SEAS Office of Finance
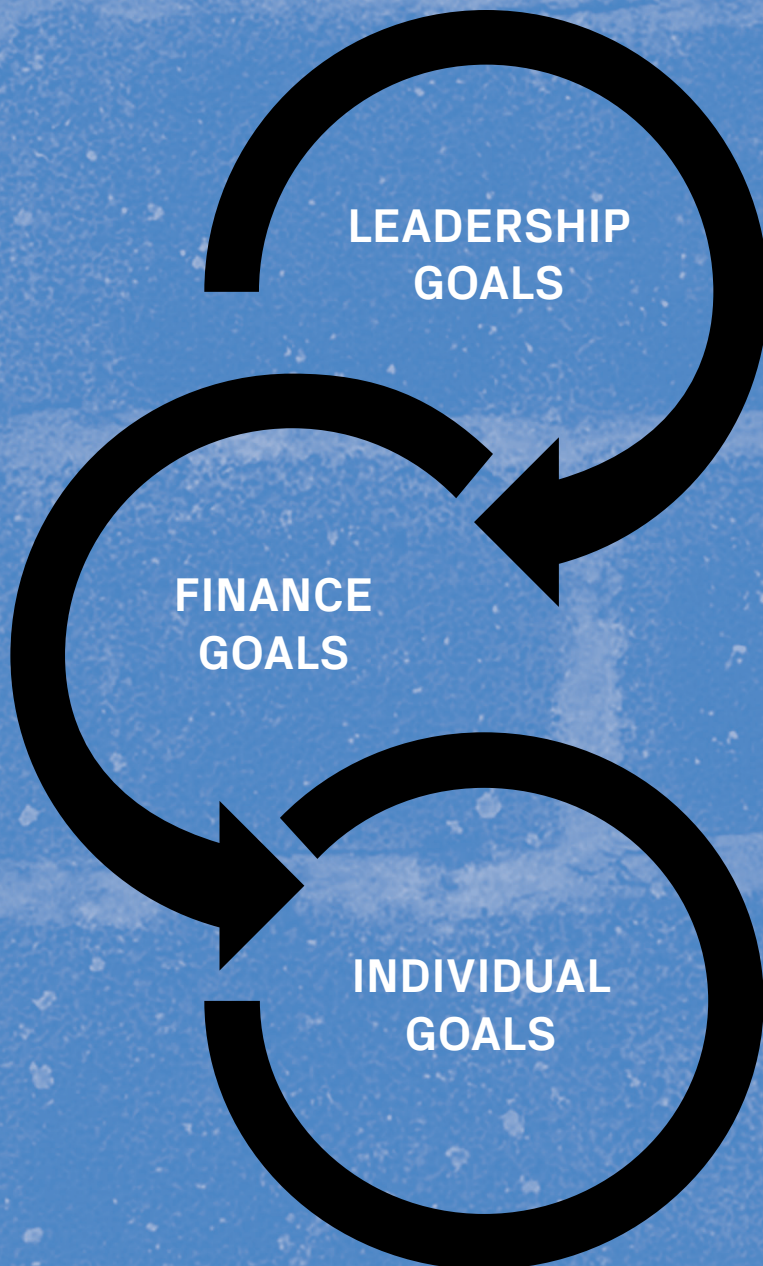
STRATEGIC
Alignment

ACADEMIC YEAR 2018/2019

HARVARD
JOHN A. PAULSON
SCHOOL OF ENGINEERING
AND APPLIED SCIENCES

LEADERSHIP
GOALS

FINANCE
GOALS

INDIVIDUAL
GOALS

MISSION

Harvard engineering is where engineering, foundational science and the liberal arts converge. Through education and research, we address global challenges and serve society.

VISION

In 10 years, SEAS will…

» Have a global reputation as top engineering program

» Be a hub with buzz
  » draw students, faculty from across Harvard
  » engage the community, industry

» Have new, re-invented, better space in Allston and Cambridge

» Be more diverse (faculty, staff, students)

» Host more high-impact industry partnerships, translational research

» Have a critical mass of faculty

» Be a model for cross-university collaboration

» Play a greater role in Gen Ed

» Be an engaged citizen within our communities

VALUES

Respect for all

Agility

Service to the greater good

Institutional citizenship

A culture in which it is safe to express ideas

Creativity

Diversity of backgrounds and perspectives

MISSION

The Office of Finance provides strategic decision support, sound financial planning, internal control, and customer service to seas faculty, staff and students, university colleagues, and external stakeholders.

We foster a culture that promotes financial discipline and sustainability, transparency, and collaboration.

By doing so, the Office of Finance supports the school's mission to serve society and address global challenges through education and research.

HIGH PERFORMANCE

Adapted from Harvard Kennedy School guidelines by Tim Fater.

ABILITY

ENGAGEMENT

ASPIRATION
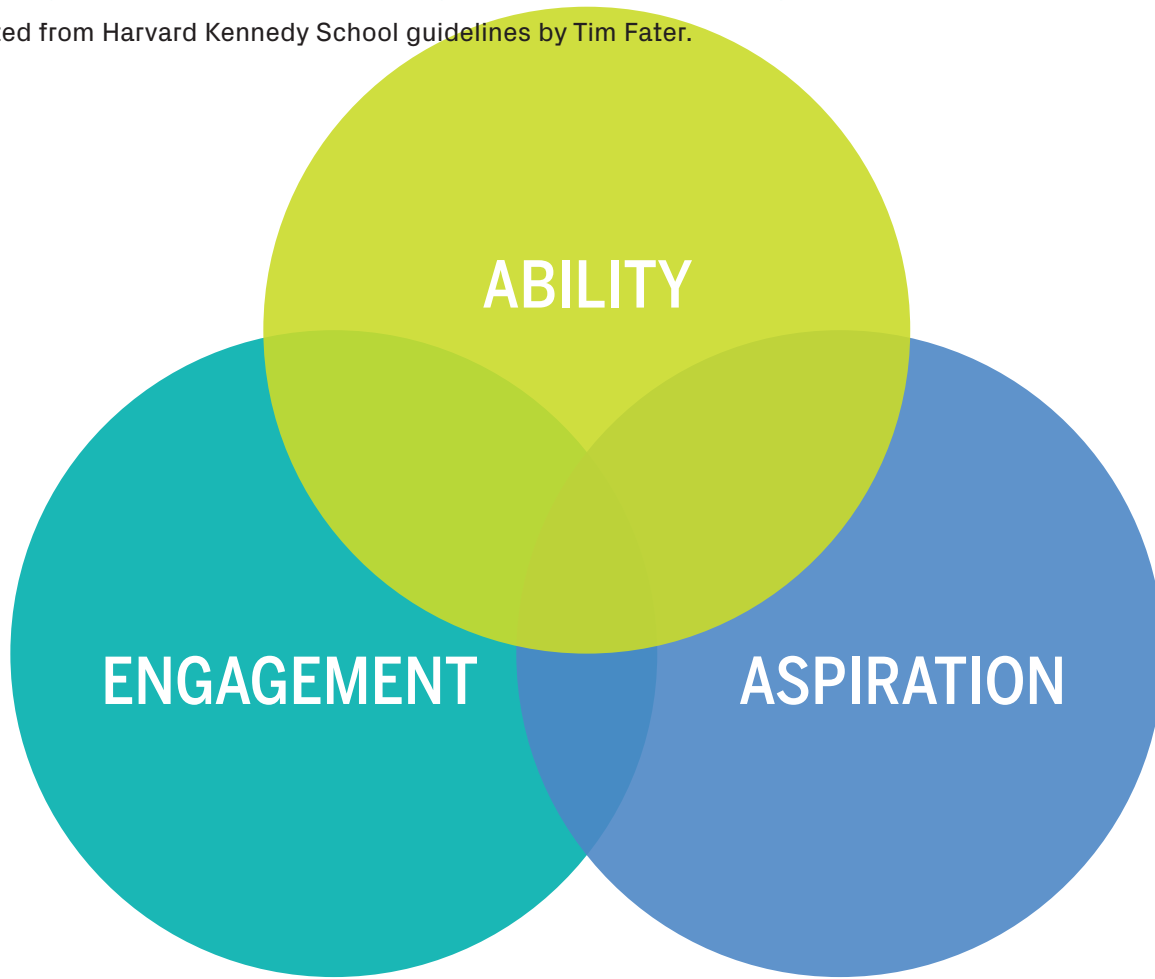
ENGAGEMENT

Do you set a high bar for your work and motivate others to exceed expectations?

Do you help others when they have a heavy workload?

Are you personally connected and have a constructive attitude towards the team, office, and our school?

Do you embrace change?

Do you evaluate both your work and the team's and initiate efforts to improve?

Have you demonstrated your own commitment to professional development and growth?

ABILITY

Do you make the most of your current role and responsibilities, wringing lessons from all your experiences?

Are you recognized as an expert in the field by people within and outside the organization?

Do you demonstrate strong interpersonal skills and emotional intelligence?

Do you demonstrate the energy and confidence to take on new tasks, including knowing when to work through challenges yourself and when to raise your hand for help?

Have you demonstrated consistent application of efforts and accurate results?

ASPIRATION

Do you display initiative and increase your responsibility year after year?

Do you broaden your exposure outside of your role?

Do you demonstrate a desire to know how things work and if they can be improved?

Do you demonstrate a strong work ethic?

Staff Expectations

Written and compiled by Tim Fater

COMMUNICATE TIMELY & EFFECTIVELY

» **Respond to voicemail or email within 1-2 business days.** If you do not have an answer, acknowledge, ask for timeline to determine urgency, keep requestor up to date with progress.

» **Confirm when a task has been completed/close the loop**.

» **Pave the way for tough decisions**. Discuss with the requestor and other stakeholders in advance of a decision to make sure you understand the situation and have considered their perspective.

» Given our customer service orientation, **our answer should rarely simply be "no"**. Employ the "Positive No" approach: Yes, No, Yes.
(Yes, thank you for reaching out in advance, I am happy to help;
No, unfortunately, the policy does not allow this;
Yes, here is some context about why this is disallowed, and offer an alternative).

» **Supplement email with phone calls and/or face-to-face meetings**. Document important conversations with a follow-up email.

» **When communicating change, include the purpose of the change**: why are we doing this? Why did we have to change? What are we trying to accomplish? If people have a clear sense of purpose, they will be much more willing to participate.

» When sending mass emails, include a note in parenthesis at the beginning of the email **letting people know if the content requires action** or if it is purely informational.

» **Install voicemail-to-email** to ensure timely receipt of messages.

BE PROACTIVE AND TAKE THE INITIATIVE

» **Take time to document processes/deadlines** to create an audit trail, opportunity for re-performance and future refinement. Share this information with stakeholders.

» If something comes across your desk, be willing to shepherd it/follow through to **ensure questions are answered/needs are met**. You do not necessarily need to know the answer, but you should be willing to find the person that does know the answer and make the connection.

» **Do not reinvent the wheel**. Develop a network of peers to call when questions arise. We rarely face issues that have not been encountered by one of our colleagues around the university.

» If you see something, do something. **Raise issues and propose solutions**. Employ the "small test of change" approach. Keep your supervisor updated to ensure your efforts are in line with other goals and initiatives.

» **Be thoughtful about the implications of changes**, consider impact to people and processes and engage a few key stakeholders to ensure buy-in.

STAY ORGANIZED AND PLAN AHEAD

» **Look ahead and anticipate workflow.** Raise your hand if you are too busy, need help, or have capacity.

» If you initiate a meeting: **send a calendar invite, share an agenda, and distribute materials in advance** to maximize productivity.

» When invited to a meeting: **review pre-reads** in advance and be prepared to contribute to the conversation. Coordinate with other participants to ensure someone has the responsibility of **following-up with a summary, action items, and next steps**.

» **Prepare for time away** (vacation and other absences):

1. Request time off in advance

2. Communicate what you have on your plate (upcoming meetings, deliverables, etc.) and write a few brief notes regarding your plan to accomplish these, along with a backup designee

3. Send an out-of-office message and update the shared vacation calendar. For longer requests, communicate with key colleagues in advance.

PRACTICE REAL-TIME FEEDBACK

» **Practice sharing both positive and constructive feedback**, and encourage others to do the same. Giving and receiving feedback is important for everyone's growth and development.

» Upon completion of a process or deliverable, **ask for feedback** and use that information to inform future efforts.

» Approach the performance review process thoughtfully and **complete deliverables timely**.

» **Managers should share news, information, and feedback** with their employees; employees should similarly manage up.

BE PROFESSIONAL & SELF-AWARE

» **Invest in relationships**. Connect with coworkers/peers often to ask for feedback (outside of typical/day-to-day work questions).

» While **risk-taking is encouraged**, we are Finance people; our work is expected to be **accurate and complete**.

» Be cognizant that **you are a subject matter expert** and our customers may not be. Makes sure your instructions are understood.

» **Act and dress appropriately** for the business setting.

» **Limit non-work activities** during business hours.

» If you have extra capacity, **ask a coworker if they need help**, connect with a colleague, or let your manager know.

» **When teleworking, employees must engage only in Harvard work**; no other substantive work, such as child care or personal projects, should be conducted during work times. Use Paid Time Off for these situations.

PARTICIPATE

» **Participate in school and university events** including All Finance Meetings, Executive Dean Coffees, All Hands Meetings, Chalk Talks, HR offerings, and other trainings and workshops. Share what you learn with others.

» **Invest in your own career growth and development**. Attend CWD classes or other learning opportunities often.

» **Engagement is a shared responsibility**; identify ways to increase engagement in your group.

Competency Development

Examples of growth and development at any level in your career.
Adapted from the Harvard Office of Financial Strategy and Planning.

1 CONSCIOUS COMPETENCE
Able to use the skill with effort

2 UNCONSCIOUS COMPETENCE
Skill becomes automatic

WORK STYLE

CONSCIOUS COMPETENCE	UNCONSCIOUS COMPETENCE
» Delivers work on time, accurately and well-presented	» Structures own work; anticipates work based on team needs
» Meets deadlines; is well organized	» Contributes to organizational support and planning
» Prioritizes workload sufficiently with manager input	» Connects work to the big picture and the school's mission, vision, values
	» Completes tasks with limited supervision from manager

PROBLEM SOLVING

CONSCIOUS COMPETENCE	UNCONSCIOUS COMPETENCE
» Handles agreed-on analysis well; is on top of the details	» Structures own analyses and constructs new analytical approaches
» Derives "so what's" from analysis	» Identifies core issues and develops perspectives.
» Identifies problems and possible solutions	» Derives actionable recommendations from analyses and implements solutions.

TEAMWORK & LEADERSHIP

CONSCIOUS COMPETENCE	UNCONSCIOUS COMPETENCE
» Participates thoughtfully and consistently in team discussions; comments help to move the conversation forward.	» Is a team thought-leader, even outside of immediate scope / portfolio.
» Acts as a helpful resource to the team.	» Is sought out by and actively draws in others
» Makes consistent effort to contribute to team efforts.	» Motivates others; manages expectations and actively seeks / delivers guidance to team and manager

	1 **CONSCIOUS COMPETENCE** Able to use the skill with effort	**2** **UNCONSCIOUS COMPETENCE** Skill becomes automatic
EXTERNAL RELATIONSHIPS	» Builds solid working relationships with others » Is sensitive to the needs of others and gains respect » Viewed as a helpful resource	» Leverages network to identify and implement best practices and solutions to common problems » Proactively engages with community as a thought-partner and advisor
PRESENCE & COMMUNICATION	» Participates in meetings » Speaks articulately; asks relevant questions » Captures the message clearly and concisely in written and verbal communications » Recaps key points of meetings » Suggests "the what" when giving others feedback	» Can steer conversation and facilitate meetings » Addresses broader issues as well as factual questions; frames problems in an insightful way for discussion » Able to communicate to senior audiences, even when the conversation goes "off script" » Recaps key points of meetings and proactively identifies next steps » Recommends "the how and why" when giving others feedback with consideration to big picture
OWNERSHIP & INITIATIVE	» Demonstrates initiative » Accountable for own work; keeps track of open items » Readily accepts follow-up that expands on prior work » Thinks about new and better ways of doing things in areas of expertise » Follows up and asks for timely feedback	» Takes leadership role on projects » Builds on prior work to improve future work » Anticipates and suggests areas of follow-up » Regularly suggests and refines new and better ways of doing things

FY19 Goals

DEAN DOYLE

» Diversity, Inclusion and Belonging

» Support new master's degree programs

» Industry collaborations

» Branding

» External relations*

» Non-degree education*

» Active Learning*

» Administrative review*

*via Executive Team task force

EXECUTIVE DEAN FOR ADMIN AND FINANCE

» Continue Allston & dual campus planning (see addendum)

» Complete MYFP/ sustainable financial model, pending FY18 outcomes (w/Tim F.).

» Possible changes with changes in FAS and DivSci leadership changes.

» Complete computing/ IT strategic plan (w/Jim).

» Continue to prioritize diversity, inclusion, and belonging.

» Clarify SEAS Title IX processes.

» Continue priority of enhancing relationships with industry/ corporations (w/Ellie).

» Evaluate administrative organization, especially area administration, in light of strategic priorities dual-campuses, and faculty and student growth.

» Start conversations with Wyss about SEC logistics, IP management, and renegotiate OH MOU.

» On-board new Assistant Dean for Human Resources.

» Update LEMP, Business Continuity Plans, and Risk Assessment, as a result of new operation models with FAS and dual-campuses.

» Enhance use of Executive Team, Management Operations Group, and Executive Deans' Coffees.

» Offer SEAS Leads 3.0.

» Assess and possibly continue Mentoring Circles for staff.

» Support team in goal achievement (see addendum)

ASSISTANT DEAN FOR FINANCE

Continue toward sustainable financial plan, including:

- » FAS financial model (including Compact review)
- » SEC financial model
- » Space planning and rationalization (Cambridge and Allston)

- » Participate in Administrative Review Committee to examine any adjustments to our organizational structure that may be warranted by the move to a dual-campus operating model, including potential for FTE growth in MYFP and/or budget (with Tim B)

- » Explore impact of sustained undergraduate student growth on teaching needs, including undergraduate and expansion of master's and non-degree programs, in conjunction with MYFP (with Peter).

- » Participate on the non-degree task force, to review SEAS activities in non-degree education, explore opportunities, and advise the Dean about future direction for school efforts (with Cathy Chute)

- » Reestablish Finance's central role in develop-

ing fiscal policies and procedures, compliance and control, efficiency and effectiveness of systems by re-branding Fin Ops to meet current business needs (training and guidance, monitoring, process improvement); clarifying intersections of responsibilities and authority between the Areas/RAO and Finance; developing an annual work plan with input from the community; reimagining Finance/Area focus groups to work together to achieve annual work plan (with Beth)

- » Support Institutional Research maturation by bolstering capacity and aligning priorities with School leadership

- » Pilot a streamlined process for acceptance of corporate funding (with Ellie, Crate and OVPR)

- » Complete budget control and planning improvements with Faculty Affairs and

Academic Programs (with David and Diane)

- » Support program development, including MDE, MDS, MS/MBA, and Business Analytics

- » Update Institutional Risk Management and Business Continuity Planning as a result of new operating models with FAS in facilities, research ops, etc.

- » Support new systems implementations, including Positioning Tracking and Control (with HR), new graduate student funding database, and Buy2Pay

- » Continue mentoring circles for SEAS staff

- » Update "SEAS Finance Alignment" to frame priorities for staff alignment and to share priorities with other

SEAS departments

- » Share information: revise approach to monthly All Finance meetings, meet more frequently with Finance and Areas

- » Establish process to review MOU's annually

- » Review graduate student funding challenges, including payroll/operations and graduate student economics

- » Prioritize diversity, inclusion, and belonging by reviewing the Climate Survey results, participating in School-wide conversations and trainings, facilitating conversations within Finance, and continuing to foster an inclusive and welcoming team environment.

FY19 Goals

OFFICE OF FINANCE

CULTURAL GOALS

» One Finance
  (build on existing team
  synergies and cross-team projects)

» Invest in relationship building
  ("walk the plant floor")

» Share information and deepen
  partnerships with key partners
  (RAO, ADRAFs, ADs, etc.)

» Maintain strong culture of flexibility
  (balanced with business needs)

» Balance ability to prioritize work
  with agility... once started, finish!

» Welcome individuals from diverse
  backgrounds, perspectives

» Deepen SEAS' university reputation
  as open and transparent

» Promote SEAS at the university-level
  and SEAS Finance internally

» Maintain emphasis on professional
  and career development by:

  » Expanding definition of "growth"

  » Establishing ground rules

  » Talking regularly

  » Providing opportunities via: education,
    exposure, and experience

OTHER OFFICES

ALLSTON AND DUAL CAMPUS PLANNING

» Draft Cambridge back-up plan.
(Pam CR)

» Allston equipment/cores.
(Leigh)

» Start lab and office move logistics.
(Pam CR and Leigh)

» Complete food service plans,
including College meal plan.
(Tim B.)

» Refine operating budgets.
(Tim B. and Tim F.)

» Develop space governance
practices and policies.
(Pam CR)

» Academic program planning
with FH and DH.
(Tim B.)

» Continue administration
change management.

» Plan for community
transition and maintenance.
(Annemarie)

» Finalize research space
policy/guidelines.
(Pam CR and Leigh)

» Continue IT planning with
HUIT and SEAS IT.
(Pam CR and Jim)

» Assist in developing research
innovation program.
(Tim B.)

ADMINISTRATION AND FINANCE TEAM

AREA ADMINISTRATION

» Area administration model

» Faculty off-boarding

» Right-size individual faculty support

» Dual campus organization

COMPUTING/IT

» Strategic planning process

» Research computing model

» New web page

CORPORATE PARTNERSHIPS

» Strategic plan Faculty Affairs

» Financial coordination

» Cluster changes

HUMAN RESOURCES

» SEAS Leads 3.0

» Mentoring circles

» Area administration model

» Dual-campus community transition
and maintenance.

RESEARCH ADMINISTRATION

» Area admin support model

RESEARCH OPERATIONS

» SEC equipment & core op model

» Wyss operations (with FAS facilities)

» Dual campus lab safety

SPACE PLANNING & DESIGN

» Cambridge space planning

» Allston and dual campus planning

ENGINE

eCommerce

Privacy & Security

Medical Technologies
& Human Health

Tissue
Engineering

Law

Eco
& Fi

Medicine
& Hospitals

Business

Applied
Physics

Applied
Mathematics

Institutes

Bioengineering

VE RI TAS

Environmental
Sciences &
Engineering

Government

Computer
Science

Materials
Science &
Mechanical
Engineering

Electrical
Engineering

Public
Health

Faculty
of Arts &
Sciences

Design

Education

Water &
Management

Science &
Policy & M

Design Engineering

Quantum Engineering

RECOMMENDED READING

The Political Economy of Cost Control at a University Campus
Lawrence S. Bacow

Learn to Love Networking
Harvard Business Review

Power of A Positive No
William Ury

Leading Your Team Through Change: the 4 P's
William Bridges

Blended Learning for Leadership
Center for Creative Leadership

How to be a CEO, From A Decades Worth of Them
New York Times

Make Your Values Mean Something
Harvard Business Review