Application for the 2012 Larry L. Sauter Award for Innovation in Information Technology

**Project Title**

UC Davis Shared Services Center Case Management Implementation Project

**Contacts**

**Andrew Dunn**
Project Sponsor
Director, Shared Services Center
amdunn@ucdavis.edu

**Gabe Youtsey**
Project Manager, Case Management Implementation Project Phase 1
Informational and Educational Technology
gdyoutsey@ucdavis.edu
Project Team
The SSC Case Management Implementation project was the result of three distinct, highly collaborative set of teams that included:

SSC Process Design and Implementation Team
The overall SSC team with primary oversight and responsibility for the design of the HR, payroll, finance, and IT processes, and the hiring of SSC staff.

Case Management Procurement Team
Team designated by the SSC Process Design and Implementation Team to lead the procurement of the SSC Case Management system.
**Procurement Team**

Dan Wright, Information and Educational Technology (co-chair)  
Bill Brooks, Human Resources (co-chair)  
Eben Sutton, Accounting and Financial Services  
Peter Brinckerhoff, Student Affairs  
Michael Sierra, Administrative and Resource Management  
Jeremy Smith, Department of Social Sciences

**Subject Matter Experts**

Robert Ono, Information and Educational Technology  
Brian Donnelly, Information and Educational Technology  
Chris Callahan, Information and Educational Technology  
Danh Duong, Information and Educational Technology  
Josh Van Horn, Information and Educational Technology  
Linda Durst, Administrative and Resource Management  
Molly Theodossy, Offices of the Chancellor and Provost  
Quico Gonzalez, Information and Educational Technology  
Rick Harris, Information and Educational Technology  
Su-Lin Shum, Administrative and Resource Management  
Sandra Stewart, Information and Educational Technology

**SSC Case Management Implementation Team**

Team designated by the SSC Process Design and Implementation Team to lead the implementation of the SSC Case Management system (ServiceNow).

**Project Sponsors**

Andrew Dunn, Shared Services Center  
Karen Hull, OE – overall SSC oversight  
Dave Shelby, Information and Educational Technology (rep. COO subcommittee and IET)  
Chief Operating Officers Subcommittee

**Project Team**

Randy Anderson, Organizational Excellence (IT program manager for OE)  
Luis Arias, Information and Educational Technology (Project manager)  
Jeff Bertany, Organizational Excellence (represented HR, payroll, finance teams, OE liaison)  
Sonja Colbert, SSC Help Desk Manager (Subject matter expert)  
Florencio Inzunza, Administrative and Resource Management (Lead developer, sys admin)  
Bob Jahn, SSC Finance supervisor (Subject matter expert)
Rose Mary Miller, SSC Finance Manager (Subject matter expert)  
Steve Pigg, Information and Educational Technology (IT SSC liaison)  
Michele Platten, Administrative and Resource Management (IT SSC liaison)  
Paula Driver Shimada, Learning and Development (Training coordinator)  
Michael Sierra, Administrative and Resource Management (IT SSC liaison)  
Hampton Sublett, Information and Educational Technology (IT SSC liaison)  
Terry Sugai, SSC Payroll manager (Subject matter expert)  
Lisa Terry, Organizational Excellence (Lead communications and training, OE liaison)  
Carolyn Warfield, SSC HR Manager (Subject matter expert)  
Gabe Youtsey, Information and Educational Technology (Project manager)

**Implementation Assistance Vendor**  
Linium (provided business analysis and software development expertise)

**Project Summary**

The UC Davis Shared Services Center (SSC) initiative is a campus-wide collaboration sponsored by Chancellor Katehi and Vice Chancellor Meyer, led by the Organizational Excellence team. The SSC sought to address the challenges of shrinking budgets by reducing administrative costs while actually improving service and operational efficiency by combining, streamlining and automating key administrative business processes with the aid of technology. The work involved with making this vision a reality would involve nearly two years of highly collaborative effort and over one hundred staff with knowledge and expertise from every administrative area, culminating in the Shared Services Center “Go Live” on February 14, 2012. One of the most significant accomplishments of this highly collaborative, multi-faceted project was the selection and implementation of a cloud-based Service or Case Management software tool, ServiceNow. ServiceNow was selected after a careful procurement effort to serve the needs of SSC’s newly redesigned HR, payroll, finance, and IT services. The selection and implementation of ServiceNow was a ground-breaking accomplishment as it involved the configuration of a cloud-based IT service management tool for use with non-IT business processes including HR, payroll, and finance. The highly innovative use of an Information Technology Infrastructure Library (ITIL)-based service management tool was brought about due to collaboration by a number of diverse administrative and academic staff. The implementation of ServiceNow as the SSC Case Management tool in November 2011 – February 2012 involved an intense effort involvement by the entire SSC staff, and a diverse team of administrative and academic unit staff on campus. The resulting Case Management system resulted in the following accomplishments:
- A web-based case management tool that facilitates service requests for HR, payroll, finance, and IT services to more than 6,500 users on campus.
- Able to gather important data providing visibility into business processes allowing the establishment of service levels, benchmarks, and key performance indicators.
- Interest in both central administrative units and academic units to replace disparate, legacy tools and enhance service through a common service management tool.
- Contributes to initial cost savings to campus of 20-25%, with additional savings over time.

**Project Description**

**Project Objectives**

1. Implement ServiceNow as an “end-to-end” case management system that handles both employee self-service and assisted-service for the processes specified by the Finance, HR, Payroll, and IT SSCs.

2. Implement an interim solution to automate the service request process that mimic’s ServiceNow’s Service Catalog so that end users can request service through a Web-based form beginning at the SSC Go Live’s on January 9th, while ServiceNow is being built for its production launch on February 14th.

3. Train the ServiceNow administrators, UC Davis trainers, and end users on how to use ServiceNow appropriate for their roles.

**Project Statement**

The UC Davis Shared Service Center Case Management implementation project entailed the setup and configuration of the ServiceNow Software-as-a-Service (SaaS) application for use by the Shared Service Center (SSC) as a method for department users to perform self-service and request services of SSC staff to be tracked through their lifecycle to completion. ServiceNow allows a single, integrated Information Technology system to serve as the method to request service, track the fulfillment of the service, ensure service levels are met, and provide many levels of information to employees requesting service and those fulfilling services, among other functions. The SSC Case Management Implementation project is a separate effort from the overall SSC Implementation project, but is very closely linked with that effort and many of the deliverables and timelines for the overall effort will affect the Case Management Implementation project.

**Business Need**
The goal of the SSC is to provide the highest quality customer service at the lowest possible cost. This is achieved by a combination of standardized best practices, training, economies of scale, empowered, multi-tiered staff support, and efficient technology tools. Having efficient technology tools is essential to achieving these goals because they directly affect the speed and ease with which problems are resolved, knowledge is accumulated, and process improvement is accomplished.

UC Davis did not own or use comprehensive case management tools in the HR, finance, payroll and IT functions that the SSC could leverage, and therefore a new solution was sought.

Other organizations on campus have also expressed a need and desire to acquire this tool for use in their services desks, to automate business processes, and other scenarios, including Division of Social Sciences, Computer Science and the College of Engineering, and Student Affairs. Broader, common use of the case management solution across campus makes sense for various reasons, including but not limited to:

- Knowledge accumulated by the tool is shared.
- Cross-functional problems are viewable by all, e.g. payroll problems caused by IT equipment failure are visible to both Payroll and IT organizations.
- Most service organizations have common service needs, such as incident management, problem management, asset management and service catalog. These are all part of the core functionality of the case management solution.
- We achieve a greater economy of scale in common tasks by increasing the number of users.
- Organizations using the case management solution will find an easier transition to consuming services from the SSC.”

**Project Deliverables**

<table>
<thead>
<tr>
<th>Project Deliverable</th>
<th>Description</th>
<th>Completion Date</th>
<th>Acceptance Criteria</th>
</tr>
</thead>
</table>
| Project Plan Summary       | Outlines conceptual project plans for discussion with project sponsors | 10/27/11        | - Presents the project plan at a conceptual level for discussion among project sponsors and leadership.  
- Forms the basis for more detailed project |
<table>
<thead>
<tr>
<th>Document Type</th>
<th>Description</th>
<th>Date</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Plan</td>
<td>Project schedule, project scope and planning document, communication plan</td>
<td>12/16/11</td>
<td>- Schedule includes all known tasks, includes appropriate relationships, and is base lined.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- All relevant sections of the scope and planning document are completed</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Communication plan to all relevant stakeholders complete</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Reviewed and accepted by project team</td>
</tr>
<tr>
<td>Service Catalog Planning Matrix</td>
<td>Spreadsheet that lists each planned service catalog item and its related business process and user access for HR, Payroll, Finance, and IT</td>
<td>12/16/11</td>
<td>- All SC items are documented, related to processes.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(All except IT)</td>
<td>- User access needed to each SC item is documented.</td>
</tr>
<tr>
<td>Business Requirements Definition Document</td>
<td>Captures detailed business and technical requirements for all 70 service catalog items, incident management, the knowledge base, and the core system. Further elaborates the SSC teams’ future state vision diagrams</td>
<td>Iterative delivery from 12/18/11 – 1/31/12</td>
<td>- All ServiceNow requirements are documented for HR, Payroll, Finance, and IT functions planned for the SSC.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Requirements are at an appropriate level of specificity so they can be tested against.</td>
</tr>
<tr>
<td>Detailed Design Document</td>
<td>Captures the detailed design specifications needed to configure ServiceNow to meet the business and technical requirements</td>
<td>Iterative delivery from 12/18/11 – 1/31/12</td>
<td>- All ServiceNow design specifications are documented for HR, Payroll, Finance, and IT functions planned for the SSC.</td>
</tr>
<tr>
<td>As Built Document</td>
<td>Ties in the build, testing, and meeting of requirements into a single document to ensure that a baseline record of each service catalog item and its associated workflow is captured when built has been tested and meets requirements.</td>
<td>Iterative delivery from 12/18/11 – 1/31/12</td>
<td>- Documents the build for each service catalog item and associated workflow, as well as incident and knowledge management.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Serves as a baseline for the delivered service catalog workflows, incident management functions, and knowledge management.</td>
</tr>
</tbody>
</table>
Project Approach
The project approach is a description of the strategy that was used to deliver the project. A major constraint of the Case Management Implementation project was the fixed Go Live project dates of February 14, 2012 for all the participating administrative units. Due to the short timeframe to implement ServiceNow, several strategies were employed to implement case management functionality for the SSC by the Go Live dates. The diagram below demonstrates the concurrent development approach that was undertaken to develop the Case Management System in a very short time. The project team worked simultaneously gather requirements, create mockups and prototypes, and then configure ServiceNow. To do this sufficient project team resources including project managers, business analysts, and software developers/configurers, and subject matter experts had to be made available to develop the Case Management system. The entire Share Services Center team of more than 70 employees participated in acceptance testing prior to Go Live.

Figure 1 – Rapid development approach for Case Management System
**Technology**

The Case Management system was configured using ServiceNow’s Software-as-a-Service (SaaS) service, according the services listed in the diagram below.

*Figure 2 – ServiceNow suite of applications*

ServiceNow is a configurable application that is highly flexible and extensible, allowing completely customized business applications to be “configured” in the application with very little or no application programming. However, because of its extreme flexibility and configurability, much application architecture planning configuration expertise is necessary. The team treated the SSC Case Management integration project as a traditional software development project, with all the requisite analysis, design, construction and testing phases, all in an 8-week timeframe. The SSC CM System used the incident, service catalog, and knowledge modules on which to build the Case Management system. Future phases may include problem, change, asset, and configuration management. Although these applications align directly with ITIL operation areas, UC Davis decided to use the ITIL service management best practices as a new delivery model for non-IT services including HR, payroll, and finance.
Integrating ServiceNow into the UC Davis environment is very simple. Authentication is provided through federated authentication using Shibboleth, according to the SAML 2.0 standard that is available through ServiceNow. Employee data is populated nightly through a secure FTP location where ServiceNow “pulls” that data nightly and populates it from UC Davis’ identity management system, Mothra.

**Project Timeline**

Figure 3 – Project Timeline

- **Feb-11 - Oct-11**
  - SSC Design, Procurement, and Contracting
- **Dec-11 - Feb-12**
  - HR, Payroll, Finance CM Implementation
  - Dec-11 Training Begins
- **Feb-12 - Apr-12**
  - IT CM Implementation and Enhancements
  - Sep-11 Process Design Complete
  - 2/14/12 Go Live (HR, Payroll, Finance)
  - Apr-12 Go Live (IT)

**Conclusion**

The UC Davis Shared Services Center (SSC) Case Management Implementation system provided immediate value to the campus in terms of the technology that was implemented to the SSC, the highly collaborative and focused nature of the implementation, and the vision for future campus and even UC and education community-wide applications for future use. The use of
ServiceNow and ITIL-based service delivery standards to deliver non-IT services (HR, payroll, finance) has implications for standardizing how a host of business processes can be streamlined and automated with tools that can be reused or repurposed easily. Many of the other UCs and universities around the country have taken an interest in ServiceNow as a cloud alternative to very expense on campus systems. UC Davis has taken the next step in innovation by providing a real life proof-of-concept for non-IT use of ServiceNow and cloud-based service management tools like it. The highly collaborative approach by involving focused, diverse collaborative teams of both academic and administrative staff from a number of departments in the design, procurement, development and implementation of the SSC Case Management System and the SSC organization as a concept makes it a worthy recipient for the Larry L. Sauter Award.
Larry L. Sautter Award Committee:

The implementation of a shared services center (SSC) is just one of the many ways that UC Davis is meeting its goal of Organizational Excellence, an administrative initiative launched by Chancellor Linda P.B. Katehi in 2010. “Case Management” is one of the core technologies implemented in the SSC, with the primary goal of reducing costs, improving service, and increasing process efficiency across our administrative divisions. In doing so, resources will be reallocated to support the academic mission of teaching, research and public service.

Although the case management system is initially supporting only the SSC, our central units will eventually use the tool to access, track and resolve issues and service delivery. Several UC Davis schools and colleges have also expressed a high level of interest in utilizing the tool for broad service management purposes.

At UC Davis, the case management system was deployed in a swift time frame (eight weeks), but this did not prevent the work group charged with the implementation from proceeding with a high degree of collaboration, problem-solving and focus on documenting and improving our business processes.

One of the greatest benefits of the case management system is the added capacity to gather important data relative to our administrative workflows, processes and service delivery in the areas of finance, human resources and payroll. Data of this type has historically been difficult to gather, but this application has provided us with the opportunity to establish informed benchmarks, key performance indicators and service level agreements across departmental boundaries.

I recommend this project be considered for the Larry L. Sautter Award for innovative use of technology.

Sincerely,

John Meyer
Vice Chancellor
Administrative and Resource Management
May 15, 2012

Re: UC Davis Case Management Sautter Award Nomination

Dear Larry L. Sautter Award Committee:

At a time when the University of California is under great budgetary pressure, innovative collaboration to reduce administrative costs while improving service seems like a near impossibility. Yet that is exactly what is being achieved by the UC Davis Chancellor’s Shared Services Center (SSC) initiative, which included the implementation of revolutionary cloud-based case management software ServiceNow to manage the payroll, human resources, finance, and information technology services performed by the SSC.

The ground-breaking approach taken by the SSC was to use an Information Technology Information Language (ITIL)-based software tool normally used for IT service management, and to leverage that strong service management approach and tool for both IT and non-IT use, in payroll, human resources and finance. To my knowledge there are only a few cases nationally where cloud-based service management software is being used for a number of critical non-IT services. This approach was the result of close collaboration between nearly one hundred staff from a variety of academic and administrative units, and technical and business disciplines.

I am pleased with the outcome of the Shared Services Center initiative, the implementation of cloud-based case management software ServiceNow, and the leadership role that Information and Educational Technology (IET) played in close partnership with the Organizational Excellence team in the Chancellor’s Office. The high level of innovation the team demonstrated in enhancing service while reducing cost in such a wide-ranging, collaborative fashion is just the kind of work that should be encouraged system-wide and beyond, and I applaud the nomination of this project for the Larry L. Sautter Award in recognition of this effort.

Sincerely,

Peter M. Siegel
UC Davis Chief Information Officer and Vice Provost
Information and Educational Technology
May 11, 2012

Larry L. Sautter Award Committee:

Recently, the UC Davis campus launched its new Shared Services Center (SSC), providing transactional service for finance, human resources and payroll to all administrative divisions on campus. The goal of the SSC is to provide administrative services with the highest quality customer service at the lowest possible cost. To succeed in this goal, it was imperative that the SSC incorporate enabling technology into its business processes. The campus selected the ServiceNow case management application through a RFP, but the real work was yet to come. To meet the SSC’s February 14 launch date, the comprehensive technology system was implemented over a mere eight weeks, through long hours, hard work, a shared vision and teamwork.

While case management systems are not unusual in campus information technology environments, the use of case management to automate and enable workflow for business functions (i.e. finance, human resources and payroll) is not customary in higher education. A team of dedicated business managers, information technology developers, project managers and system administrators worked together to develop and discuss business and technology requirements to create system solutions that enable our business processes to be standardized, monitored and measured. The highly collaborative and innovative approach to creating business solutions is one that could be modeled across the UC and higher education.

The SSC case management project required a high degree of awareness, flexibility, innovation, collaboration and team problem-solving from each of its contributors. By improving the efficiency and effectiveness of its business processes UC Davis is more able to focus its limited resources on achieving its mission of teaching, research and public service. I highly recommend the UC Davis shared services center case management system implementation for the Larry L. Sautter Award for innovative use of technology.

Sincerely,

Karen Hull
Associate Vice Chancellor
Human Resources