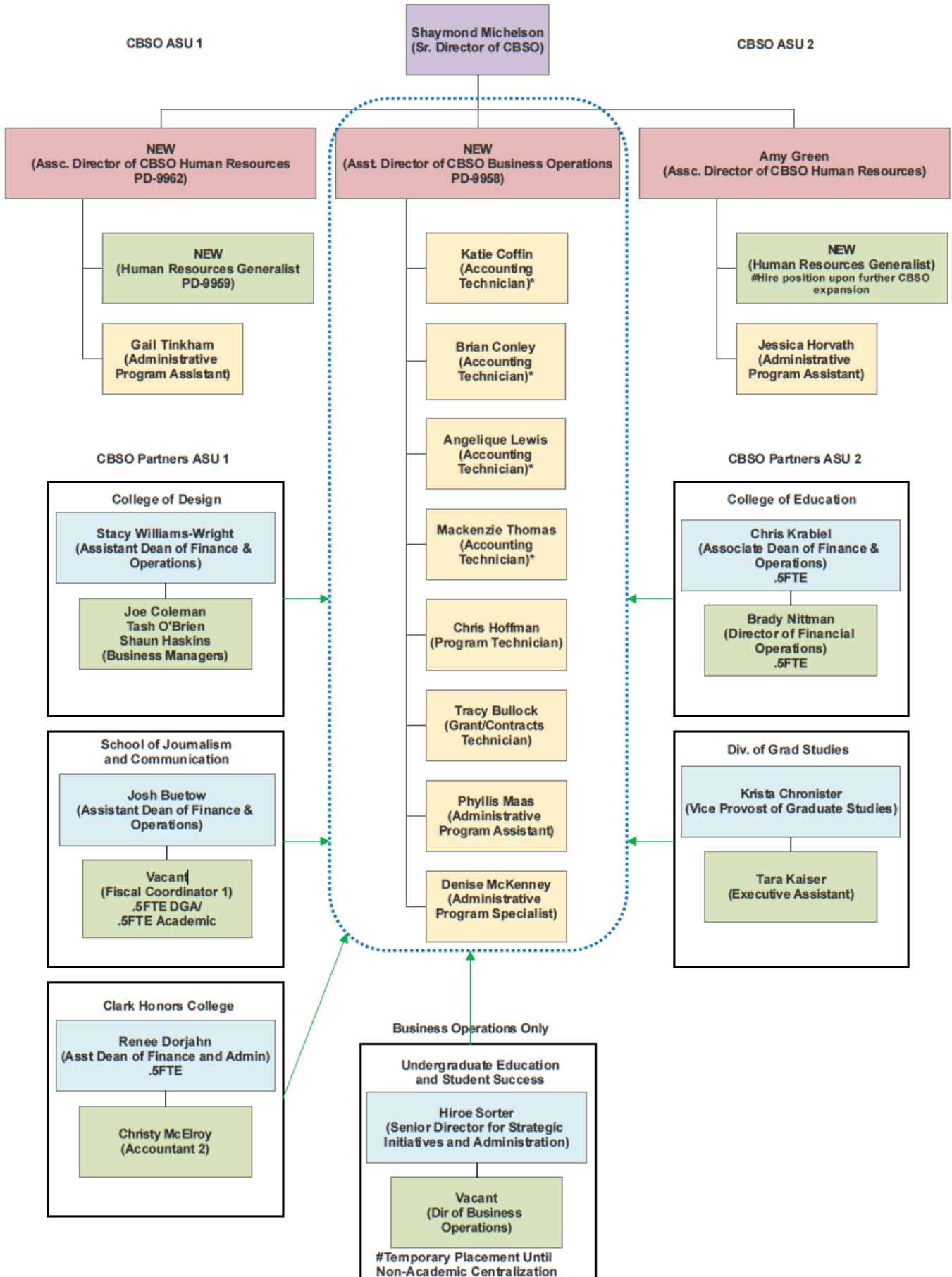
The School of Music and Dance, when they have completed their integration of the Bach Festival will have the appropriate control structures in place.



**Provost's Shared Services Initiative: CBSO Organizational Chart (condensed)**



# Provost's Shared Services Initiative: CBSO Staff Org Chart



\*Accounting Technician's are proposed to reclassify to Program Technician 1

**Report submitted by: The Office of the Provost**  
**Provost's Shared Services Initiative: OtP Administrative Units**

**PREAMBLE**

The Business Practices Project was originally launched with communications directed (within the Provost portfolio) at the level of Deans and Vice Provosts. It was only later that this approach was corrected and the Project was lifted to the level of the Provost. Within the Provost's portfolio we have 8 Schools and Colleges, forming the *academic portfolio* and a substantial number of administrative units, including the Provost's office itself, forming the *administrative portfolio*. The administrative portfolio includes 7 primary administrative functions units: Division of Global Engagement (DGE), UO Portland (PDX), the Libraries (LIB), Undergraduate Education and Student Success (UESS), the Graduate School (GS), Information Services (IS) and the Office of the Provost (OtP); as well as smaller units inside OtP: two Museums (MNCH and JSMA) and multiple small units (TEP, LERC, Military Science, Support for Student Athletes, Wayne Morse Center).

Once the Project changed focus, the Provost made several decisions. One such decision was to have several separate projects and, specifically, to separate shared services between academic units and administrative units. Within the academic portfolio:

- The College of Arts and Sciences would continue to work on its own central services project. CAS will report separately on their progress.
- The extant financial shared services unit (CBSO) within the College of Design, serving Design, honors College and Journalism, would be moved to the Provost's office, expanded to include Human Resources, and would serve some additional units in the academic portfolio.
- Some of the academic units needed only minor adjustments to their business practices to conform to the Business Practices Project.

Within the administrative portfolio:

- Information Services would move all appropriate business transactions to the VPFA's business services unit: FASS.
- All of the remaining units in the administrative portfolio would move appropriate business transactions (financial and HR) into a new Central Business Services Office.

It must be noted that the Provost's office has been carrying out this work during a very challenging time. Staff shortages across the administrative portfolio have necessitated the use of personnel to cover both administrative and academic business transactions, with several people asked to perform substantial overloads and several units expected to be very patient and flexible. These challenges have made the shared services planning and transition more difficult, while at the same time emphasizing the resiliency of a shared services structure.

Other than this Preamble, this document will deal only with the Provost's administrative portfolio.

## **Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

Traditionally, the primary units in the administrative portfolio have each had a single central business office. There are large differences in business type, financial structures, human resource needs, and mission across these units. Some units (e.g. UESS) are almost exclusively funded through general fund, whereas some units additionally have substantial grant and contract funds (e.g. MNCH), large designated operations (e.g. DGE) or service centers (e.g. IS). All of the units have some component of their operation directly connected to teaching or research. Given all this, and the basic decentralized culture of the university, it has always been difficult to imagine these units sharing business services. However, the institution has changed. Centralized data reporting and data integration, centralized human resource processes and policies and other standardizations all contribute to a new landscape in which basic transactional business services, no matter the fund type, the business type or the employee type, are better handled in a standardized and professional matter. Aggregation of transactions is more efficient and generates better service levels.

As of spring 2021, the traditional business service structures across the administrative portfolio were still in place, but we were seeing the beginnings of some breakdowns in those services. This was, clearly, COVID-related and caused by ever-increasing shortages of personnel across the units, as well as rapid turnover in positions at all levels. IS experienced a complete turnover in HR staff (and had to turn to FASS for assistance). Financial services in several units needed to be shored up through the use of the Design-based CBSO and the use of other personnel from the Colleges. The Library became substantially understaffed and needed to find a new Finance Director (whom they hired from PDX, thereby transferring the staffing problem to another unit – a phenomenon that has been very common on campus in the past year). MNCH has not had adequate DGA support for their moderate grant portfolio.

Staffing shortages did help to make clear some systemic problems across the administrative portfolio: FTE fragmentation and single points of failure. These are exactly the kinds of problems that are addressed with shared service units – but these can also be the problems that amplify barriers to creating shared services.

While these staffing issues have not improved much in the last year, we have managed to sustain most business services at adequate levels. The key ingredient has been sharing personnel across units.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

The Provost's current plan for shared services across the administrative portfolio is ambitious and timely. Some parts of the plan are well under way, other parts will require substantially more planning and change management. But already the leadership of the various primary units have been engaged and show a positive attitude towards change.

The plan is simple: Information Services will move their primary business operations, both financial and HR to the VPFA's shared business services unit FASS. The remainder of the administrative units will

coalesce some or all of their business services into a new Administrative Central Business Services Office (ACBSO – although final name to be determined).

While the plan is simple, the change management implementation is not. Moving IS to FASS is all but complete and should be done by the end of this term. Creating the ABCSO and transitioning the various units' business offices into it appropriately will likely require another year.

Within the Provost's office, we have seen great benefit from certain types of standardization, for example, the standardization of tenure-line faculty offer letters and standardization of thrice-annual financial check-in reporting. The ACBSO will allow us to standardize many elements across the administrative portfolio: PDs (position descriptions), HR forms, financial reporting, etc. The ACBSO will allow us to defragment FTE and remove single points of failure, create smoother and faster pathways through central HR (such as providing well-trained individuals who can help with class, compensation and OEPA—Oregon Equal Pay Act—analysis), and, with the help of a ticketing system, analyze, improve and adjust business workflows.

**Section B: Please answer either question 3 or question 4**

3. If you are moving to a new regional business hub structure:
- a. Describe the target organizational structure

Like the CBSO described in the academic version of this report, the ACBSO will be a distributed shared service operation (DSSO) that handles both financial and HR transactional work, with some higher-level professional HR support. Staff in the ACBSO will be distributed throughout the units, but report up through the structure of the ACBSO. This is similar to the Information Technology support structure currently utilized across our campus. However, the ABCSO will also likely include some employees who have more narrowly defined (yet widely utilized) roles. Examples might include Foreign Travel or GTFF Labor Relations. The ABCSO will require a robust governance structure, but we already have working models of such structures on campus (in IT, the CBSO, and FASS).

- b. Share the current projected implementation timeline

Conversations with unit leadership have been ongoing since fall term as well as conversations with Central Human Resources. In January, the primary units received beginning documentation and a Zoom meeting was held on February 3 to launch a task force to create the ACBSO. That task force will engage with the Service Partnership Agreement (SPA) in February, a critical step in understanding what services each unit will be receiving and a necessary step to formalizing an org chart. After that, we can begin to post key positions, such as Senior Director and several human resources positions.

The timeline will advance as the SPA is completed, positions are filled, and an initial organizational structure comes together. Units will be moved into the ACBSO one at a time, not all at once or at a rapid pace. The OtP Administrative units currently served by the CBSO will remain there as long as there is need and/or until the ACBSO is ready. Once again, we will leverage the work already created through the academic CBSO along with other shared service organizations on campus.

### **Section 3: Institutional Administration**

#### **Report submitted by: Advancement and Communications**

#### **Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

Business services were provided fully for University Advancement with an Advancement Operations team, a department designed with specialists to provide excellent service and address the complexity and unique volume of the work related to government and community relations, fundraising, and supporting the UO Alumni Association (a separate 501(c)(3)). The Advancement Operations team has regularly been considered strong in policy compliance, risk management, and structural effectiveness by peers on campus and leaders within the VPFA division. Business services had been specialized starting in 2013 for University Communications and were involved in the centralization effort. In 2021, business services to University Communications (UC) were provided upon request by Advancement Operations (UA), but were in need of an update due to leadership transitions, emerging needs, and the opportunity to build a shared mission between UA and UC.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

University Advancement and University Communications are in step to align current, high talent staff to form a jointly administered shared services team that provides core budgeting, contract, compliance, HR practices, and employee relations services. The leaders in each area will be charged with revising and refining processes and workflows to better partner with both divisions. Core considerations will be taken to define and communicate the threshold of action and ownership required by leadership and supervisors in each division for continuing to address the audit's identified areas of compliance and risk management. Additionally, we will be building clear intake and customer service practices to provide service, accountability, and turnaround that goes beyond core risk management but also addresses emerging business needs for both divisions.

#### **Section B: Please answer *either* question 3 or question 4**

3. If you are moving to a new regional business hub structure:
  - a. Describe the target organizational structure
  - b. Share the current projected implementation timeline

We are moving towards an adapted regional business hub structure. This structure will be defined by:

- Participation in decision-making and performance evaluation by both Advancement and Communications leaders.
- Strong partnership, training, and best practice sharing with relevant UO central programs.
- Regular customer service feedback and needs assessment to inform improvements and identify new needs.

- Updated workflows and communication practices to build transparency in process and create clear expectations and ownership for supervisors and leaders.
- Consistent investment and staffing to adequately address the distinct, complex needs of these divisions; support and grow our operations professionals; and avoid burnout and turnover.

Our current timeline is as follows:

- **Work completed to date:**
  - Interim assignment, with plan for permanent role for lead staff member for HR practices. Budget planning and organizational structure planning for full HR team, including cross-training and specialized training with central HR.
  - Internal change management with operations teams and planning with Chiefs of Staff.
  - Review of internal communications and drafting of new formats for updates and staff reintroductions.
  - Evaluation and initial workflow breakouts related to equipment and technology services to both divisions in transition as a result of Transform IT.
  - Hiring of temporary staff to address urgent overflow and overload of teams, especially Financial Services.
  - UC internal surveying of leadership team on previous service and upcoming needs.
- **February-April 2022:**
  - Definitional work of core services to both divisions, identification of immediate needs.
  - Drafting and hiring of secondary HR role.
  - Continued training of lead staff member for HR practices by central HR.
  - [re]introduction of employee relations services to University Communications.
  - Introduction of lead staff member for HR practices to UC. Training completion and permanency of the role and assignment are confirmed.
  - Discussion and diagnosis of UC and UA needs related to budgeting, reporting, and additional services.
  - Reassignment of payroll team and function to shared services.
  - Evaluation of continued impact from the Transform IT initiative and shift of the IT team of 4 FTE to User Support Services (USS). Definition of USS services and gaps to be filled by shared services or within advancement.
  - Internal team management and update of communications channels and branding.
  - Broader UA and UC communications to managers and colleagues on services and intake process.
  - Confirmation of budget and investment to make interim and temporary new staffing levels permanent as appropriate and as budget allows.
  - Definition and outline for future practices of service evaluation, feedback, and shared performance management.
- **Spring-Summer 2022:**
  - Initial pilot of service evaluation and priority setting between both divisions.
  - Continued clean-up of workflows and process effectiveness across shared services team.

- First cycle of intentional performance management support, robust budget planning, and shared business practice feedback and evaluation for both divisions under the new model.
  - Operations team change management, value building, and vision setting.
  - Continued evaluation of relationship and service needs related to technology, equipment, and specialized software and platforms.
  - Drafting and evaluation of MOU and service agreement.
- **FY23 and Beyond:**
    - Continued evaluation of services, service agreement, and needs of both divisions.
    - Evaluation and consideration of additional scope and services for expansion.
    - Continued investment in training, collaboration, and responsibility sharing and handoffs from central business affairs and HR offices.

4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

*Not relevant.*

### **Section C: Optional**

5. Please share any other information about your plans to ensure that your portfolio provides effective and efficient business services. This may include collaborations, training, and workflow enhancements with University-wide offices such as University HR.

Our shared service model's success will be dependent on the continued training, partnership and permissions granted to specialists within the business practice areas from University HR, Purchasing and Contracting and Business Affairs. Without these permissions and partnerships the business practices teams will be unable to provide support, accountability and turnaround that will meet the needs of both divisions. Of particular impact will be the ability of the shared service HR practices team to be trained and trusted to review and process requests related to classification and compensation.

Another core consideration is the aftermath of the transition of an IT team to USS, which has left a gap in bandwidth for IS to provide core services to the divisions, particularly in the areas of building and meeting technology, software and service management, and data strategy and risk management.



## Report submitted by: Athletics

### Section A: Please answer both questions

1. How were business services provided in your portfolio in spring 2021 when the project launched?

The Athletics Business Office (ABO), in conjunction with the Human Resource (HR) unit, provides centralized business services to approximately fifty (50) sport programs and administrative units throughout the Athletics Department including but not limited to Finance and Budget, Purchasing and Contracting, Accounting Services, Payroll Services, Human Resources, Risk Management, Travel, Property Control, IS (PCI-compliance), Treasury Management, and Financial Reporting. The ABO collaborates with the respective University business and administrative units as appropriate in managing athletic department business activities.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

The ABO actively participated on the Business Practices Task Force and Shared Business Processes Team in helping to provide feedback and guidance for the UO Business Practices Report. While no changes are currently planned, the ABO continually works through the appropriate University unit, strives to enhance efficiencies and improve overall service to all internal and external stakeholders.

### Section B: Please answer *either* question 3 or question 4

3. If you are moving to a new regional business hub structure:
  - a. Describe the target organizational structure
  - b. Share the current projected implementation timeline
4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

The ABO is structured in a manner that allows for delegation of authority to multiple levels, constant monitoring of data to ensure integrity and consistency, and accountability for all levels throughout the athletics department. As federal, state, local, institutional and NCAA bylaws/rules/regulations/policies/procedures change; the ABO adapts to ensure continuity of operations while maintaining a high level of service. Additionally, the athletic department goes through an annual NCAA required agreed-upon procedures review to help ensure sound financial processes and reporting, in addition to regular internal control and business process reviews by UO Internal Audit.

### Section C: Optional

5. Please share any other information about your plans to ensure that your portfolio provides effective and efficient business services. This may include collaborations, training, and workflow enhancements with University-wide offices such as University HR.

The ABO and HR unit collectively will continue to participate in University-wide tasks forces, committees, working groups, etc. to support institutional initiatives.

## **Report submitted by: Division of Equity and Inclusion (DEI)**

### **Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

The Division of Equity and Inclusion (DEI) is comprised of five units – Center on Diversity and Community, Campus and Community Engagement, Center for Multicultural Academic Excellence, the Multicultural Center, and the Office of the Vice President for Equity and Inclusion (VPEI). All business services for the division – including finance and budgeting, purchasing and contracting, human resources, operations/facilities, and travel coordination – are managed centrally by staff within VPEI. This staff includes one full FTE accountant, while the other services are bundled into the duties of partial FTEs of other roles within VPEI. Each DEI unit has a portion of an administrative FTE which works with central VPEI business service staff, and helps to ensure that the business needs of each unit are communicated and followed up on.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

Like other divisions across campus, DEI has undergone planning to move into a regional shared services business hub in order to take advantage of the dedicated staffing expertise and economies of scale such a model provides. After a review of available options, DEI will partner with the Division of Student Life, which is currently (as of Winter 2022) expanding their current business services hub in order to serve their auxiliary units. For detail on DEI's move to a hub structure, see below in #3.

### **Section B: Please answer *either* question 3 or question 4**

3. If you are moving to a new regional business hub structure:
  - a. Describe the target organizational structure
  - b. Share the current projected implementation timeline
  - a. As mentioned above, DEI will be moving to a regional hub structure which will be managed by Student Life. DEI's one dedicated business service FTE (Accountant 1, currently vacant) will move to the hub, and VPEI staff who currently have small, partial business service FTE in their position descriptions (PDs) will balance their duties with programming support and other pressing needs of the division.

The specific services which will move to the business hub will include: all finance, accounting, and budgeting work; purchasing and contracting; and payroll and basic HR transactions (hire paperwork, HRIS maintenance, etc.). Travel coordination and higher-level HR functions, such as performance management, staff recruitment, and PD and class/comp consultation will remain in DEI/VPEI, as the Student Life hub plans to keep many of those higher-touch services at the auxiliary unit level. This works well for DEI, as we have a SHRM-certified HR partner on staff who has considerable knowledge of our work and HR needs.

With regard to governance and collaboration, DEI's Chief of Staff will continue to be the primary administrative lead for the division, and will be the chief point of contact with the Student Life hub,

facilitating strong communication and collaboration between the two divisions. The Student Life hub director will meet regularly with DEI's COS and other leadership as needed, to ensure that DEI's business needs and fiscal priorities are understood and served well, and that DEI staff are successfully transitioning/adapting to the new hub's processes.

b. Student Life is currently in the process of developing their regional hub, starting first with folding in auxiliary units that already fall under their division (but which have their own business service staff). That work entails hiring and onboarding new staff, creating new processes and procedures to meet the needs of the hub members, and leading change management. DEI anticipates starting to formally move services into the hub in summer 2022. (Given DEI's currently vacant accountant position, it is possible that some accounting work may move to the hub more quickly.)

Between now and summer, DEI's Chief of Staff will continue to work with Student Life hub leadership to plan for the transition: documenting and sharing DEI's current budgets, business processes, and priorities; preparing paper and electronic files for transition; reviewing new processes and procedures for applicability or potential adjustment; and change management communications with all staff of DEI.

We expect the transition of business services to be in full swing by fall 2022.

4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

*Not relevant.*

### **Section C: Optional**

5. Please share any other information about your plans to ensure that your portfolio provides effective and efficient business services. This may include collaborations, training, and workflow enhancements with University-wide offices such as University HR.

## Report submitted by: Division of Student Life

### Section A: Please answer both questions

1. How were business services provided in your portfolio in spring 2021 when the project launched?

Business services were provided via three main entities: department staff in the EMU (Assistant director and some accounting staff), PE & Rec (Assistant Director and some accounting staff) and the Division of Student Life Financial Services functional area (a director and some accounting staff) which already served as a service center for our general funded units, the VP's office, the Office of the Dean of Students, and the University Career Center.

HR services were similar, with HR staff in EMU and PE & Rec and staff in the Vice President's Office providing HR and payroll support for our general funded units. VP office HR staff include, the Chief of Staff, a HR Manager (who provided direct HR assistance for the three GF units and support where needed in the auxiliaries). Payroll processing for the three general funded (GF) units was handled by a member of the Division of Student Life Financial Services team.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

All financial business services in the Division are now handled by a centralized financial services team, reporting to the Division's director of financial services. Finance staff have moved from auxiliaries (some vacancies are being filled) to our administrative hub. As work requests flow into the hub via a central portal, they are assigned to a member of the team that will communicate with the requestor in order to complete what is required. There will eventually be additional FTE dedicated to some specific activities, special projects (such as digitizing and standardizing records/retention) and emerging services, such as group/student travel coordination.

The service center's HR team will provide direct service for payroll once we make the transition to UKG/Kronos. For non-payroll HR actions, the service center provides direct services to the GF units and support services to our auxiliaries, who have HR staff. HR staff in auxiliaries have non-HR responsibilities beyond their HR work. Those duties may eventually be provided by staff in the service center, should staffing or needs change. The HR Manager is currently in the process of hiring a payroll technician who will be responsible for the payroll processing, as well as monitoring and routing the HR-related requests in the shared service portal. The structure of the hub will be built in a scalable way as to absorb the HR and payroll needs of the two auxiliaries and any other units if need be.

Our structure is designed to address the inherent risks from:

- Lack of back-ups (i.e. if the one person that "does the work" is out, then the work doesn't get done or must be performed by someone unfamiliar with it)
- Non-standard approaches to budgeting, forecasting, and fiscal planning
- Having employees who handle certain types of activity on only an annual basis, thus do not build the experience necessary to gain mastery
- Maintaining multiple types of incompatible or non-shared reports across each unit

**Section B: Please answer *either* question 3 or question 4**

3. If you are moving to a new regional business hub structure:

a. Describe the target organizational structure

PLEASE SEE SECTION C

b. Share the current projected implementation timeline

Our positions should be filled and our team should be up and running by the end of the fiscal year. In addition, we have agreed to provide business and HR services for the Division of Equity and Inclusion. We will begin that transition in July and should be integrated and operational by September.

4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

**Section C: Optional**

5. Please share any other information about your plans to ensure that your portfolio provides effective and efficient business services. This may include collaborations, training, and workflow enhancements with university-wide offices such as University HR.

We are currently evaluating the impact of taking on DEI (see above) on staffing levels and configuration.

Our anticipated timeline for reaching our targeted business services structure is by July 1, 2022

## **Report submitted by: Knight Campus for Accelerating Scientific Impact**

### **Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

In spring 2021, the Knight Campus had an established, robust and growing team of business operations professionals who provide high quality business support to all of our academic, research, innovation and special program units. The centralized Knight Campus business operations team supports leadership, faculty, students and programs in all areas of HR, finance, purchasing, travel, research administration and academic administration. Overall, we have seen great success in the ability of the business operations team to facilitate a significant volume of support at a very high quality while also scaling and being nimble in an effort to ensure that any gaps are mitigated and addressed in a timely manner. We had a strong continuity plan in place that we have continued to build upon, this includes cross-training, well-documented procedures and strong internal communication channels. This business operations team (hub) has been a successful model for the Knight Campus.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

The business operations team (hub) has proven to be a successful staffing model that has resulted in the Knight Campus being able to mitigate the risks identified in the audit report. We have dedicated staff who are thoroughly trained to provide support in all business operations functions including HR, accounting/finance, purchasing, travel, research administration and academic administration. The team has developed and documented internal workflows/processes that ensure compliance with UO policies, increase efficiency and business continuity. Additionally we have established appropriate delegations of authority within the team and with Knight Campus leadership. Also, we have cross-trained staff to provide backup coverage for all critical business operations functions further enhancing Knight Campus business continuity.

We have areas for continued improvement related to the rapid growth of the Knight Campus. Hiring, onboarding and training new staff (especially non-internal hires) on UO business practices is challenging and it takes a long time to get staff approved by central to independently process actions and for individuals to get to a sufficient level of expertise and skill on UO specific procedures and processes. We are working to build out our training and orientation materials in ways that we hope will shorten the timeline for getting staff to be successful in practicing compliant business transactions independently at the UO.

### **Section B: Please answer either question 3 or question 4**

3. If you are moving to a new regional business hub structure: *Not relevant.*
4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed? *Please see response in #2 above.*

## **Report submitted by: Office of the President**

### **Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

Through partial FTEs from existing employees who primarily serve other roles.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

We are planning to move to a regional business hub. This will provide better expertise, greater continuity of service, and eliminate risks related to redundancy/back-ups.

### **Section B: Please answer *either* question 3 or question 4**

3. If you are moving to a new regional business hub structure:

- a. Describe the target organizational structure

We are planning to move to FASS, the regional business hub that has been serving the VPFA portfolio and others for quite some time.

- b. Share the current projected implementation timeline

Some functions are being moved to the hub as soon as January 2022, and the rest of the functions will follow in the next six months.

4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

*Not relevant.*

### **Section C: Optional**

5. Please share any other information about your plans to ensure that your portfolio provides effective and efficient business services. This may include collaborations, training, and workflow enhancements with University-wide offices such as University HR.

We are taking extra measures to be sure that executive-level searches are conducted in a way that meets the unique needs of the President's Office. High-level financial planning may stay within our office. The FASS service hub will be implementing some new procedures for our units, procedures that will ensure better checks-and-balances and accountability.

## **Report submitted by: Student Services and Enrollment Management (SSEM)**

### **Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

Fiscal staff was organized decentrally around the operations of each unit. One person might be splitting their FTE into many tasks, not allowing for collaboration or development of depth of expertise. Redundancies and backups for vacancies and time out of office were often handled by someone from another unit filling in. We had pockets of long-term, highly experienced staff and pockets of vacancies due to the pandemic and the hiring freeze.

HR staff also organized decentrally and always as a portion of someone's position; we have no dedicated HR staff. We have regular access within each department to be able to handle processes such as recruiting or updating position descriptions, but ad hoc requests have required AVP staff and HR team members.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

We have added an additional Assistant Director of Budget and Financial Administration so that each of the units across the Division have an analyst as a lead contact. Each analyst can address the growing fiscal complexities of multiple sources of funding, increased volumes of student recruitment and enrollment, and the necessity for the growth of cross-unit coordination. To attempt to increase the level of fiscal staffing in each of the affected units under the current model would have been challenging, much more costly, and would not have increased the information flow between units and to the SSEM Central Office.

### **Section B: Please answer either question 3 or question 4**

3. If you are moving to a new regional business hub structure:

- a. Describe the target organizational structure
- b. Share the current projected implementation timeline

The Director and the Assistant Directors are each assigned as lead analysts for several units/departments within the SSEM Division. These are assigned based on the following variables: complexity of the fiscal operations of the unit (multiple fund types, unevenly dispersed activity across the fiscal calendar, etc.), FTE and skill base of fiscal staff within the unit, and the reporting structure of the Division. Consideration of these variables helps to spread the workload evenly; this also provides AVPs in the Division with one Budget and Finance analyst.

This organization of the central office Budget and Finance team allows us to better provide the following fiscal services:

- Increased knowledge, visibility, and fiscal expertise at the level of the VP's office
- Consistent and frequent fiscal reports to unit Director/AVP with narrative, recommendations
- Completion of annual fiscal processes such as Budgeting, Carry-Forward, Fees



- Monitoring of entries/transactions in accounts, indices, organization codes, to produce consistent, timely and correct reporting
- Planning with unit staff for projects, support, and oversight for purchasing and travel strategy, assisting in communication with cross-unit teams

One Assistant Director also supervises the Travel Coordinator, which is now supporting Division-wide travel. This change moves this position out of Admissions to support all recruitment travel, out of any department. This also moves expertise to the central office and offers accessibility to the entire Division. The timeline for this implementation is that these positions have been hired, the second Assistant Director at the end of October 2021, and the Travel Coordinator at the end of December 2021. Each of these positions are completing trainings, building relationships, and gaining experience in their roles.

4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

*Not relevant.*

### **Section C: Optional**

5. Please share any other information about your plans to ensure that your portfolio provides effective and efficient business services. This may include collaborations, training, and workflow enhancements with University-wide offices such as University HR.

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## **Report submitted by: VP Finance and Administration**

### **Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

In spring 2021, the Finance and Administration portfolio consisted of 5 major divisions, each with multiple departments. Finance and Administration has a large shared services organization, which in the spring of 2021, served three of its five divisions plus the Office of the Vice President for Finance and Administration. Finance and Administration Shared Services (FASS) provided services to Campus Planning and Facilities Management, Safety and Risk Services, and Campus Services. In 2021, FASS also began providing services to a fourth division in the portfolio, University Human Resources. FASS is a successful shared services organization, with over 40 professional staff, that has been in operation since 2016. The department provides centralized support for travel, accounting, purchasing, payroll, budget, finance, recruitment and labor relations. Additionally, FASS provides specialized support in materials management, logistics, campus mail, and unique technological support for CPFM and UOPD. The fifth division within the Finance and Administration portfolio, the Business Affairs Office, provides business services internally. In February 2022, a reorganization with the Provost's Portfolio resulted in the creation of a sixth major division within Finance and Administration: Budget, Financial Analysis and Data Analytics. We intend to eventually transition business support of this division to FASS.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

FASS is expanding services to provide additional support to units outside of the Finance and Administration Portfolio. This includes Information Services, the Office of the President, the Office of the General Counsel, and Purchasing and Contracting Services. This will improve the redundancy, specialization and resilience of FASS while ensuring the critical infrastructure of the university has appropriate structures in place around personnel actions and financial management.

### **Section B: Please answer *either* question 3 or question 4**

3. If you are moving to a new regional business hub structure: *Not relevant.*
4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

FASS now provides appropriate controls, approvals and separation of duties for Business and Human Resource functions. FASS provides services based on service partnership agreements, which are reviewed annually and include details of the services provided by FASS, expectations on responsiveness and associated reportable metrics. FASS also utilizes a ticketing system for administrative requests, which helps ensure accountability and adherence to set service expectations. Separately, The Business Affairs Office has the in-house expertise inherent in their daily business functions to address the audit risks identified.

### **Section C: Optional**

5. Please share any other information about your plans to ensure that your portfolio provides effective and efficient business services. This may include collaborations, training, and workflow enhancements with University-wide offices such as University HR.

Finance and Administration, along with FASS, will continue to partner with University HR, Purchasing and Contracting Services, and the Business Affairs Office to ensure work continues to be performed in a consistent and efficient manner. Current partnerships include the Enhanced Recruitment Partner workflows with FASS and University HR, special contracting delegations to the head of FASS from PCS, and partnerships on a time and attendance system between FASS and the Business Affairs Office.

## Report submitted by: VP General Counsel

### Section A: Please answer both questions

1. How were business services provided in your portfolio in spring 2021 when the project launched?

Business Services were handled internally by each unit, although staff in the Office of the General Counsel provided services to University Records Management and some business services to the Office of Public Records due to the limited staff in those offices (1 and 2 employees, respectively).

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

FASS will begin to provide transactional support in the areas of HR/Payroll, Accounting, and Travel for all units in the VPGC portfolio, although the Office of the General Counsel (OGC) will retain processing and payment of legal invoices.

Outside of legal invoices, units in the Vice President and General Counsel's (VPGC) portfolio have limited needs in these areas and we expect the Finance and Administration Shared Services (FASS) hub will be able to absorb this work without the need for additional staff. Correspondingly, the administrative staff in the portfolio who have been doing this work will be able to focus on their primary job functions, improving both efficiency and morale. Shifting transactional services for HR/Payroll, Accounting and Travel to a more centralized hub will reduce the risk inherent in the former model where employees were performing these tasks intermittently.

Since OGC has separate contracting authority for legal services and the VPGC portfolio includes the University's central procurement office, Purchasing and Contracting Services (PCS), we do not plan to move any of our portfolio's contracting needs to FASS. Rather, we are working with FASS to develop an additional position that will be part of PCS, but will be dedicated to processing and administering FASS contracts, which will formalize a connection between the hub and the central procurement office and improve service for FASS clients.

### Section B: Please answer *either* question 3 or question 4

3. If you are moving to a new regional business hub structure:

- a. Describe the target organizational structure

Aside from the addition of the new position to PCS, our org structure will not change.

- b. Share the current projected implementation timeline

We are hoping to begin implementation in March.

4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

*Not relevant.*

## **Report submitted by: VP Research and Innovation**

### **Section A: Please answer both questions**

1. How were business services provided in your portfolio in spring 2021 when the project launched?

The Office of the Vice President for Research and Innovation (OVPRI) provides integrated centralized business services to all the OVPRI research and innovation administration functions and the research core facilities (currently organized in to two units). The 14 centers and institutes (C&I) each have their own business services units. In spring 2021, each C&I had an individual or group providing business services to the unit.

2. What changes are you currently planning / implementing to improve services and address the risks identified in the [audit report](#)?

First, as the central unit for sponsored projects, we are working across the institution to strengthen and develop standard processes and best practices for sponsored projects administration. This includes coaching and collaboration with non-OVPRI units to strengthen sponsored administration services outside of OVPRI. Second, integrating and realigning our two existing central shared services units to improve service delivery.

Third, we are collaborating with the centers and institutes to integrate business services, using a phased approach that leverages staffing vacancies and other pressing needs to address service gaps.

### **Section B: Please answer *either* question 3 or question 4**

3. If you are moving to a new regional business hub structure:

- a. Describe the target organizational structure

We anticipate three business hubs to provide services to C&I with common research operations and administrative needs (e.g. physical science or biological science orientation). Aligning to common research will improve services to these units while creating more unified services. Our two non-C&I business hubs will be consolidated in one hub that provides core business services to the division.

- b. Share the current projected implementation timeline

Five of our 14 centers and institutes have consolidated services in two areas, with some significant organizational changes occurring this year. We anticipate additional integrations to occur in a phased manner over the next 24 months. The non-C&I administrative consolidation will likely occur in the next 6-9 months, as we are able to fill key positions. On-going sponsored project compliance obligations combined with very significant labor market challenges requires a planful and stepwise approach to ensuring that we provide high quality services to our research community and compliance with our obligations to our sponsors as we make organizational changes.

4. If your current business services structure is working well, please describe how the risks identified in the [audit report](#) are currently addressed?

*Not relevant.*

### **Section C: Optional**

5. Please share any other information about your plans to ensure that your portfolio provides effective and efficient business services. This may include collaborations, training, and workflow enhancements with University-wide offices such as University HR.

We have worked to prioritize areas that require more robust and consistent processes for sponsored awards administration, regardless of organizational structure. We began to establish teams this fiscal year to develop best practices for key processes across not only the OVPRI but in the schools and colleges as well, where sponsored research activity also occurs. We are leveraging our central grants group, Sponsored Project Services, to convene staff from across the institution to develop and disseminate best practices. We anticipate enhancing a certification process to promote the use of these best practices.