BAS exists to advance education, exploration and engagement
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INTRODUCTION

This strategic plan has been written to prioritize initiatives for the Business and Administrative Services (BAS) division through the year 2020. While the content of this plan does not reflect the breadth or depth of all operational activities that are required of BAS over this time period, it serves to bring focus and guiding principles to operations across the division. Success of plan initiatives will require engagement from every member of the BAS team as the division works to align culture, strategy and outcomes. This plan is intended to provide strategic direction, but must be malleable in order to respond to changing environmental conditions and evolving campus needs. Each goal of the BAS plan is linked to the UC Santa Cruz strategic plan in an effort to ensure that division priorities align with those at the campus-level. Plan progress will be measured and reported every quarter. New year-specific actions will be identified every January. Updates on the plan are available at the BAS website bas.ucsc.edu.
BAS Strategic Plan 2015-2020

I. UC SANTA CRUZ (UCSC) MISSION, VISION AND GOALS
The UCSC mission statement reads “UC Santa Cruz is a leading research university with a tradition of innovation in the education of students—built on values of social and environmental responsibility.” This is further defined by the campus vision statement, which holds that “UCSC will be internationally recognized for our scholars and students who work in and across disciplines to create knowledge and transform paradigms.”

As a support structure for the campus, the Business and Administrative Services (BAS) division exists to support the campus mission and vision. This is articulated in the division mission statement, which states that “BAS exists to advance education, exploration and engagement”. This strategic plan serves to align culture, strategy and outcomes in order to realize the divisional mission and support the campus strategic plan.

In 2014, the campus released six goals as part of the Envision UCSC 2020 strategic plan. The goals are:
1. Establish an academic planning process for the strategic allocation of resources.
2. Establish the research support infrastructure required to further propel UC Santa Cruz’s research distinction and productivity.
3. Advance student success.
4. Create a climate for employees that reflects the excellence of our campus and the quality of our staff.
5. Optimally balance processes for efficiency and effectiveness, institution risk, and process cost.
6. Strengthen our identity and broaden our reputation.

As BAS undertakes its divisional strategic plan, it is guided by the campus Principles of Community:
- **Diverse:** We embrace diversity in all its forms and we strive for an inclusive community that fosters an open, enlightened and productive environment.
- **Open:** We believe free exchange of ideas requires mutual respect and consideration for our differences.
- **Purposeful:** We are a participatory community united by shared commitments to: service to society; preservation and advancement of knowledge; and innovative teaching and learning.
- **Caring:** We promote mutual respect, trust and support to foster bonds that strengthen the community.
- **Just:** We are committed to due process, respect for individual dignity and equitable access to resources, recognition and rewards.
- **Disciplined:** We seek to advance common goals through reasonable and realistic practices, procedures and expectations.
- **Celebrative:** We celebrate the heritage, achievements and diversity of the community and the uniqueness and contributions of our members.
II. STEWARDSHIP AS OUR GUIDEPOST AND SIMPLIFICATION AS A VALUE
In addition to the campus level goals and principles, the BAS division framework of “Stewardship as our Guidepost and Simplification as a Value” also guides our work. This framework was developed during the 2013-14 academic year. Three basic premises underlie the framework:

1. **Stewardship** - We must be good stewards of the resources entrusted to us by our students, taxpayers and donors. This includes being stewards of our time, which in and of itself has a cost. We need to ensure team members are able to focus their time on supporting the core mission of our campus, as opposed to spending time processing forms or seeking approvals that are repetitive and not value-added.

2. **Empowerment and accountability** - We must create a culture of empowerment within BAS to ensure our team members feel engaged and valued. At the same time, we need to guarantee accountability mechanisms exist to ensure we are operating in accordance with UC policy and operating with the highest of ethical standards.

3. **Risk** - When our division has differing policies or additional requirements beyond UC policy, it actually adds risk as opposed to minimizing risk. This is due to the fact that differing or additional policies that are BAS-specific add confusion for our service units and create unnecessary delays.

Simplification is a value that can sometimes seem elusive in our field. Our work requires us to abide by and operate within a multitude of policies, laws and regulations. These are value-added and serve a critical role in protecting our university, our campus community and our resources. We must ensure we adhere to them and our campus remains in compliance. It is incumbent upon us to ensure we have mechanisms to support accountability and that we operate with the highest of ethical standards. However, it is critical to look beyond these value-added policies and requirements to identify other areas where we add steps in our processes that are not value-added, do not reduce risk, are cumbersome, and add confusion and error. Our students sacrifice so very much to be here. Our time is not without cost to them, and we must ensure our team members are able to focus their time on serving our core mission. Stewardship of the resources entrusted to us must be our guidepost and simplification is one of the many values that helps advance stewardship. The ideas needed to maximize stewardship and serve the mission of the campus will come from all levels of the organization. We must ensure that team members within BAS feel empowered and that avenues exist to hear, consider and implement their ideas. We also must ensure we have mechanisms to engage our clients and apply their feedback into our work.

The following must statements operationalize this ethos:
- We must put a value on the cost of time
- We must review where our team members can best spend their time in supporting the mission of the campus (what are they not able to do)
- We must include our clients in the solution development process
- We must understand the original intent of the processes and policies we have put in place
- We must ask if steps in the process truly are value-added in reducing risk/increasing accountability
- We must ensure we have reviewed our interpretation of UC policy
- We must avoid one-off tools
- We must look at the policy implementation and supporting tools/processes at other UC campuses

In the 2013-14 academic year, utilizing a range of feedback mechanisms, BAS identified priority simplification initiatives for 2014. Several internal division processes in the areas of travel, hiring, compensation review and entertainment were simplified. Several externally facing process changes also took place. For externally facing processes that are multi-faceted and require broad engagement, a solution development team (SDT) was charged to identify proposed changes. Four SDTs charged in 2014 focused on: recruitment, travel, procurement and the ERF. 2015 priority simplification areas will be identified in winter quarter 2015. The BAS Simplification STAR award, which recognizes BAS team members who advance stewardship and simplification within the division, was launched in 2014 and will continue to be an annual program to reinforce the aforementioned values.

III. THE PRINCIPLES OF ADAPTIVE ORGANIZATIONS
In order to advance the campus and divisional goals, it is critical that BAS engenders a culture that aligns with the characteristics of an adaptive organization. The notion of an adaptive organization comes from authors Heifetz, Linsky, & Grashow in their 2009 book "The Practice of Adaptive Leadership: Tools and Tactics for Changing Your Organization and the World". There are 5 characteristics of adaptive organizations:

1. Elephants in the room are named
2. Responsibility for the organization’s future is shared
3. Independent judgment is expected
4. Leadership capacity is developed
5. Reflection and continuous learning are institutionalized

Naming elephants: This describes a culture where individual team members can share their perspectives openly and honestly. We do not have to avoid tough topics or hard wire around situations. This environment is only possible if we strengthen trust across our organization and we strengthen the skills needed to engage in conflict that is healthy and not combative, hurtful or non-productive.

Sharing the responsibility for our organizations future: This describes a culture where every single team member understands that they play a critical role in developing a shared vision and then advancing our team toward it. Responsibility does not just lie with managers and supervisors. We ALL have a role to play in our BAS success.

Expecting independent judgment: This describes a culture where we are able to empower each team member to exercise their judgment as they carry out their work. This can only happen if we have a shared vision for our team, shared principles for how we engage in our work and engage with each other, and accountability mechanisms to ensure we are rowing in the same direction.
Developing leadership capacity: This describes a culture where we understand that every team member in BAS is a leader. Being a leader has nothing to do with what your job title is. This requires investing in the professional development of our team and allowing individuals to take on leadership roles that stretch their capabilities.

Institutionalizing reflection and continuous learning: This describes a culture where we are not stagnant and we do not become complacent. We work in a dynamic organization that is continually adapting to meet the needs of our students and position them to solve the greatest challenges facing our society. We must adapt with them and examine how we go about our BAS work and how we support the mission of the campus.

IV. THE BALANCED SCORECARD FRAMEWORK
The BAS strategic plan uses a balanced scorecard approach, which categorizes operational goals and performance into four categories: financial, constituents, processes, and learning and development. The goals, strategies and year one actions follow. Each goal area is mapped to campus level strategic planning goals.
V. BAS GOALS, STRATEGIES AND YEAR ONE ACTIONS

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

   **Strategies**
   - Build understanding of basic financial principles and funding models within BAS
   - Establish common set of principles and objectives for managers and supervisors to deploy and manage resources and communicate throughout units
   - Develop infrastructure supporting transparent and timely financial information
   - Identify and employ efficiencies, best practices and standardization

   **Year 1 Actions**
   - Develop division and unit-level financial principles
   - Create unit process maps of financial activities and benchmark to best practices
   - Develop simplified and standardized financial reporting tools for BAS
   - Identify financial information managers need for decision-making

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

   **Strategies**
   - Implement system-wide classification and competency standards
   - Educate employees about career advancement pathways
   - Ensure sustainability of the training and development program
   - Establish common set of guiding principles for employee engagement across the division
   - Celebrate team successes across the division

   **Year 1 Actions**
   - Adopt Career Tracks in BAS units
   - Implement coaching and mentoring program
   - Develop funding model for training and development
   - Develop division-wide and unit specific principles for employee engagement
   - Implement division-wide recognition program to celebrate team member successes

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

   **Strategies**
   - Develop comprehensive communication and outreach plans for stakeholder engagement
   - Develop a comprehensive and coherent measurement and assessment plan
   - Develop a rapid-response implementation team to address high-priority constituency needs

   **Year 1 Actions**
   - Develop a stakeholder map for each BAS function
   - Develop assessment processes
• Develop two-way feedback mechanisms for BAS and division clients

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

   **Strategies**
   • Align BAS processes with UC system-wide and industry best practices
   • Improve or eliminate inefficient and duplicative processes
   • Develop a comprehensive communication and feedback process

   **Year 1 Actions**
   • Identify problem processes and research best practices
   • Identify business processes that are confusing to our clients and would benefit from improved communication
   • Complete project plan for business processes that need improvement
   • Develop business manager institute

VI. TECHNOLOGY REQUIRED TO ADVANCE BAS GOALS
There are multiple technology needs that have been identified as priorities for BAS. Each of these tools is critical for supporting the core divisional mission and strategic goals. Priority technologies include:

• eForms/workflow software
• Recruitment management system upgrade
• Transportation and parking module
• Travel management module
• Emergency alert system upgrade
• Project management software

VII. PROFESSIONAL DEVELOPMENT AND THE FUTURE OF BAS
Many professional development opportunities have been offered and will continue to be offered for BAS team members. Professional development is critical for reinforcing core skills and values needed to manage change and achieve the BAS strategic goals. Development areas that have been prioritized in 2014 and will continue to be priorities for 2015 include:

• Change management
• Lean business processes
• Employee engagement
• Team health

VIII. MEASURING PROGRESS ON THE BAS STRATEGIC PLAN
Key Performance Indicators (KPIs) will be utilized to measure progress on the BAS strategic plan. While there will be many qualitative factors that will be reviewed annually to determine progress, quantitative indicators will also serve to track success. KPIs will align to the four areas of the balanced scorecard and will be aimed as follows:

• Financial – KPI's aimed at measuring fiscal health
• Learning and development – KPIs aimed at measuring employee engagement
• Constituents – KPIs aimed at measuring support of university mission
• Processes – KPIs aimed at measuring process efficiency and effectiveness

IX. COMMUNICATING THE BAS STORY
There are multiple communication avenues that are being utilized to “tell our BAS story”. These stem from communication roundtables that were held in 2014 to identify key opportunities for enhancing internal and external BAS communication. These mechanisms will be a critical component to successfully implementing and measuring success of the BAS strategic plan.

• Social media and the web
• Open houses
• Coffees
• Brown bag lunches
• Roundtables
• Road shows

X. STRATEGIC PLAN IMPLEMENTATION STRUCTURE
Ensuring successful implementation of the BAS strategic plan will be a division-wide effort. The following outlines the organizational structure that will be used to implement the plan, measure its success and determine needed adjustments in subsequent years.

• **Strategic Planning Leadership Team** – This team will oversee overall implementation of the plan. The team will include representatives from the BAS Team Leaders, BAS Team Managers, and front-line BAS team members. In addition, one representative from each of the four Goal Stewardship Teams, one representative from the Assessment Team, and one representative from the Communications Team will serve on the Leadership Team.

• **Goal Stewardship Team** – Each of the four goal areas (Financial, Learning and Development, Constituents, Processes) will have a stewardship team. The team is responsible for tracking implementation of the goals, strategies and actions of their goal area. They also are responsible for ensuring there are opportunities for all BAS team members to be engaged in implementation of their goal area. In addition, they will ensure the engagement of BAS clients and colleagues in implementation. One representative from each stewardship team will sit on the Strategic Plan Leadership Team.

• **Assessment Team** – The assessment team will develop and monitor the Key Performance Indicators (KPIs) for all four goal areas. One representative from the Assessment Team will sit on the Strategic Planning Leadership Team.

• **Communication Team** – The communication team will ensure the strategic plan is well communicated within BAS and across all non-BAS divisions. One representative from the Communications Team will sit on the Strategic Planning Leadership Team.
XI. BAS UNIT-LEVEL STRATEGIC PLANNING
During winter and spring quarter 2015, each unit within BAS will produce a strategic plan that aligns to the division plan. The following units will produce supporting plans:

- Colleges, Housing and Educational Services
- Financial Affairs
- Internal Audit
- Physical Planning and Construction
- Physical Plant
- Real Estate
- Risk and Safety Services
- Staff Human Resources
- Sustainability