The appraisal of the institution is made in relationship to the criteria and guidelines of APPA’s Facilities Management Evaluation Program (FMEP). The evaluation report comments on the strengths of the institution and, when appropriate, offers suggestions and recommendations for improvements of performance. The report constitutes no endorsement or denial of endorsement, of the institution by APPA or by the members of the evaluation team. This document was created for the exclusive use of the institution named. All contents are confidential.
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Overview

Founded in 1944, the University of California (UC), Santa Barbara (UCSB) is a member of the 10-campus University of California system. Nestled between the Pacific Ocean and the scenic Santa Ynez Mountains, UC Santa Barbara is an elected member of the Association of American Universities (AAU), and its faculty includes six Nobel Laureates, numerous recipients of Guggenheim and Fulbright fellowships, and scores of elected members of national and international academics and societies. The university serves more than 22,000 students, including approximately 3,000 graduate students, who are enrolled in the more than 200 majors, degrees, and credentials offered by the College of Letters and Science, the College of Engineering, the College of Creative Studies, the Bren School of Environmental Science and Management, and the Gevirtz Graduate School of Education. More than half of UCSB’s undergraduates participate directly in faculty research, and the campus takes pride in its student diversity, including the largest percentage of Latino students in the AAU. The campus has been particularly successful in gaining federal support for research, and the Campaign for UC Santa Barbara has raised $979 million toward the billion-dollar goal to ensure the excellence of the campus and its programs for future generations.

UC Santa Barbara is a premier research institution with an outstanding faculty and talented and diverse student body and is distinguished by its interdisciplinary programs and commitment to innovation. Academic units on campus include the College of Letters and Science, the largest, with more than 17,000 undergraduates and 2,000 graduate students, the College of Engineering, the College of Creative Studies, and two professional schools, the Bren School of Environmental Science & Management and the Gevirtz Graduate School of Education.

The academic community of faculty, students, and staff is characterized by a culture of interdisciplinary collaboration that is responsive to the needs of a multicultural and global society. In recent years, the campus has enrolled the most academically competitive and ethnically diverse classes in its history. Its commitment to excellence and diversity is indicated by its designation as an “emerging Hispanic serving institution,” an institution with 15 to 24 percent Latino enrollment and the potential to meet the federal HSI definition in the near future. UC Santa Barbara also participates in NCAA Division I athletics, with roughly 450 student athletes enrolled across the university. The UCSB campus is dedicated to the principles of sustainability, with a history of conservation and preservation ingrained in the ethic of the university. Active and award-winning sustainability programs span facilities, academics, research, and local community interactions.

In 2007, UCSB released a strategic academic plan for 2007-2025 that supports the campus’s long-range development plan (LRDP) and identifies areas of growth and progress for the

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1 UCSB 2014-2015 Campus Profile
university. The Strategic Academic Plan is based on a core framework, which includes balanced commitments and selective investments; building outstanding departments; supporting student, faculty, and staff diversity; and supporting the existing strength in interdisciplinary themes. The LRDP projects additional enrollment growth to 25,000.

**Leadership at Santa Barbara**

Under the leadership of Chancellor Henry T. Yang, UC Santa Barbara has risen to be a top ranked university with a global presence and reputation as a world-class research institution. The campus has thrived in every way, including the development of a renowned faculty and greater external support in the form of grants, contracts, sponsored research, and philanthropic giving from foundations and individuals.

Dr. Yang was named UCSB’s fifth chancellor in 1994.
Facilities Management Organization

Facilities Management (FM) is an organization primarily charged with providing campus operations and maintenance services to the campus. Its focus is on the state supported, general funded buildings and infrastructure. FM has done a very good job of collaborating with campus non-state funded departments on campus and has been proficient in developing campus partnership relationships.

The department is under the direction and oversight of David McHale, director of Facilities Management. FM has approximately 260 FTEs, serving a general funded physical plant facility of 159 buildings with an average building age of 44 years, comprising 4.1 million gross square feet of space. The campus acres maintained is reported to be 260 acres.

UC Santa Barbara has an estimated capital renewal/deferred maintenance backlog of approximately $400 million. The annual expenditure to address the deferred maintenance is approximately $4 million. The annual rate of accumulation of additional deferred maintenance exceeds the annual expenditures to address the new needs, plus the backlog of needs.

The FM annual operating expenditures for fiscal year 2013-2014 for operations and maintenance of state supported facilities are reported as $29.7 million. Campus state supported purchased utilities expenditures were an additional $13.6 million. The annual facilities operating expenses per gross square foot of maintained space is $7.26.²

The FM organizational design aligns three operating units under the direction of three associate directors who report to the director of Facilities Management. The FM operations associate directors include:³

Director, Facilities Management
David McHale
Personnel: 18 Positions

Planning-Projects-Systems
Jeff Monteleone, Associate Director
Personnel: 40 Positions

Grounds and Custodial
Jon Cook, Associate Director
Personnel: 153 Positions

² 2013-14 APPA Facilities Performance Indicator Survey (FPI)
³ FM Employee Roster, May 2015
Physical Plant Energy
Vacant, Associate Director
Personnel: 49 Positions

Facilities Management has articulated an organizational mission statement as follows:
“The mission of Facilities Management is to support the UCSB commitment to higher education and research by providing the highest quality campus environment. We will operate, maintain, and improve physical assets of the campus in a professional manner while promoting sustainability and stewardship.”
Introduction

This report reflects the observations and recommendations of a team of senior university facility administrators who visited the University of California, Santa Barbara from April 26 through April 30, 2015. The major focus of this report is the evaluation and assessment of the campus Facilities Management Department (FM). The review was patterned after the Facilities Management Evaluation Program (FMEP) of APPA: Leadership in Educational Facilities. The review was conducted at the request of Vice Chancellor for Administrative Services Marc Fisher.

The judgment and recommendations included in this report are based on the review team members’ many years of experience in college and university FM combined with extensive interviews, detailed document reviews, and studied comparisons.

Members of the review team were selected because of their work in conducting a FMEP of UCSB in 1996 and because the team members comprise higher education facility and administrative professionals who are experienced in managing complex institutions. Members of the review team include the following individuals:

Jack Hug, Team Leader
APPA Past President
APPA Fellow
Assistant Vice Chancellor Facilities and Auxiliary Services, University of California, San Diego-Retired

William Daigneau, MBA, P.E.
APPA Fellow
Vice President, University of Texas MD Anderson Cancer Center-Retired

Robert Hascall
Vice President of Campus Services, Emory University-Retired

Pieter J. van der Have
APPA Past President
Assistant Vice President, University of Utah-Retired
Faculty, Weber State University

Paul Tabolt, Vice Chancellor for Administration
University of Colorado Boulder Campus-Retired
The review team conducted extensive interviews within the Facilities Management Department and with numerous principal administrators, academic and research department heads, faculty and staff who constitute the major campus stakeholders and client constituency for the department. Both individual and group meetings were conducted. The review team interview schedule is presented in Appendix A on page 82.

At the conclusion of the site visit, the APPA review team presented a verbal report highlighting the review findings and opportunities for improvement.

Acknowledgments
The APPA review team wishes to thank all those who contributed to the review. Everyone was most generous with their time and their comments. We found the site visit well organized and allowed for efficient use of the review team’s time. Special thanks are extended to all members of the university FM team. Their investment of time and attention was critical to the review success and most instrumental in facilitating and ensuring a thorough review.

We would like to express our additional special gratitude to David McHale, director of Facilities Management, for providing the self-assessment and for the numerous times we interrupted his busy schedule during the time of the campus visit.

Lynn McLaughlin-Hill provided an indispensable contribution as she served as our principal contact for preparing and obtaining materials and documents in advance of our campus visit and who was our scheduler and meeting coordinator during our site visit. Lynn was most patient and efficient in accommodating our requests for additional information and our need to change or add interviews to our schedule. Lynn did a superb job of arranging for team members to get to the various appointment destinations on time, and she was very proficient in providing help to the team on numerous occasions.

We also would like to acknowledge Marc Fisher, David McHale, Chris Kelsey, and Olga Mery who took time from their Sunday schedules to conduct the campus tour and to participate in our opening meeting and introduction to the campus. The welcoming hospitality extended to the review team was exceptional.

The review team also acknowledges the participation of so many hardworking women and men in the Facilities Department who gave so graciously of their time and insights and who demonstrated a genuine interest in the review process.

We also thank Chancellor Yang for sharing his time with the review team and for the opportunity to perform this review. We also thank all of university campus administrative and academic staff whose contribution to this review was essential. The participation in this review by so many academic and administrative staff was indeed exceptional and the review team is grateful for their valuable contribution.
Executive Summary

APPA: Leadership in Educational Facilities conducted a complete evaluation for the UC Santa Barbara Facilities Management Department. Using eight objective criteria developed as part of APPA’s Facilities Management Evaluation Program (FMEP), a team assembled by APPA examined the university’s Facilities Management Department with respect to its performance. The criteria utilized to guide this review are:

- Leadership
- Facilities Strategic and Operational Planning
- Customer Focus
- Assessment and Information Analysis
- Development and Management of Human Resources
- Process Management
- Performance Results
- Other Considerations

The use of this topical framework provides an interrelated and complementary tool for performing a critical examination of the organization. These criteria were also the basis for conducting the FM self-assessment which was provided to the review team in advance of the campus visit and interview process. The self-assessment that was provided to the review team was very well written; giving accurate representation of institutional context, practices, and conditions.

The review team members’ knowledge and experience as successful practitioners of college and university facilities management and college and university administration form the judgment and recommendations of this report. The judgments and recommendations included in this report are given not by way of criticism, but rather as a means to assist the Facilities Department in its effort to continuously improve current levels of service and to better meet the needs of UCSB.

The “Evaluation Report Findings and Recommendations” section of this report describes in detail the review team findings and recommendations. This “Executive Summary” captures the highlights of this review.

LEADERSHIP

The APPA review team found a strong leadership team in FM. The leadership team from the director through the front-line supervisors is actively engaged where they need to be. Director of Facilities Management David McHale has had a positive impact on the department and his leadership style is described by department staff as open and collaborative. Operations associate directors and managers, who are a solid group of
professionals, are proficient in their respective work discipline; they have the skills, character, and competencies required to lead their operations and to work effectively together. The FM leadership team demonstrated a commitment to a culture of collaboration within FM and throughout the campus community.

The FM leadership team enjoys strong support from campus administrators and especially from the vice chancellor for Administrative Services. The vice chancellor is an excellent role model for the FM organization. He has intrinsic understanding of institutional history and valuable institutional knowledge. The recognition and strong support from the campus allows for open communication and enhances the organization’s ability to understand the institutional facility needs. There is an especially solid understanding and commitment to the academic and research mission of the institution.

Some additional significant successes include:

- There has been successful capital development; new facilities, major repairs and renovations to existing facilities, and infrastructure project implementation.
- Improved campus utility distribution system operations, system capacity and reliability improvements, and overall utility, energy, and sustainability improvements.
- FM is on its way to improving technology that is most appropriate for optimizing resources and for streamlining service processes.
- There is a strong awareness and a healthy sense of uneasiness among leaders as they recognize the organization’s need to build capacity and capabilities in the FM workforce. Leaders recognize a need to plan ahead for its aging workforce in order to ensure continuity in key positions.
- A customer service focus is being emphasized, including the need to continue to improve customer communications on services provided.
- FM leaders have demonstrated an ability to cooperate, collaborate, and partner across organizational boundaries.
- FM Department members demonstrate a solid understanding and appreciation for environmental stewardship, especially related to water conservation, energy consumption reduction, and the environmentally sensitive requirements of the coastal areas.

Successful initiatives of this magnitude are difficult to achieve. FM leaders have successfully managed predictable resistance and pushback from some staff more comfortable with past business practices.

The review team believes the changes that have been made and the hard work that has been performed by many will allow FM to achieve strong sustainable performance in the long term. To a large degree, leadership success in the future will be determined by how well the FM staff are able to work together to accomplish their stated group purpose.
Consequently, the review team has recommended that FM leaders consider initiating a formal process to capture feedback from peers and staff on leaders’ performance and that those leaders continue to cultivate a culture of collaboration and engagement, to “stay the course” with the Crucial Conversations initiative and with the mini-town hall meetings.

Department leaders are encouraged to continue with their commitment to organizational core values. Leaders are encouraged to continue to recognize and reward those who practice desired behavior.

**FACILITIES STRATEGIC AND OPERATIONAL PLANNING**

One of the many challenges facing the higher education facility managers of today is the need to comprehend and understand the larger purpose of the institution and to then align resources and actions in the best interests of the campus while also serving as a champion for campus facilities. Among the many significant assessment criteria applied to this review, the findings and recommendations presented in Section 2.0: Facilities Strategic and Operating Planning on page 39 are especially important in establishing a clear understanding of organizational position, direction, and measurable impact of organizational performance.

The APPA review team found that the development of a strategic plan is a work in progress, as detailed in the self-evaluation. FM has undertaken a three-year process to evaluate its position, define its goals, and then begin implementation of process improvements. It is called the “Year of Discovery, Year of Innovation, and Year of Implementation.” Year one is nearly completed, and the department plans to form a leadership team to identify the opportunities for the year two innovation phase. The conduct of the FMEP is a component of that process and is included as part of the year one activity.

While the review team applauds the establishment of a process to develop the department’s strategy and goals, it also found that there is a broad acceptance in several areas that if addressed, would permit the department to fulfill its mission. These areas include better financial data and controls, work management, departmental communications, organization, and of course, dealing with the accumulated capital renewal and deferred maintenance problem. The APPA team feels that the three-year process should be accelerated and that the innovation and implementation phase of several high-priority management enhancements begin immediately. In other words, the planning process should immediately move to a continuous improvement cycle beginning with those improvements that have already been identified as a high impact and high priority need. “Time and tide waits for no one.” The source for this quote is not footnoted; thus I believe we can revise to a gender-neutral statement. The department’s leadership agreed there is no reason to wait until the completion of the three-year process to begin tackling these issues, and, in fact, several members of the team has begun to do so.
For those who are in the habit of reading only the executive summary of lengthy reports, you may be interested in reading additional key findings and recommendations detailed in Section 2.0: Facilities Strategic and Operational Planning, including FM mission statement, one-unified-FM organizational alignment, campus master plan and LRDP, capital planning, FCI audit, FM service coverage, campus emergency response plan, establishment of annual goals, operational and capital budget development, and building, and expanding FM organizational capacity.

**CUSTOMER FOCUS**

The review team found that FM should be commended for identifying their key customers and communicating with them on a regular basis. FM leaders have developed positive relationships with key campus stakeholders such as the Academic Senate, academic chairs and deans, and the Office of Budget and Planning. The review team heard many positive comments from campus constituents. The efforts to build relationships with customers and to establish FM as a credible and professional organization was favorably acknowledged. Clearly, campus stakeholders are gaining respect and confidence in the FM organization.

Facilities Management staff members know that providing the best service possible to their customers is vital to the health of the organization. Customer compliments are communicated to the FM departmental unit and the individual(s) who provided the service. This communication positively reinforces service behavior. Conversely, if a customer complaint occurs, leadership strives to understand where or why the failure occurred so the supervisor of the work area and the specific technician involved can be coached to deliver service in a different manner. This approach also underscores the importance of providing excellent customer service to all parties in that work unit.

There are a few areas in this section of our report that we have emphasized as opportunities for improvement because they were a repeated source of complaint from the customers who we talked with, and these include:

- Custodial services. This includes cleaning standards, tasks and frequencies, quality assurance, and poor communication of service changes.
- The work-order process. Customers want to know the status of their work-order requests. Customers don’t know when or if a response to the work order would occur, and they seldom heard a report by the responding technician as to whether the issue was resolved or deferred.

In this and other sections of the report, the review team suggests consideration be given for alternate custodial services organizational alignment and work shift changes. The review team recommends that FM revisit the custodial cleaning standards and revise them to depict actual cleaning and frequency levels that can be achieved and then communicate revised standards to the entire campus community. Custodial training, in conjunction to the revised standards, is recommended. Consideration should be given to the development
of a rigorous and consistent customer service survey process specific to customer expectations and satisfaction with Custodial Services.

Consideration should also be given to the development of a customer service process associated with work-order completion that measures levels of satisfaction. Training service technicians on effective communication with customers on work-order assignment and status including providing customers an estimated response date is recommended.

Key performance metrics to measure the customer survey and customer meeting responses for each departmental unit providing service on a work order should be developed. A number of meaningful metrics to measure work-order performance should be developed to measure work backlog including aging, number of completed work orders, turnaround time, and ratios of planned work and unplanned work.

Additional recommendations to improve customer communication include the following:

- Communicate in advance about planned changes in standards, service delivery, and/or organizational structure.
- Clarify what services are provided to the campus for free and which ones are available to purchase for a fee.
- Invite UCSB’s Office of Public Affairs to assist in developing an overall communication plan for the campus.

Best practice facility organizations use a variety of different listening tools to gain a complete understanding of their customers. The annual customer interviews have served FM very well, but formal surveys, work order benchmark surveys, analysis of complaints data, and relationship surveys should also be considered.

ASSESSMENT AND INFORMATION ANALYSIS

Advancing technology in building design and construction has made managing facilities considerably more challenging, sophisticated, and complex. Technical training is increasingly important to keep a workforce up to speed with the environment that combines aging facilities with new era building systems. The litmus test for determining the appropriate use of technology by FM for information and analysis, and for decision support is to ask:

- Does FM have the information that it needs to make informed decisions?
- Does the organization use the information?
- Is technology used to improve service performance, namely efficiency and effectiveness of its service processes?

The review team concludes that FM does not have all of the management information it needs and has only begun to use the management information it does have.
This is an area of opportunity for improvement that can bring tangible benefits to the organization’s continuous improvement initiative and its facility stewardship core value. Increasingly, technology empowers problem solving and enables new opportunities and approaches that expand the role and capabilities of FM. Section 4.0: Assessment and Information Analysis, identifies a number of significant opportunities that are intended to help FM advance its application and use of information technology. Most significant is the need to upgrade or replace the existing computerized maintenance management system (CMMS). This is the heart of the FM Department information system. A successful CMMS application will increase organizational capabilities in all areas that comprise FM’s core competencies namely, operations and maintenance services including: building maintenance, custodial, grounds, project management, customer service, and communications.

The review team gives credit to FM’s use of its energy management system for building automation systems and its utility management and environmental sustainability achievements. Additionally, FM has been an active participant in benchmarking and cost comparative surveys using important facility management information. UC Santa Barbara FM has been an active participant in the University of California Partnership for Performance (P-4-P) benchmarking initiative since the program began in 1993 and has participated in the APPA Facilities Performance Indicator survey (FPI) in 2014. Both programs utilize the balanced scorecard framework to capture relevant measures from four key perspectives: financials, customer, process, and organizational learning and growth.

We recommend that FM identify and annually evaluate a few key institutional-level performance metrics against data from the P-4-P and FPI global metrics. We also recommend the establishment of critical performance indicators for each of the department’s three core products to measure progress toward their improvement goals. These measures will establish the department’s performance dashboard for annual reporting to stakeholders.

**DEVELOPMENT AND MANAGEMENT OF HUMAN RESOURCES**

An organization’s success depends increasingly on the knowledge, skills, innovation, creativity, and motivation of its employees and partners. Technical knowledge, skills, and experiences are a necessity for any FM organization. Recruitment and selection of qualified personnel is a fundamental for any FM organization. With qualified and competent staff, the FM organization can deliver services to effectively support and enhance the advancement and transfer of knowledge.

Advancing technology in building design and construction has made managing facilities considerably more challenging, sophisticated, and complex. Technical training is increasingly important to keep a workforce up to speed with the environment that combines aging facilities with new era building systems. UC Santa Barbara’s growing
enrollment, academic commitment, and research success are accompanied with a growing expectation for a built environment that will support the institution’s mission. There is no doubt that the requirement for a quality and reliable built environment at UCSB is growing. The overall competency of the organization will be judged on its ability to manage, respond, and resolve issues with the overall physical plant.

The management and direction of the organization appears to be trending in a favorable direction with effective management of human resources and alignment with institutional mission. The campus community has expressed concerns that enrollment, academic prowess, and research achievement may be outpacing the resources available for adequate operation of the physical plant.

A progressive FM organization fosters a climate and culture where employees are committed to a shared vision. The review team learned that every employee is provided with the FM mission statement and the values to which the organization subscribes.

The review team sensed the majority of the FM employees feel their individual performance contributes to the overall success of the institution. The team learned that employee growth and development are encouraged. Staff generally feels appreciated and is recognized for their accomplishments and contributions.

The leadership of David McHale is considered by the review team to be moving the organization in a positive direction. Several employees expressed appreciation for the mini-town hall meetings, noting that the meetings have helped them better understand their role and purpose in the larger UCSB organization. Employees were able to articulate how their role and contributions serve the larger institution.

The review team’s findings in this important part of our review are quite positive and include:

- Position responsibilities are developed by facilities managers working in conjunction with campus HR professionals and the employee. By following this process, most positions appear to be adequately defined and the APPA review team did not notice any areas of concern. FM is encouraged to continue to build, and refine job duties and responsibilities. The upcoming UC system conversion to “Career Tracks” presents an opportunity to clarify roles and responsibilities. In addition, FM leaders may want to consider a training session with new superintendents and their immediate supervisors that explores and develops shared expectations for what constitutes supervisory success.

- FM publicly recognizes years of service and outstanding performance. Outstanding performance is recognized in group settings with commendations that are also recorded in personnel files. Certificates of appreciation are publicly displayed in FM buildings and work areas. The mini-town hall forums provide an excellent forum for employee recognition. The organization is to be commended for including the names
and pictures of employees in mini-town hall meeting slide shows. Employees appreciate the recognition. The town hall meetings provide an excellent forum to pollinate an organizational culture that rewards cooperation, communication, and skill sharing across work units. The meetings also provide a forum for the discussion and clarification of management initiatives that are planned or underway. The meetings also facilitate conversation about the services, quality, customer commitment, and operational challenge. Work units have an opportunity to present and discuss their contributions to the community.

- FM outlines specific goals for individual performance in an annual employee performance evaluation process. The interim HR director advised the review team that annual performance evaluations for 100 percent of the FM staff have been completed. The review team recommends that the evaluation process also be used to enhance overall quality assurance by carefully comparing individual performance against the standards established for each area of responsibility.

- FM actively participates in a UCSB supervisory certificate training program, Gaucho U, and has spearheaded critical conversations not only in the FM organization but also the larger community. English as a second language and Spanish classes are available for employees. Leadership training includes the UC management development program and APPA conference and leadership programs. Technical training is provided by unit managers and outside vendors or at the request of individual employees. FM is currently contemplating a future formal employee development program. In several large FM organizations, an individual in a HR position within the FM organization has responsibility for developing, coordinating and maintaining, and delivering an inventory of administrative and technical training programs. Resource limitations may not allow the creation of such a position, thus making it important for supervisors, superintendents, managers, and associate directors to develop an inventory of training needs for staff. A proposal for a formal employee development program that includes an inventory of training, completed as well as training requirements and possible funding scenarios, should be given serious consideration.

- The general observation of the review team is that the current recruitment program in improving and retaining an increasingly competent staff and current practices should continue without significant modification. New employee orientation programs are in place and should be continued.

The APPA review team congratulates FM leaders for the work they are doing to develop the organizations’ talent, its work to build the next generation workforce, and in its development of a positive and progressive workplace.
FM has made substantial improvement and progress toward achieving its identified mission by improving its many work processes where the organization must excel—it’s organizational core competencies.

Like many higher education facility organizations, FM has entered this second decade of the 21st century with operations and maintenance practices and processes developed during the last century. FM has a head start on many of their peer institutions because they have made substantial progress toward achieving the very hard work of changing the organizational culture, and management is well on its way of forming a clear picture of where it is headed.

Process management is about achieving proficient work management and quality in the services and products that FM absolutely and positively must excel. This definition is in part, the recipe for success because it suggests a focus on the most important core processes. The review team has placed emphasis on the importance of the use of technology as the great enabler and tool for process change. FM now has an opportunity to take a big step in this direction with its initiative to replace or to upgrade its CMMS. If this initiative is done successfully, it will have the greatest impact of all the choices that one might do to improve process management.

Significant process improvement opportunities are identified in Section 6.0: Process Management and include:

- Maintenance management; especially preventive and predictive maintenance processes
- The work-order and overall work-management processes
- All current business practices, especially human resources, financial, and information technology support
- Performance measurements and benchmarking
- Process quality and coordination
- Continuous improvement initiatives

UC Santa Barbara buildings and grounds are intensely utilized, and the average age of campus buildings has increased to the point where many of the building components and systems have reached or exceeded their useful life expectancy. This is an important factor when considering the wear and tear on campus buildings and the demands for maintaining building appearances, custodial service levels, grounds and landscape maintenance, and utilities/energy sustainability requirements. FM has not received adequate funding to address the backlog of capital renewal and deferred maintenance nor an amount of annual
funding to stop the accumulation. Annual increases in accumulated deferred maintenance exceed the annual budget allocations.

There are a number of effective programs in place to ensure campus building and grounds appearances, and reliability of building and utility systems are keeping with the desired image and needs of the university based on funding constraints. A number of effective practices and results are highlighted throughout this report. Some of these include:

- The APPA team was impressed with the high level of sustainability practices found during the evaluation.
- The FM management team is a group of competent professionals who have achieved a high measure of proficiency.
- Impressive best practices are in place to manage scarce water resources and effectively irrigate the campus.
- Management has recognized that service levels for preventive maintenance programs are inadequate and is working toward an affordable maintenance philosophy to change the organization’s maintenance from reactionary to a more planned and scheduled approach.
- The campus master plan is an excellent document that is being utilized to guide campus development.
- The campus has appropriate governance structure in place to help ensure a high level of campus appearance aligned with institutional mission.
- Facilities leaders encourage professional development and involvement in professional organizations as part of the department’s desire to build capacity and capability in the organization.

It is clearly evident to the review team that the department managers are in tune with what others in the industry are doing and strive to be among the leaders. Participation in state, regional, and international higher education FM professional associations and other associated professions serves the institution very well. This level of participation enables FM staff to stay in touch with the needs of higher education.

Facilities Management leaders are encouraged to continue to take the time to engender collaborative relationships with the numerous different departments on campus. Increased interaction with customers will help to increase facilities understanding of the needs of UCSB.
Summary of Recommendations

1.0 LEADERSHIP

Recommendation 1A
The current FM organizational structure and alignment has no critical flaws that would be fatal to the organization. However, a few organizational structure changes are recommended for consideration based on the assumption that the department mission will continue to emphasize operations and maintenance services as its primary focus.

Management’s job requires drawing three kinds of lines when designing an organizational structure. First, the boundary lines which separate what’s inside and what’s outside the organization. Most of this work has already been done by the choices made to contract, source, or simply not include as functions within the purview of FM. Second, review the lines of the organization chart, which map how the whole is divided into working units and how each part relates to the other. This can be improved. Third, lines of authority are the sometimes invisible, but always important. Lines of authority determine who gets to decide what and how the internal relationships work together. This will need careful consideration as the current vacant positions associate vice chancellor of Campus Design and Facilities and the FM associate director of Physical Plant/Energy are filled.

More than anything else, where the lines are drawn depends on what the organization is trying to accomplish and on how it is trying to do better. A clear strategy aligned with the organizational purpose, the FM mission thus becomes a blueprint for the organization’s design, shaping the most basic decisions about its scale (how big must we be?), its scope (how far should our service activities extend?), and its structure (how should we organize?). Drawing the lines of organization is the concrete answer to these questions.

Following on the work performed during the campus visit and after examining the current organizational structure, alternate choices for organizational alignment are recommended for consideration. The re-organizational option recommended is for Custodial and Grounds and is described further in criterion 5.12 in Section 5.0: Development and Management of Human Resources.

Organizational design matters and impacts the performance of every individual, from what kind of information employees receive to how they prioritize tasks to how they are held accountable for results. As such, clear roles and responsibilities are an important determinate of success. The clarity of roles and responsibilities can be improved particularly in the organizational division Planning, Projects, Systems. The functional alignment under the associate director of Planning, Projects, Systems is a mixture of administrative support, facility operations, and maintenance functions. This section of the organization also lacks clear demarcation of the management roles and responsibilities for the assistant director.
Recommendation 1B
It is recommended that the director of FM conduct group meetings with a prepared agenda with members of the Core leadership Team. Agenda items should be those things that the team is working on that address the accomplishment of the group purpose such as progress reports on strategic goals and objectives, the development and progress of key performance indicator measures for the department, development of a performance dashboard, budget development and budget expenditures review, and other topics relating to workplace and workforce development and capacity building.

Facilities Management stands to benefit from decisive leadership that summarizes what has been discovered to date through its Year of Discovery. The organization will benefit substantially from a management commitment to a priority-based plan of action.

It is also recommended that consideration be given for initiating a 360-degree type of performance evaluation for the director and all members of the Core Leadership Team.

Recommendation 1C
Consideration should be given to visibly displaying the FM Department mission and value statements throughout FM offices and shop workspaces.

Recommendation 1D
Communication will continue to be every leader’s number one challenge. The review team commends the FM leaders for all the work they have done to improve communications. Although a substantial amount of work has been done to improve in this area, more is needed. Organizational strengths, as well as opportunities for improvement in communication challenges, are contained in Section 3.0: Customer Focus and Section 5.0: Development and Management of Human Resources.

Recommendation 1E
Although FM reported in the self-evaluation that the department supports active training for emerging staff, a more directed talent management effort should be considered. Success in this area requires having the right people, in the right place, at the right time. In accordance with university policy, FM is encouraged to develop a workforce plan that will identify the most critical positions and develop an approach for identifying and developing the right individuals into those key positions. A practical approach is recommended that allows for a total assessment of the most critical position needs of the organization and the development of a plan of action to address these needs.

Recommendation 1F
Facilities Management leaders are encouraged to continue to recognize excellence through increased employee recognition programs such as an “FM Award for Excellence” to visibly recognize and acknowledge those who regularly deliver excellent work. FM should consider continuing to develop its standards of performance and service levels described in Section 3.0: Customer Focus and Section 6.0: Process Management. There is also an opportunity to strengthen the link to this quest for excellence directly to the department values by including the practice of these values as part of the award criteria.
Recommendation 1G
Criterion 1.3 on page 37 calls attention to organizational values and recommends that facilities leaders take time to articulate organizational core values. An important part of the leader’s role and responsibility is to create a work environment that is conducive to people coming to work and doing their very best. Employee commitment to core values are ethics which infuse the creation and delivery of services and which guide internal and external relationships. A tenacious adherence on the part of the leadership team to the spirit and letter of organizational values is recommended.

2.0 FACILITIES STRATEGIC AND OPERATIONAL PLANNING

Recommendation 2A
Complete phase 2 of the three-part strategic planning process that should include a facilities strategy that is in alignment with the academic strategic plans and objectives. As part of that strategic plan, address the unification of all facilities functions to reduce overhead and to develop a more comprehensive management approach to the physical environment for all campus constituencies.

Recommendation 2B
Select a few key areas for immediate enhancement and begin to implement solutions to those areas.

Recommendation 2C
Work with the Department of Public Affairs to develop a communications plan that will improve both routine and special communications with various campus constituencies. One important aspect of communications is not only to ask for feedback, but also to report on what has been accomplished as a result of that feedback.

Recommendation 2D
Identify a few key institutional-level performance metrics to be annually evaluated against data from the P-4-P and FPI global metrics. Establish critical performance indicators for each of the department’s three core products that can be used to measure progress toward their improvement goals. These measures will establish the department’s performance dashboard for annual reporting to stakeholders.

Recommendation 2E
The institution should carefully consider conducting a facilities condition audit that not only looks at renewal needs but also consider the functional value of the buildings. Based on its findings, the LRDP of the campus should revise its capital plan to identify those buildings that require replacement/renovation and those building only requiring reinvestment.

Recommendation 2F
The capital plan should be revised to consider the orderly replacement of facilities over time so that there is always a logical empty chair. It should also avoid infill that encapsulates older buildings, making it highly expensive and disruptive to replace them as they become obsolete. The plan should also include identification of strategic land acquisitions as opposed to a strictly opportunity-based real estate process.
Recommendation 2G
Facilities Management should consider extending its onsite hours of coverage. A single general maintenance technician would be sufficient to respond to unexpected disruptions and, at a minimum, assess the situation and call in additional help as required. Regular duties could include assisting with lock-up and preventative maintenance.

Recommendation 2H
Given its location and the potential for damage from seismic activity, the campus should carefully anticipate a call for utility shutdowns during major emergencies as well as large quantities of water for fire suppression. Given the large number of students living on campus, FM and the Housing Department should consider how to integrate emergency response planning, mitigation, and recovery.

Recommendation 2I
Upon completion of the strategic plan, the Facilities Department should establish annual goals for each of its core products. The goals should form the basis of the annual budgetary decisions within the department.

Recommendation 2J
A closer working relationship between FM and Capital Planning is advised. One way to bridge the organizational divide is to strengthen the working staff committee consisting of the director of Capital Planning, the director of FM and perhaps administrative heads of Housing and Recreation to develop consensus staff analysis and recommendations on future buildings, infrastructure, and deferred maintenance priorities. This working committee would support the vice chancellor and assistant chancellor in advising the CPC.

Recommendation 2K
The Facilities Department should continue its efforts to establish unit level budget responsibility. In addition, it should begin the process of annual budget requests tied to annual objectives within its operating units to help shift the management teams' focus from reacting to change to planning for change.

Recommendation 2L
A shift from the allocation/chargeback system to all-funds budgeting process should be carefully evaluated. This is consistent with UC’s Funding Streams Initiative and should achieve the same intended consequences within the facilities organization as it has done with the UC components.

Recommendation 2M
Serious consideration should be given to development of building standards. While time consuming, the development of such standards could be jump started by exploring standards development of other UC campus components and with members of P-4-P. Once in place, the use of such standards would help simplify maintenance and custodial requirements and guide decisions on future capital renewal costs.
Recommendation 2N
Review and revise its maintenance standards based on the customer groups served (e.g., classrooms, library, faculty offices, grounds, etc.), perhaps as a step toward service level agreements.

3.0 CUSTOMER FOCUS

Recommendation 3A
It is recommended that the FM leadership assess how their internal administrative support groups such as HR, customer service, IT, and budget are servicing the other departmental units within the facilities organization.

Recommendation 3B
While campus representatives were complimentary about the annual customer service meetings, some expressed a desire to have such meetings more frequently than once per year. Thus, it is recommended that the customer service meetings with building managers and departmental budget managers be held more frequently.

Recommendation 3C
Develop a rigorous and consistent customer service survey process associated with work-order completion that measures levels of satisfaction on a scale of 1 to 4, with 1 being unsatisfactory and 4 being very good. The survey could include just four simple questions such as these examples: (1) Was the service technician professional? (2) Did the service technician respond in a timely manner? (3) Did the service technician communicate what the problem was, how it was fixed, or why the fix would be delayed if such delay was necessary? (4) Are you satisfied with the work quality? When customers submit multiple work orders on a daily or weekly basis, it is important to randomly select only one or two of them to survey, rather than all of them so the customer representatives are not overburdened by the survey process.

Recommendation 3D
Develop key performance metrics to measure the customer survey responses for each departmental unit providing service on a work order. Also, develop metrics to measure work-order turnaround time, backlog including aging, and number of completed work orders by the Facilities Department, including preventative maintenance. All these results should be regularly shared with the entire facilities organization and integrated into the performance evaluation process whenever possible.

Recommendation 3E
Improve communication to customers on work-order assignment and status including providing them an estimated response date. Train service technicians on effective communication methods to your customers including face-to-face conversation or the use of hang tags or other devices that signal a response to a work order or explains the delay, such as pending acquisition of materials or other reasons.
Recommendation 3F
Improve communication to the campus on change in standards, service delivery, and/or organizational structure. Clarify what services are provided to the campus for free and which ones are available to purchase for a fee. Revisit the custodial cleaning standards and revise them to depict actual cleaning and frequency levels that can be achieved. Communicate those revised standards to the entire campus community via regular customer service meetings and/or face-to-face visits by the leadership staff in FM. Invite UCSB’s Office of Public Affairs to assist you in developing your overall communication plan for the campus.

Recommendation 3G
The review team recommends that the deferred maintenance listing be shared with building managers, departmental budget officers, and academic leaders so there is a broader understanding of the capital renewal backlog on the campus. These reviews may also precipitate a shift in deferred maintenance priorities for a particular school or department based upon input from these academic leaders.

Recommendation 3H
The review team recommends that FM undertake a comprehensive training program for the entire custodial staff. This should be done in conjunction with the revision of cleaning standards. Such training is pivotal in achieving more consistent cleaning results throughout the campus.

Recommendation 3I
The review team recommends that FM consider shifting their preventative maintenance (PM) efforts to the evening shift. This could result in three very positive outcomes for the campus. (1) Trade persons would already be onsite to respond to off-hour emergencies so the response delay currently experienced would be mitigated; (2) Any collateral damage to campus buildings due to fire or floods would be minimized because staff is onsite; and (3) The productivity of the PM team would be enhanced due to their ability to shut down systems in coordination with building management officers to perform maintenance work without impacting to many programs or building occupants.

4.0 ASSESSMENT AND INFORMATION ANALYSIS

Recommendation 4A
FM should stay deeply involved in the development and implementation of ICAMP. Doing so will benefit the campus’ determination of deferred maintenance and capital improvement requirements.

Recommendation 4B
FM should consider making the ability to report, submit, and track work requests through the CMMS more available to additional campus constituents.

Recommendation 4C
The existing CMMS has a substantial amount of capability that by all appearances is not known by FM or not utilized by choice, for a variety of reasons. FM should collaborate with TMA, as well as its own IT
specialists, to determine the capabilities of the system as it resides today. From that point of departure, FM leadership with the input of subordinate levels of managers and external campus stakeholders should identify additional performance indicators that could benefit and support daily work activities as well as long-term assessments. FM will be able to use such knowledge to make future operational and organizational decisions.

Recommendation 4D
FM leadership should ensure that all staff members, at all levels understand the purpose for the existence of the CMMS and the criticality of the proper application of all relevant data. Everyone needs to understand that accurate input is mandatory if credible information is expected out of the system. It is thus important that all staff receive extensive training in the use and application of the CMMS, beyond basic but ineffective “key-stroke” training.

Recommendation 4E
In step with other FM organizations in higher education, there is a genuine interest in the implementation of mobile technology. This effort should be seriously pursued and implemented, as this technology will allow virtually instantaneous information exchange among staff. This may be difficult with the current iteration of TMA. FM needs to determine if the current CMMS system is capable of supporting current and future needs and either invest in it or change systems (not an inexpensive venture regardless of the option selected).

Recommendation 4F
FM needs to identify key performance indicators that will enable it to more fully assess its operational health. This should be done prior to any decision being made regarding the future of CMMS at UCSB.

Recommendation 4G
See related recommendations under criterion 4.1.

Recommendation 4H
Continue participation in APPA’s FPI survey and fully utilize results shared therein to examine and identify operational deviations that can rationally explain those variations. (Note: variations are not in themselves a bad sign, but can merely be reflective of other variances, such as culture, locale, etc.). FM should be prepared to incorporate any newly gained knowledge into its newest rendition of a five-year maintenance plan, as well as using the structure of the Year of Implementation to make adjustments as appropriate.

Recommendation 4I
FM should consider using the FPI survey information to further identify key performance indicators that will enable management to implement associated “continuous improvement” methodologies. One huge opportunity that exists and is line with the university’s “sustainability” philosophy is to monitor energy consumption on a building-by-building basis.
Recommendation 4J
Identify and utilize current and additional communication tools that will allow FM to share current data regarding energy conservation, as well as other key performance indicators. Some institutions generate a separate “energy” newsletter to great advantage. Sharing such information on its home page can only benefit FM in its efforts to manage energy consumption.

Recommendation 4K
These same processes can be employed to share the results of other key performance indicators that may be of interest to segments of the campus community. Current information regarding standard response time and completion time on work orders has been of interest to a limited number of campus constituents. More opportunities remain that will allow FM to become more “transparent” to the campus community.

Recommendation 4L
As FM proceeds with enhancements of its management information systems, its leadership should identify processes that will enable the interpretation and communication of essential data retained in its internal system. They may have to rely on a third-party or the vendor of the CMMS ultimately selected. Such redundancy will become increasingly essential as cost data, ROI calculations, deferred maintenance, and capital investment plans, etc., are housed on such systems.

Recommendation 4M
FM should avoid using PeopleSoft as its supporting technology for CMMS-type functionality. Not intended as a criticism of PeopleSoft, it is more a statement of reality concerning where FM’s needs might fall as contrasted with the campus’ other priorities (payroll, accounting, student support, etc.).

Recommendation 4N
FM should choose to be a leader in the application and utilization of building information modeling (BIM), as this is currently an evolving technology in building and space management. Future CMMS systems are likely to have the capability of integrating BIM information into their databases.

5.0 DEVELOPMENT AND MANAGEMENT OF HUMAN RESOURCES

Recommendation 5A
Continue to build and refine the job duties and responsibilities. The upcoming University of California system conversion to Career Tracks presents an opportunity to clarify roles and responsibilities throughout the entire FM organization.

Recommendation 5B
The organization may want to consider a training session with new superintendents and their immediate supervisors that explores and develops shared expectations for what constitutes supervisory success.
Recommendation 5C
Continue to publicly recognize employees and to emphasize behaviors that are desirable. Consider periodically inviting members of the community who recognize outstanding performance to participate in employee recognition efforts.

Recommendation 5D
Consider taking professional photographs of FM employees willing to be photographed while they are actively engaged in work activities. Then consider displaying those photographs in FM works areas: corridors and meeting rooms. Several FM organizations display buildings and designs in their public spaces; yet it is the people that determine the overall success of the organization. Displaying photographs of employees at work is another way for leadership to demonstrate the value of the human resource commitment.

Recommendation 5E
The proposed three-year cycle of Discovery, Innovation and Implementation is an excellent means to continuously improve the organization. Employees have responded well to the Year of Discovery. The review team encourages the leadership of FM to revisit the cycle of the three-year program and revise the program to match its unwritten, yet current practice of constant Discovery, Innovation, and Implementation. FM is already acting in all three phases of the three-year conceptual program. The organization may want to consider if it truly wants to continue with the current sequential three-year program or if it is ready to convert the multiyear concept to ongoing discovery, innovation, and implementation.

Recommendation 5F
The mini-town hall meetings are well received, are shaping the organizational culture, and should continue.

Recommendation 5G
Consider periodically inviting guests from academic, research, and administrative units to address segments of the FM organization. The review team observed that Vice Chancellor Marc Fisher has emphasized the importance of collaboration with the community. FM has an opportunity to take collaboration with the community to a new and higher level.

The leadership of FM has good relationships with several members of the community. Leadership might want to consider how it further integrates the organization into the very fabric of the institution.

Consider inviting key players from the larger community to share information about their area of expertise. Consider inviting faculty, researchers, administrators, and student leaders to talk with FM staff members about what they do and what FM can do to increase the likelihood of their success.

Learning more about what makes higher education communities unique and special can raise personal commitment to the overall strategic mission of the institution. Typically, administrators and FM leaders share experiences with faculty and researchers, many who are excellent communicators in their field of
expertise. With some assistance from FM leaders, select members of the academic, research, student, and administrative community can help explain to employees at multiple levels how custodial, grounds, and maintenance services can help or hinder their overall success. It can be valuable for employees to hear how their work impacts the community. It can be equally important for select members of the larger community to reflect on what message they feel it is important for the FM staff to hear.

Recommendation 5H
The review team would expect to see a statistical summary of evaluation scores that might be distributed evenly along a bell curve. Experiences demonstrate a “halo effect” often places performance evaluations on the upper end of the bell curve even when organizational performance may not be considered up to par.

FM receives good marks for its work effort with broad understanding that it operates with limited resources. It is suggested that the leadership of the organization should develop and monitor summary information for the organization’s performance reviews so that it can understand and determine if a halo effect is occurring in the evaluation process and then determine what steps, if any, are necessary to more effectively manage the performance evaluation process.

Recommendation 5I
The recent reorganization that includes superintendents for the trades is applauded by the review team as a means to bring supervision closer to the employees that are engaged in work performance. As is the case with any new supervisors, supervisory training is vital for both short- and long-term performance.

Recommendation 5J
Supervisors should seek advice and guidance from HR before delivering sensitive performance evaluations.

Recommendation 5K
In several large FM organizations, an individual in an HR position within the FM organization has responsibility for developing, coordinating and maintaining, and delivering an inventory of administrative and technical training programs. Resource limitations may not allow the creation of such a position, thus making it important for supervisors, superintendents, managers, and associate directors to develop an inventory of training needs for staff.

Recommendation 5L
A proposal for a formal employee development program that includes an inventory of training completed, as well as training requirements, and possible funding scenarios should be given serious consideration when prepared.

Recommendation 5M
Consider formal methods to survey and explore employee well-being, satisfaction, and motivation.

Recommendation 5N
New employee orientation programs are in place and should be continued.
Recommendation 5O
Finalize the draft FM Employee Handbook.

Recommendation 5P
Consider pairing new employees with positive role models early in careers to demonstrate expectations for performance.

Recommendation 5Q
FM should seek additional funds for every general fund building that comes online in order to maintain current levels of service. The Administration is encouraged to support those requests in order to avoid degradation of overall FM service.

Recommendation 5R
FM is encouraged to look at the number of supervisory layers in the organization to determine if there may be opportunities to reduce layers and reallocate resources to meet the organization’s most pressing needs.

Recommendation 5S
Consider how the organization might be restructured over time with fewer layers. The review team understands the complexity of restructuring an organization and believes restructuring has to consider a number of factors, including the organization’s history, classification system, attrition, budgetary constraints, morale, desired pace of change, etc. Any plan to reduce layers has to consider a number of factors, and sorting out scenarios that work within the UCSB organization will need careful consideration of all factors.

Recommendation 5T
The review team was struck by the size, span of control, and variety of shifts that fall within the custodial and grounds operation. The review team thinks it is worth considering an organizational structure for Grounds and Custodial Services that acknowledges that the two services are separate. UCSB is of a size where it might make sense to consider a professional grounds administrator and a professional custodial administrator. The review team suggests consideration of a leadership structure with leadership onsite when the majority of the work is being performed.

Recommendation 5U
Consider establishing supervisory positions in the custodial organization. The review team suggests accountability for custodial performance will likely increase with a restructuring that has custodians working in specific areas reporting directly to supervisors. Lead positions are valuable for the management of custodial teams that are engaged in project work but considered less desirable in situations where custodians are assigned to a specific area.

Recommendation 5V
Gradually reduce the number of employees working the 2:00 a.m. – 10:00 a.m. workshift through attrition and/or voluntary shift reassignment.
Recommendation 5W
Continue to pursue the current course of action while recognizing that staying abreast of regulatory change, emergency preparedness, and health and safety is a demanding field, requiring constant monitoring, participation, and practice from the entire organization.

6.0 PROCESS MANAGEMENT

Recommendation 6A
FM leadership, with the support of staff, needs to develop a business case for funding additional preventive maintenance activities. Creative thinking will be appropriate when pursuing this activity. “Pirating” existing O&M budgets (i.e., grounds and custodial) should be avoided. One option could be to provide access to funding potentially freed up through the implementation of energy conservation projects and associated cost avoidances.

Recommendation 6B
Proceed with the “application” of core competencies to segments of the FM organization. Continue with employee mini-town hall meetings, as well as other opportunities, to create a culture that embraces those core competencies. Similarly, campus “customers” (not forgetting senior level management, e.g., the deans) will also benefit from continuous discussions on the subject. Place special focus on individuals who might be labeled as “middle management” within the FM organization.

Recommendation 6C
FM leadership, with the anticipated arrival of a new assistant vice chancellor, should seize the moment to identify procedures, processes, and opportunities, for the development of design standards where appropriate. A task force should be established to achieve this objective. Correspondingly, time should be provided for operations and maintenance technicians to review design documents at all stages and provide documented input, with the realistic expectation that they will receive professional and timely feedback in response to their comments.

Recommendation 6D
Budget and Planning has budget control while FM has responsibility. FM should be given both budget control and budget responsibility for the utility and energy budget.

FM’s leadership should continue to work with Budget and Planning in order to achieve a total separation of the O&M budget from the utilities and energy budget.

Recommendation 6E
UCSB, in consideration of pertinent financial and legal restrictions, should evaluate the opportunity to use third-party funding to implement additional energy conserving measures, the debt on which should be covered by cost avoidances. Additionally, FM should examine the opportunity to identify all cost avoidances generated by the implementation of energy conserving measures (operational or mechanical)
and sequester those funds to provide seed money toward the identification and implementation of additional energy conserving measures.

Recommendation 6F
FM should work with the Budget and Planning Office to identify funding that could enable the installation of individual meters for major utilities at all buildings, starting with the ones easily identified as “energy hogs.” Existing building automation systems could thus be more effectively used to manage consumption in those buildings.

Recommendation 6G
FM should not “wait” to develop additional, appropriate key performance indicators until the campus has converted to its newly selected enterprise system before identifying its own opportunities. As described in other sections of this report, opportunities already exist to explore those opportunities in the immediate future and to start using them for measuring organizational effectiveness and the “tweaking” of processes and procedures that may exist only because they always have.

Recommendation 6H
FM leadership should take steps to ensure that all campus stakeholders have a chance to be heard, avoiding paying excessive attention to those that are merely most vocal—either positively or negatively.

As this occurs, customers should become increasingly aware of the core processes that are included in FM’s portfolio and those that are the responsibility of individual customers. This should improve consistency in the department’s responses to specific issues.

Recommendation 6I
Make sure that staff at all levels understand and live by these initiatives through the continued use of the mini-town hall meetings.

Recommendation 6J
Implement previous recommendations regarding the identification of additional and relevant key performance indicators, as the appropriate CMMS system is provided and implemented.

7.0 PERFORMANCE RESULTS

Recommendation 7A
Make quality assurance a part of every supervisor’s responsibility and develop a program of scheduled condition assessments that involve the facilities leadership and key customers.

Recommendation 7B
Custodial Services largely specialize in activities that call for reliable, routine services. As referenced in criterion 7.1 on page 75, improvement opportunities are recommended for quality control and quality assurance of the adopted cleaning standards, tasks, and frequencies.
Consideration should also be given to performing an analysis of the workshift with the goal of adopting the best schedules for achieving optimum productivity and quality.

Recommendation 7C
FM is encouraged to take full advantage of the UCOP-iCAMP initiative that has recently acquired funding to proceed with program development and implementation. The appropriate FM leaders and vice chancellor for Administrative Services have a solid understanding of the importance of this initiative and how active participation can help the campus obtain resources to address both current CR/DM needs and future needs of the campus. Whatever value one might assign to the total campus needs for CR/DM, one cannot deny its reality. The dollars-needed-trend is stark not only in the older campus buildings and infrastructure, but also in the newer campus buildings. Without an aggressive renewal program, the future will be one of diminution and decline of asset functionality and value. Some of this has already taken place and although more will not occur overnight, it will happen in but 2 to 3 generations, a time not too much removed from today.

Recommendation 7D
See criterion 7.3 on page 77. FM leaders and those staff who are actively engaged in the UCOP-ICAMP Initiative and for those who want to know more about this critical issue of capital renewal are encouraged to read the APPA publication Strategic Capital Development: The New Model for Campus Investment. Written by Harvey H. Kaiser and Eva Kline, the intention of this book was to create a comprehensive treatment of the problem of capital renewal in higher education and to do so by also considering the planning and investments needed in new facilities and infrastructure.

Recommendation 7E
Consideration should be given to conducting a formalized employee climate survey as noted in Section 5.0: Development and Management of Human Resources to assess employee’s feelings and thoughts on an ongoing basis. The display of photos of people at work and photos of the campus buildings and grounds throughout the Facilities Department helps instill pride and ownership to all Facilities staff. The investment in tools, equipment, and vehicles promotes a sense of pride and quality in the organization.

Recommendation 7G
FM leaders are encouraged to continue to take the time to engender collaborative relationships with the numerous different departments on campus. Increased interaction with customers will help to increase FM’s understanding of the particular needs of the UCSB campus.
Evaluation Report and Recommendations

1.0 LEADERSHIP

Senior leaders in an effective facilities organization set direction and establish customer focus, clear and visible values, and high expectations in line with institutional mission, vision, and core values. Effective facilities leaders facilitate the dialogue around larger leadership issues such as total cost of ownership (TCO), sustainability, recapitalization requirements, and facilities reinvestment. Leaders inspire the people in the organization and create an environment that stimulates personal growth. They encourage involvement, development and learning, innovation, and creativity. Leaders act as both educators and change agents.

1.1 Describe how leadership roles and responsibilities and the decision-making structure are defined by the facilities department and generally understood by internal and external stakeholders.

Facilities Management is an essential part of Campus Design and Facilities, which is a division of Administrative Services aligned under the leadership of the vice chancellor Administrative Services, Marc Fisher.

At the time of this review, the director of FM, David McHale, reported directly to the vice chancellor for Administrative Services. Recruitment is underway for a new position, the associate vice chancellor for Campus Design and Facilities, which will include Campus Planning and Design, Design and Construction, Environmental Health and Safety, and FM.

The review team found that the director of FM is given clear recognition of trust by members of the campus administration and by members of the FM management team. This high level of trust allows for open communication, respect for individuals, and enhances the organization’s ability to gain administrative support for important facility initiatives.

David McHale has defined a “Core Leadership Team” for FM that includes the director, an associate director of Planning, Projects, Systems (sometimes referred to as Operations and Systems), an associate director of Custodial and Grounds (currently a vacant position), associate director of Physical Plant/Energy, a director of Finance, and the manager of Human Resources. David McHale, in addition to his role as director, currently is filling the role of the vacant associate director of Physical Plant/Energy, his previous role before becoming the director of FM one year ago. The review team had some difficulty in understanding the organizational structure and in determining specific manager role and responsibilities.
The organizational design is hierarchical, with five members of the Core Leadership Team reporting to the director. Some organizational functions are characterized as having as many as six layers between the director and the front-line staff. The three associate directors have small spans of responsibility, ranging from one to four direct reports, although the associate director of Grounds and Custodial has more than 50 percent of the employees in the organization. The department managers of the functional areas have a potpourri of job titles: director, associate director, assistant director, manager, associate manager, superintendent, assistant superintendent, supervisor, and services coordinator, all of which add complexity to clear understanding of roles and responsibilities.

**Recommendation 1A**

The current FM organizational structure and alignment has no critical flaws that would be fatal to the organization. However, a few organizational structure changes are recommended for consideration based on the assumption that the department mission will continue to emphasize operations and maintenance services as its primary focus.

Management’s job requires drawing three kinds of lines when designing an organizational structure. First, the boundary lines which separate what’s inside and what’s outside the organization. Most of this work has already been done by the choices made to contract, source, or simply not include as functions within the purview of FM. Second, review the lines of the organization chart, which map how the whole is divided into working units and how each part relates to the other. This can be improved. Third, lines of authority are the sometimes invisible, but always important. Lines of authority determine who gets to decide what and how the internal relationships work together. This will need careful consideration as the current vacant positions associate vice chancellor of Campus Design and Facilities and the FM associate director of Physical Plant/Energy are filled.

More than anything else, where the lines are drawn depends on what the organization is trying to accomplish and on how it is trying to do better. A clear strategy aligned with the organizational purpose, the FM mission thus becomes a blueprint for the organization’s design, shaping the most basic decisions about its scale (how big must we be?), its scope (how far should our service activities extend?), and its structure (how should we organize?). Drawing the lines of organization is the concrete answer to these questions.

Following on the work performed during the campus visit and after examining the current organizational structure, alternate choices for organizational alignment are recommended for consideration. The re-organizational option recommended is for Custodial and Grounds and is described further in criterion 5.12 in Section 5.0: Development and Management of Human Resources.
Organizational design matters and impacts the performance of every individual, from what kind of information employees receive to how they prioritize tasks to how they are held accountable for results. As such, clear roles and responsibilities are an important determinant of success. The clarity of roles and responsibilities can be improved particularly in the organizational division Planning, Projects, Systems. The functional alignment under the associate director of Planning, Projects, Systems is a mixture of administrative support, facility operations, and maintenance functions. This section of the organization also lacks clear demarcation of the management roles and responsibilities for the assistant director.

1.2 Describe how the leadership system includes mechanisms for the leaders to conduct self-examination, receive feedback, and make improvements.

The review team found that FM leaders utilize a number of mechanisms in addition to their individual annual performance evaluation in order to capture feedback and to help them examine their performance. Some of these activities include:

- The members of the FM Core Leadership Team meet individually on a weekly basis with the director for the purpose of discussing their particular area of responsibility. This is a meeting where the strengths and opportunities for improvement of each team member’s specific area of responsibility and particular challenges can be discussed with the director.
- The associate and assistant directors hold weekly customer service meetings to receive feedback on services.
- The director attends a bi-weekly meeting with the vice chancellor of Administrative Services and his peer directors in Administrative Services.
- The director attends monthly meetings with the deans conducted by the vice chancellor of Administrative Services, where specific needs and information can be exchanged with the focus on areas and topics of specific interest to the dean.
- The director conducts “mini-town hall” meetings three times per year where FM staff feedback and questions and answers are exchanged.

**Recommendation 1B**

It is recommended that the director of FM conduct group meetings with a prepared agenda with members of the Core leadership Team. Agenda items should be those things that the team is working on that address the accomplishment of the group purpose such as progress reports on strategic goals and objectives, the development and progress of key performance indicator measures for the department, development of a performance dashboard, budget development and budget expenditures review, and other topics relating to workplace and workforce development and capacity building.
Facilities Management stands to benefit from decisive leadership that summarizes what has been discovered to date through its Year of Discovery. The organization will benefit substantially from a management commitment to a priority-based plan of action.

It is also recommended that consideration be given for initiating a 360-degree type of performance evaluation for the director and all members of the Core Leadership Team.

1.3 Describe how the organization aligns its missions, vision, and value statements with those of the institution.

Facilities Management has articulated a mission statement that is congruent with the university’s mission and demonstrates an understanding of its group purpose. Its values statement also has been developed and shared with every FM employee. Laminated card versions of the mission and value statements fits into employee identification badges and are carried by employees.

Recommendation 1C
Consideration should be given to visibly displaying the FM Department mission and value statements throughout FM offices and shop workspaces.

1.4 Describe how effective the senior leadership of the department has been in establishing and sustaining internal and external communications plans that (a) educate the campus community on the facilities department’s role in institution success, (b) promote customer and stakeholder feedback, and (c) reinforce the role of front-line staff in creating a positive public impression of the quality of organization services.

Although members of the FM Core Leadership Team conduct weekly customer service meetings, there is an opportunity to do more to educate the customers on FM services to the campus, as these services relate to quality standards, frequencies of service delivery, and capabilities and capacity of the FM Department to meet different customer expectations. The review team found that many customers have a positive impression of FM staff and an understanding of resource limitations. FM leaders have developed very good relationships with many members of the campus community. Many of those who participated in our interview process commented about increasing confidence and credibility of the FM organization. FM department members are active on many campus committees that give staff members significant opportunities to establish positive relationships with other members of the campus community.

Recommendation 1D
Communication will continue to be every leader’s number one challenge. The review team commends the FM leaders for all the work they have done to
improve communications. Although a substantial amount of work has been done to improve in this area, more is needed. Organizational strengths, as well as opportunities for improvement in communication challenges, are contained in Section 3.0: Customer Focus and Section 5.0: Development and Management of Human Resources.

1.5 Describe how representatives of the facility department engage with key communities, both on and off campus (e.g., town and gown, agencies having jurisdiction), and contribute to the enhancement of their various communities—both personal and professional.

The review team found that the appropriate members of FM are sufficiently engaged with the Santa Barbara community, members of University of California Office of the President, state and local government, and regulatory agencies that have jurisdiction at UCSB.

1.6 Describe the leadership development and succession plans presently in place to ensure continuity of leadership.

Facilities Management supports active training for emerging staff into leadership positions by encouraging participation in supervisor certificate training, Gaucho U programs, UC management development programs, and through attendance at professional conferences. The stated goal is to provide opportunities to participate in inter-department campus committees and student organizations to learn about the campus, develop a broader understanding of FM’s role on campus, and to strengthen and develop campus relationships.

The review team did not observe any plan or activity that directly addresses continuity of critical departmental positions.

Recommendation 1E
Although FM reported in the self-evaluation that the department supports active training for emerging staff, a more directed talent management effort should be considered. Success in this area requires having the right people, in the right place, at the right time. In accordance with university policy, FM is encouraged to develop a workforce plan that will identify the most critical positions and develop an approach for identifying and developing the right individuals into those key positions. A practical approach is recommended that allows for a total assessment of the most critical position needs of the organization and the development of a plan of action to address these needs.

1.7 Describe how the leadership of the facilities department emphasizes the importance of, and engages in excellence.
“Leadership by Example” is said by FM leaders to be a primary philosophy to emphasize the importance of excellence. The review team found that this philosophy and active practice begins and is regularly demonstrated by the vice chancellor of Administrative Services. The Crucial Conversations program and practices has a positive impact on the department’s emphasis on the importance of achieving excellence. The FM core-values, RISE: Respect, Integrity, Stewardship, and Excellence, also have a positive effect on employee engagement in excellence.

**Recommendation 1F**

Facilities Management leaders are encouraged to continue to recognize excellence through increased employee recognition programs such as an “FM Award for Excellence” to visibly recognize and acknowledge those who regularly deliver excellent work. FM should consider continuing to develop its standards of performance and service levels described in Section 3.0: Customer Focus and Section 6.0: Process Management. There is also an opportunity to strengthen the link to this quest for excellence directly to the department values by including the practice of these values as part of the award criteria.

1.8 Describe how the leadership of the facilities department promotes and ensures ethical behavior in all interactions.

Facilities Management promotes ethical behavior through ethics training, which all staff are required to complete every two years. Additionally, Crucial Conversations training and the mini-town hall meetings provide agenda for discussing department core values.

**Recommendation 1G**

Criterion 1.3 on page 37 calls attention to organizational values and recommends that facilities leaders take time to articulate organizational core values. An important part of the leader’s role and responsibility is to create a work environment that is conducive to people coming to work and doing their very best. Employee commitment to core values are ethics which infuse the creation and delivery of services and which guide internal and external relationships. A tenacious adherence on the part of the leadership team to the spirit and letter of organizational values is recommended.

### 2.0 FACILITIES STRATEGIC AND OPERATIONAL PLANNING

Strategic and operational planning consists of the overall planning process, the identification of goals and actions necessary to achieve success, and the deployment of those actions to align the work of the organization. The successful facilities organization anticipates many factors in its strategic planning efforts: changing customer expectations, business and partnering opportunities, technological
developments, institutional master plans, programmatic needs, evolving regulatory requirements, building organizational capacity, and societal expectations, among other criteria.

2.1 Describe the strategic plan that was developed for the facilities organization that includes the goals and objectives of the department.

The APPA team found that the development of a strategic plan is a work in progress, as detailed in the self-evaluation. The FM Department has created a mission statement as part of its Year of Discovery, the first year in a three-year process to develop the strategic plan. The APPA team believes the new mission statement can be evaluated against metrics to determine the degree to which the department is achieving its stated mission. During interviews among various campus stakeholders, it became apparent that the department is already achieving its mission of providing the physical environment needed to support the university’s mission. Buildings and grounds are operable, clean, and attractive. Stakeholders identified no fatal operational deficiencies, albeit many expressed concern regarding the future condition of buildings if renewal and major repairs were not forthcoming. The campus is at a critical juncture in defining the degree to which its academic and research excellence will be supported by modern and fully functional facilities. The completion of the strategic plan is therefore extremely important in terms of guiding operations, budgeting, and capital decisions.

Unfortunately, many strategic plans are not strategic; they are, as Chancellor Yang pointed out to the APPA team, simply glorified budget requests with no ties to economic reality. By definition, strategy evolves from recognition that financial and physical resources are limited, and that decisions must be made realistically on what can be achieved and where money should be spent to maximize the organizations objectives. For example, as discussed with Chancellor Yang, the strategy of UCSB was to forego academic program expansion such as a medical college or law school and instead focus on the recruitment and retention of faculty in its existing programs. This strategy has obviously paid off given the number of Nobel laureates the institution has garnered over the past several years. Likewise, the FM Department must openly discuss with its stakeholders and leadership where the biggest bang of the facility budget is and will be in the future: classrooms, the library, faculty offices, research labs, or grounds? In order to achieve this focus, what is the biggest bang for the buck in terms of modernizing the FM function: work-order systems, quality control systems, financial systems, key and security management systems, deferred maintenance audits and management systems, or laboratory safety management? The point is that once a strategy is developed, it drives many other decisions regarding operations, organization, support, and staffing. Currently, like many universities, the default strategy has been to try to satisfy everyone to some degree and to allow the accumulation of building repairs to accelerate. This strategy is not sustainable and will just increase frustration at all levels of UCSB.
One possible strategy emerged based on discussions with the chancellor and the executive vice chancellor. The executive vice chancellor is engaged in strategic plans for the preservation and future enhancement of the academic and research programs. The facilities strategy would then focus its resources in alignment with the academic strategy such as on the spaces most important to the faculty and the recruitment of new faculty. Student spaces would then fall perhaps under an umbrella auxiliary enterprise organization whose combined resources would be directed to not only the traditional areas of housing, union, recreation, and food service, but to other areas used by students such as the library, mall areas, bike lanes, and study areas/general use classrooms. It should be noted that this does not imply to different facility organizations. The APPA team believes all facilities operations should be organized under one facilities department so that information systems, financial, and HR functions are not duplicated, nor are leadership or management levels. However, such a unified organization could be bifurcated at lower levels to actually deliver required services and to reflect actual funding at those levels.

In summary, the above is intended to demonstrate only one possible strategy among several possibilities. UCSB must in the end choose one that fits its mission and goals.

Recommendation 2A

Complete phase 2 of the three-part strategic planning process that should include a facilities strategy that is in alignment with the academic strategic plans and objectives. As part of that strategic plan, address the unification of all facilities functions to reduce overhead and to develop a more comprehensive management approach to the physical environment for all campus constituencies.

2.2 Describe the process used to develop the strategic plan, and how participation from internal and external stakeholders was sought out, the process used to gain approval of the plan by the administration, and how it was communicated to internal and external stakeholders.

The Facilities Department has undertaken three-year processes to evaluate its position, define its goals, and then begin implementation of process improvements. These processes are called the Year of Discovery, Year of Innovation, and Year of Implementation. Year 1 is nearly completed, and the department plans to form a leadership team to identify the opportunities for the Year 2 innovation phase. The conduct of the FMEP is a component of that process and is included as part of the Year 1 activity.

While the team applauds the establishment of a process to develop the department’s strategy and goals, it also found that there is a broad acceptance in several areas that if addressed, would permit the department to fulfill its mission. These areas include better financial data and controls, work management, departmental communications, organization and, of course, dealing with the accumulated deferred maintenance problem.
The department’s leadership agreed there is no reason to wait until the completion of the three-year process to begin tackling these issues and, in fact, several members of the team have begun to do so. The APPA team feels that the three-year process should be accelerated and that the innovation and implementation phase of several high-priority management enhancements begun immediately. In other words, the planning process should immediately move to a continuous improvement cycle beginning with those improvements that have already been identified as a high impact and high priority need. “Time and tide waits for no one.”

The department’s leadership has spent considerable effort and time to meet with a broad cross section of all its stakeholders. It conducts at minimum yearly meetings with several key customer groups and holds periodic town meetings with its employees. This effort has paid dividends because the APPA team found wide understanding of the issues facing the department and the university with regard to its facilities. Several academic leaders expressed a general feeling that the primary problems with facilities were the years of deferred maintenance and not the performance of the Facilities Department. Most employees interviewed had positive attitudes toward the department’s leadership team and were supportive of their efforts to better define the department’s direction. That is not to say that there were areas that both customers and employees felt improvements were needed, but just to affirm that the leadership’s efforts to open communications with its various stakeholders was an excellent investment of time.

**Recommendation 2B**
Select a few key areas for immediate enhancement and begin to implement solutions to those areas.

**Recommendation 2C**
Work with the Department of Public Affairs to develop a communications plan that will improve both routine and special communications with various campus constituencies. One important aspect of communications is not only to ask for feedback, but also to report on what has been accomplished as a result of that feedback.

2.3 Describe the processes defined to ensure that strategic goals and key performance measures are understood by all and the extent to which those goals and measures are periodically reviewed.

The FM Department participates in the University of California P-4-P and recently the APPA Facilities Performance Indicator (FPI) survey to identify and compare key performance metrics. A formal analysis of how the institution fares in such metrics has not been completed and shared with the institution’s leadership or its stakeholders.
In late 2012 and early 2013, the department conducted a customer survey where several key work performance measures were identified and evaluated. It was not clear to the APPA team how this information was used and if measurements of the key metrics have been used to evaluate performance since the survey was completed.

The APPA team found no evidence of a statement of annual goals that unified the department and was communicated to employees or stakeholders other than the three-year planning process. The department does not presently use an annual “state of the university” analysis to identify goals for improvement. It was also not clear how it links the university’s goals or key academic goals into an annual goal-setting process. It does, however, plan to use the FMEP to help it develop its longer strategic goals for the department.

To its credit the department’s leadership, it understands the need to establish broad strategic goals and then develop annual goals that specifically define actions in each of its core product areas necessary to achieve the strategic goals. They have confirmed that this is the ultimate objective of their three-year planning process.

**Recommendation 2D**

Identify a few key institutional-level performance metrics to be annually evaluated against data from the P-4-P and FPI global metrics. Establish critical performance indicators for each of the department’s three core products that can be used to measure progress toward their improvement goals. These measures will establish the department’s performance dashboard for annual reporting to stakeholders.

2.4 Describe how the institution’s and the facilities’ master plans incorporate and reflect principles of sustainability, total cost of ownership (TCO), and overall facilities renewal.

The FM organization has the benefit of operating with a defined campus master plan and approved LRDP.

The APPA team was impressed with the high level of sustainability practices found during the evaluation. At all levels of reuse-recycle-reduce, the campus should win the Nobel Prize. It is truly remarkable in the experience of the members of the APPA team.

It was apparent that FM’s leadership intimately understands the principles of TCO. Several times the concern was expressed that resource levels are only sufficient to address day-to-day needs and not to make critical facility reinvestments necessary to keep assets viable over the long term. One academic leader indicated the institution was only putting “lipstick on a pig.”
For capital renewal, the institution presently uses a life cycle cost model called the “Firm” to measure deferred maintenance requirements. Such models are useful to identify end of useful life components, but are not the same as a condition analysis that measures the actual condition of facilities at a point in time. The value of a condition analysis is that it establishes a baseline in which decisions on reinvestment versus replacement can be made. For example, if a decision is made that a building needs to be replaced or completely renovated in order to support its occupied function, then other dollars can be directed toward retaining other assets that have not yet reached that point. APPA’s recent publication *Effective and Innovative Practices* has several good chapters applicable to various issues the department is facing, but one, the chapter on Portfolio-Based Management is directly applicable to the identification and prioritization of facilities renewal decisions.

**Recommendation 2E**

*The institution should carefully consider conducting a facilities condition audit that not only looks at renewal needs but also consider the functional value of the buildings. Based on its findings, the LRDP of the campus should revise its capital plan to identify those buildings that require replacement/renovation and those building only requiring reinvestment.*

**Recommendation 2F**

*The capital plan should be revised to consider the orderly replacement of facilities over time so that there is always a logical empty chair. It should also avoid infill that encapsulates older buildings, making it highly expensive and disruptive to replace them as they become obsolete. The plan should also include identification of strategic land acquisitions as opposed to a strictly opportunity-based real estate process.*

2.5 Describe the current strategies and processes defined to ensure continuity of functions in the event of staff turnover, contractor failure, or other unanticipated disruptions.

The steps taken to ensure bench depth in the case of turnover and emergency response are both typical and reasonable. The department’s leadership conducts routine staff meetings to plan work and to ensure continuity of assigned responsibilities.

Other than in custodial operations, there is no extended supervisory or trades coverage beyond the normal daytime shift. A few customer representatives voiced concern over the length of time that on-call repair staff took to respond to unexpected breakdowns. Many of the maintenance staff lives some distance from the main campus. As research grows, this may become a more repetitive problem. Building trades supervisors’ work with contractors to schedule and coordinate utility shutdowns and other disruptive work. An e-mail system is used to notify campus constituencies. There did not appear to be significant problems with scheduling or coordinating contractor activities. Some issues arose though in planning and coordinating
work within the facilities operations. Grounds staff complained of repeatedly being reassigned to assist other shops on utility work such as general labor, trenching, and site clean up. FM recognizes that improved work planning and scheduling processes is required.

**Recommendation 2G**  
Facilities Management should consider extending its onsite hours of coverage. A single general maintenance technician would be sufficient to respond to unexpected disruptions and, at a minimum, assess the situation and call in additional help as required. Regular duties could include assisting with lock-up and preventative maintenance.

### 2.6 Describe the emergency response plans that are currently in place, and how they are communicated to facility employees and the campus community as required.

The campus has an emergency response plan that unfortunately has been actually tested in recent emergencies. The APPA team examined the plan and found it is consistent with the incident command concept. The plan is regularly drilled by the Environmental Health and Safety Department, in which the Facilities Department participates. In addition, as presented in the self-evaluation, the plan is periodically reviewed and discussed with both the department’s management as well as its employees. It was not clear, however, how the results of drill and actual emergencies are used to further strengthen the plan or training via a post mortem process.

A question that needs to be answered is how the campus would deal with an emergency that requires a response from a large number of the FM staff or perhaps the entire department. Access to the campus is fairly limited with only a few major arteries for ingress and egress. The campus has a resident fire station making first-response more readily available. In a major catastrophe, plans should consider the necessity and timeliness of response from skilled trades and those with technical knowledge about the physical plant and plant operations. A more thorough review of ingress and egress for emergency responders may be warranted in the campus emergency plan.

**Recommendation 2H**  
Given its location and the potential for damage from seismic activity, the campus should carefully anticipate a call for utility shutdowns during major emergencies as well as large quantities of water for fire suppression. Given the large number of students living on campus, FM and the Housing Department should consider how to integrate emergency response planning, mitigation, and recovery.

### 2.7 Describe the process and timing for a regular, periodic review of the facilities strategic plan.
The department’s strategic plan is still in a developmental stage. Thus, there is no schedule established for its periodic review.

**Recommendation 2I**

*Upon completion of the strategic plan, the Facilities Department should establish annual goals for each of its core products. The goals should form the basis of the annual budgetary decisions within the department.*

2.8 Describe the process used to develop the capital plan, addressing needs for renovation, major repairs, and/or upgrades.

Responsibilities for the Capital Plan are resident in the Office of Budget and Planning and the Campus Planning Committee (CPC). The Facilities Department supports the vice chancellor of Administrative Services and the assistant chancellor of Budget and Planning with information on deferred maintenance and facilities infrastructure. The APPA team found that both leadership positions in Administrative Affairs and Budget and Planning are very sensitive to the needs for capital renewal and replacement.

The APPA team was interested on how repair versus replacement decisions were made on the campus since capital planning and FM are in separate organizational structures. Repair investments are not necessarily integrated with replacement decisions, particularly when total replacement would be less costly and less disruptive. The APPA team was assured that such issues are considered, yet found several examples that raised questions about the process. The Capital Plan does not describe how such analysis contributed to projections of the campus future development. The Facilities Department is not advisory itself to the CPC.

**Recommendation 2J**

*A closer working relationship between FM and Capital Planning is advised. One way to bridge the organizational divide is to strengthen the working staff committee consisting of the director of Capital Planning, the director of FM and perhaps administrative heads of Housing and Recreation to develop consensus staff analysis and recommendations on future buildings, infrastructure, and deferred maintenance priorities. This working committee would support the vice chancellor and assistant chancellor in advising the CPC.*

2.9 Describe the processes utilized to ensure a budget is developed with input from multiple levels of staff utilizing historic expenditures, needs analyses, and with effective allocation of available resources to support the organization’s goals and objectives, while seeking new and innovative measures to leverage resources.

Like many universities, UCSB uses a transaction-based budgeting method with highly centralized control. The campus uses a top-down fund-based budgeting process managed
by the Budget and Planning Office. Based on state funding levels, annual operating budgets are adjusted to meet fixed expenses and mandates. Any money left over has been directed toward academic programs and faculty recruitment. New academic initiatives are largely funded from gifts and grants. Rarely does external funding from such gifts and grants go toward facilities repair or renewal, other than naming of new construction. Funding for deferred maintenance, for example, has largely been absent from state funding, but now has reemerged with the passage of Proposition 30. In addition, the UC System has delegated higher control of resources to individual campuses through its Funding Streams Initiative, in order to “simplify university financial activity, improve transparency, and motivate campuses to maximize revenue.”

At UCSB, budgeting methods largely mirrored the UC system’s allocation, and the APPA team found the perception among most campus constituencies that “budgeting was something the Budget and Planning Office did.” Within the Facilities Department, there was little understanding of the budget process other than at the leadership level. The prevailing attitude was once the budget allocation was determined then plans for the year could be set. Funding beyond the base budget comes from the chargeback system. Thus, the immediate assumption is prevalent that anything beyond the most fundamental services must be charged to someone else. This is similar to the academic departments’ belief that anything beyond the status quo must be funded from external sources, such as gifts and grants. This means that a good portion of everyone’s time is spent on the hunt for someone else’s money. Such behavior is directly related to the opaqueness of a transactional-based budgeting method.

The APPA team found a high level of friction created by this system. Campus departments are required to provide an account number whenever a facilities service request was submitted and then the appropriateness of charging for the service was negotiated. Thus, the real and implicit costs of processing transactions is high and diverts people’s energy and time from more important activities, such as planning the work.

Leadership in the Facilities Department expressed the desire to push budgets farther into their organization in order to get better prioritization and goal setting within its management team and has taken steps to do so. The APPA team also believes a more enterprise-like budgeting process would aid the department’s desire to move from a reactive to a proactive response.

An enterprise budgeting system would replace the current chargeback system with annual service-level agreements much like those used in private industry. For the contracted price or budget in this case, a certain level of service is agreed upon in advance, and then the facilities organization is responsible for providing that level of service. Any change to the level of service is negotiated, much akin to a change order. Thus, thousands of chargeback transactions are replaced with a dozen or so contracts. This is a total fund approach and allows management to shift their focus from arguing chargebacks to optimization of service.
levels. It also requires better planning and objective setting in order to estimate the annual facility services.

The APPA team did not discuss this particular possibility with the Budget and Planning Office, but found its leadership receptive to improvements in budgeting methods that would enhance both results and accountability. The APPA team can provide more detailed information if the decision is made that an enterprise system might prove feasible for UCSB.

**Recommendation 2K**

The Facilities Department should continue its efforts to establish unit level budget responsibility. In addition, it should begin the process of annual budget requests tied to annual objectives within its operating units to help shift the management teams’ focus from reacting to change to planning for change.

**Recommendation 2L**

A shift from the allocation/chargeback system to all-funds budgeting process should be carefully evaluated. This is consistent with UC’s Funding Streams Initiative and should achieve the same intended consequences within the facilities organization as it has done with the UC components.

2.10 Describe the process used to ensure that the capital planning process aligns itself with the campus master plan and the institution’s strategic plan, in terms of preferences and current and future priorities/initiatives. Provide your institution’s definition for each of these plans.

The central unifying entity for all capital decisions is the Capital Planning Committee, which advises the chancellor. The regents and the Office of the President who must ultimately approve all capital projects, as well as the Coastal Commission, who retains general land use approval also provide an additional layer. It is doubtful that anything but the most well considered proposal could ever reach the light of day.

However, see the discussion in criteria 2.4 and 2.8 for recommendations on how the overall capital planning process could be further enhanced.

2.11 Describe the process used to ensure that representatives from operational units participate in the development of construction program planning and are active participants in the acceptance of completed projects and documents. Both the Facilities Department and Design and Construction report to the vice chancellor of Administration. FM is involved in project planning, execution commissioning, and acceptance.
Design and Construction manages building records including as-built, available via PDFs on their web-page files. FM is able to participate in the design/construction process to the degree staffing and time permits.

The Facilities Department has not assembled design standards that specify building systems and components in order to simplify maintenance requirements (e.g., Southwest Airlines only uses Boeing 737s to simplify training, parts, and maintenance). There are also no building finishes standards, furniture standards, or other standard specifications.

The use of standards is most well developed in the area of sustainability, through the LEED certification process. The Facilities Department also has a post-commissioning process it has begun to deploy, called Monitoring Based Commissioning (MBCx). The aim is to improve equipment functions to achieve high levels of energy efficiency.

**Recommendation 2M**
*Serious consideration should be given to development of building standards.*
*While time consuming, the development of such standards could be jump started by exploring standards development of other UC campus components and with members of P-4-P. Once in place, the use of such standards would help simplify maintenance and custodial requirements and guide decisions on future capital renewal costs.*

2.12 Describe how leadership is building and expanding organizational capacity and capabilities.

The facilities leadership initiated a program called Critical Conversations in order to enhance communication skills and customer relationships for all members of its department. This program was eventually migrated to other areas of the university. In addition, the department promotes involvement in other training programs for its employees such as Gaucho U.

The department conducts town hall meetings with its employees to expand their understanding of the various responsibilities of the department, key management personnel, its three-year strategic planning process, safety and emergency response programs, as well as the current status of its operations and construction projects. This has been generally well received by employees.

The department also promotes active participation in developmental activities associated with its membership in P-4-P and APPA.

The department recently reorganized its structure to provide better oversight and training of its maintenance staff. It has sought to fill its management team with individuals knowledgeable and qualified to lead its various responsibilities. A trained engineer who
understands the technical aspects of functionality, safety, and reliability leads the department.

The department’s leadership has formed constructive relationships with all university constituencies and works closely with its peer groups in Auxiliary Services, Design and Construction, and the Office of Budget and Planning’s capital planning. It has sought to involve customers, peers, and employees in an open discussion on its future direction.

Overall, the APPA team was impressed with the department’s outreach efforts to all of its stakeholders and the university’s leadership. Their effort toward complete transparency has generated considerable good will across the university and will lead to greater trust as it delivers on its promises.

2.13 Describe the practice used to ensure the workplace environment optimizes staff performance.

The Facilities Department’s shops and offices are rudimentary but serviceable to support its mission. No further modernization is planned since the current site is designated for future housing expansion. Alternative sites are under consideration and future development of shops and offices will afford an opportunity to enhance its operations and provide a more modern workplace environment.

The APPA team was impressed with the quality of the department’s service vehicle, which reflects professional management by its supplier, Transportation Services. Shop equipment is also judged as adequate, although further investment in the upgrade of custodial equipment should be made.

The department has published maintenance standards that are used for employee evaluation and orientation. However, the standards need to be revised to reflect current conditions, and key metrics are needed to monitor performance.

The department’s leadership is genuinely committed to the university mission and has communicated its mission and values, by words and deeds, to all levels of the department. The attitude is positive, toward one of future possibilities and achievement, and has been embraced by a large segment of the workforce. The APPA team found that the department is well poised to improve its performance and its wise use of resources.

Recommendation 2N
Review and revise its maintenance standards based on the customer groups served (e.g., classrooms, library, faculty offices, grounds, etc.), perhaps as a step toward service level agreements.
3.0 CUSTOMER FOCUS

Customer focus is a key component of effective facilities management. Various stakeholders (faculty, students, staff, and other administrative departments) must feel their needs are heard, understood, and acted upon. Various tools must be in place to ensure customer communication, assess and assimilate what is said, and implement procedures to act on expressed needs. To be successful, a facility department ensures that its customers have an understanding of standards, tasks, roles, frequencies of services, etc.

3.1 Describe the process you use to identify your customers.

The review team found that FM is doing a commendable job of identifying their key customers and communicating with them on a regular or as needed basis. These customers include building managers, departmental business officers, individual faculty members, staff persons or students who may call FM to report a problem or otherwise make a service request through the TMA work-order system. Members of the facilities team then respond and sometimes, but not routinely, interact with work-order initiators to resolve the reported issue or provide the needed service/support to the building or an individual occupant.

Facilities Management has also made an effort to interact and develop relationships with key campus stakeholders such as the Academic Senate, academic chairs and deans, and the Office of Budget and Planning. These relationships are valuable in that FM can share information about its organization and also hear feedback from these groups about their performance. Other benefits derived from these meetings is a better understanding of the challenges these campus partners face and the opportunity to collaborate with them in long range planning, especially as it relates to new/renovated buildings and utility infrastructure.

The review team heard many positive comments about the FM organization during its time on campus and through the interview process with campus constituents. The efforts FM is making to build relationships with their customers and to establish themselves as a credible and professional organization was favorably acknowledged by the majority of the people interviewed by the team. Clearly, campus stakeholders are gaining more respect for and confidence in UCSB’s facilities organization.

Recommendation 3A
It is recommended that the FM leadership assess how their internal administrative support groups such as HR, customer service, IT, and budget are servicing the other departmental units within the facilities organization.

3.2 Describe how you identify the needs and expectations of both your internal and external customers, and how you measure your success in meeting those expectations.
Facilities Management does an excellent job of soliciting customer feedback through their annual customer service meetings. These meetings include key departmental building and budget managers as well as key leaders from the facilities organization. These meetings are well attended and useful for responding to customer questions and service concerns, for establishing clear expectations for service delivery, and for sharing information about construction or maintenance projects on campus that may impact buildings or occupants. Following the meeting facilities leadership uses the information provided by their customers to implement corrective measures or to make modifications in the way service is provided in one or more areas of their department. Additionally, FM together with the vice chancellor for Administrative Services and representatives from the Budget Office and Planning, Design and Construction meet monthly with academic deans, the vice chancellor for Research and others to discuss projects being initiated, are underway, or in the planning phase. These meetings serve as a forum for soliciting concerns about service delivery or feedback about other operational problems and provide an opportunity for FM to share information regarding organizational changes, procedures, and standards of performance.

According to its self-evaluation, FM also uses surveys to gauge customer satisfaction levels through its customer service center. However, the review team was not provided copies of these surveys nor any information regarding the feedback and results achieved through the survey process.

Several customer representatives commented on the inadequate communication by FM regarding their work orders and the status of work orders. One dean, in particular, characterized the work-order submittal process as going into a “black hole.” That is, the customers don’t know when or if a response to the work order will or has occurred, and they seldom hear from the responding technician as to whether the issue was resolved or deferred due to delays in material acquisition or other reasons. These representatives also noted that custodial standards are posted on a website but actual cleaning results do not match the posted tasks and frequencies shown on the standards. Reportedly, there is also considerable variance in cleaning results from one building to another and from one custodian to another.

**Recommendation 3B**
*While campus representatives were complimentary about the annual customer service meetings, some expressed a desire to have such meetings more frequently than once per year. Thus, it is recommended that the customer service meetings with building managers and departmental budget managers be held more frequently.*

**Recommendation 3C**
*Develop a rigorous and consistent customer service survey process associated with work-order completion that measures levels of satisfaction on a scale of 1 to 4, with 1 being unsatisfactory and 4 being very good. The survey could include*
just four simple questions such as these examples: (1) Was the service technician professional? (2) Did the service technician respond in a timely manner? (3) Did the service technician communicate what the problem was, how it was fixed, or why the fix would be delayed if such delay was necessary? (4) Are you satisfied with the work quality? When customers submit multiple work orders on a daily or weekly basis, it is important to randomly select only one or two of them to survey, rather than all of them so the customer representatives are not overburdened by the survey process.

Recommendation 3D
Develop key performance metrics to measure the customer survey responses for each departmental unit providing service on a work order. Also, develop metrics to measure work-order turnaround time, backlog including aging, and number of completed work orders by the Facilities Department, including preventative maintenance. All these results should be regularly shared with the entire facilities organization and integrated into the performance evaluation process whenever possible.

Recommendation 3E
Improve communication to customers on work-order assignment and status including providing them an estimated response date. Train service technicians on effective communication methods to your customers including face-to-face conversation or the use of hang tags or other devices that signal a response to a work order or explains the delay, such as pending acquisition of materials or other reasons.

Recommendation 3F
Improve communication to the campus on change in standards, service delivery, and/or organizational structure. Clarify what services are provided to the campus for free and which ones are available to purchase for a fee. Revisit the custodial cleaning standards and revise them to depict actual cleaning and frequency levels that can be achieved. Communicate those revised standards to the entire campus community via regular customer service meetings and/or face-to-face visits by the leadership staff in FM. Invite UCSB’s Office of Public Affairs to assist you in developing your overall communication plan for the campus.

Recommendation 3G
The review team recommends that the deferred maintenance listing be shared with building managers, departmental budget officers, and academic leaders so there is a broader understanding of the capital renewal backlog on the campus. These reviews may also precipitate a shift in deferred maintenance priorities for a particular school or department based upon input from these academic leaders.
**Recommendation 3H**

The review team recommends that FM undertake a comprehensive training program for the entire custodial staff. This should be done in conjunction with the revision of cleaning standards. Such training is pivotal in achieving more consistent cleaning results throughout the campus.

3.3 Describe the process you use to establish the type of organizational structure and levels of service most likely required to meet customers’ needs and expectations, and describe the communication processes you use to share those service levels and structure.

The organizational structure in facilities and the levels of service they provide to the campus are dictated more by available resources than by customer needs and expectations. Reportedly, the facilities budget has been reduced by approximately 30 percent in the past 15 years. Campus constituents acknowledged that FM had suffered severe budget cuts over time and customers have reduced their expectations to align more with what is currently provided in the way of service, rather than advocate for service levels that are important to them. Despite lower expectations and lower standards, FM receives good marks for their dedication and willingness to become a more efficient organization. The review team is concerned that as new campus facilities are brought online without corresponding increases in the facilities budget, current levels of service could be eroded further. This will likely result in an unacceptable reduction in custodial and building maintenance services, which are now marginal.

Service level standards and frequencies for custodial, grounds, and building maintenance are posted on the FM website. See comments regarding custodial standards versus perceived results and recommendations regarding revisiting the custodial standards and communicating any changes to the entire campus community in criterion 3.2 on page 52.

3.4 Describe the process that enables customers to obtain services and monitor progress or status. Describe the processes available to customers encouraging them to provide feedback on results and/or perceptions of quality and value.

There are several ways in which campus customers can obtain services from the FM organization, such as communication with the customer service center, a leader, or staff member in FM or through an online work order through the TMA work management system that can trigger service. After-hour calls are routed through UCSB’s police dispatch center that in turn, contacts a FM pager phone. The FM person taking the page will then dispatch the appropriate trades person to address the issue.

The review team learned that the process used to report an after-hour emergency and to summon help from FM frequently has an inherent delay associated with it. Many FM staff members do not live in Santa Barbara proper and consequently response can take considerably longer than desired or acceptable.
Recommendation 3I  

The review team recommends that FM consider shifting their preventative maintenance (PM) efforts to the evening shift. This could result in three very positive outcomes for the campus. (1) Trade persons would already be onsite to respond to off-hour emergencies so the response delay currently experienced would be mitigated; (2) Any collateral damage to campus buildings due to fire or floods would be minimized because staff is onsite; and (3) The productivity of the PM team would be enhanced due to their ability to shut down systems in coordination with building management officers to perform maintenance work without impacting to many programs or building occupants.

3.5 Describe how customer feedback is used to effect continuous improvement and innovation.

Customers may provide feedback to FM anecdotally and through more structured processes such as the TMA work management system and the annual customer service meetings, as well as through administrative channels.

A more formalized customer feedback system is needed and is recommended as noted in criterion 3.2 on page 52. Implementing a periodic and random customer survey process associated with work-order completion is an excellent way of gauging customer satisfaction levels and learning about service delivery problems that you may not otherwise hear about. It is also a good vehicle for hearing positive feedback about service delivery and/or about the technician performing the work. Of course, complaints present an opportunity to improve the organization while compliments need to be shared with the entire facilities staff in the moment.

3.6 Describe the practice used to evaluate the extent to which both the leadership of the organization and its front-line staff meet customer needs and expectations.

The majority of the FM staff appears to be aware that providing the best service possible to customers is vital to the health of the organization. When customer compliments occur, the leadership of FM shares that information with the departmental unit and with the individual(s) who provided the service. This positively reinforces service behavior expected from the FM staff. Conversely, if a customer complaint occurs, leadership strives to understand where or why the failure occurred so the supervisor of the work area and the specific technician involved can be coached to deliver service in a different way in the future. This approach also underscores the importance of providing excellent customer service to the superintendent, the front-line worker involved, and other members of that work unit.
4.0 ASSESSMENT AND INFORMATION ANALYSIS

Assessment and information analysis describes how your organization uses information and analysis to evaluate and drive performance improvements. Of interest are types of tools used and how the tools are used to measure and enhance organizational performance.

4.1 Describe the processes that are used to identify and collect key performance indicators/benchmarking for your most critical areas. Describe your key performance measures determined to be critical to your organization.

Facilities Management invested in CMMS (TMA) some years ago. This system, although not web based, has the capability of collecting and massaging a wide range of FM-related data. Thus, FM has the capability of making informed decisions based on actual data and performance indicators. This system appears to be mostly utilized to the purpose of tracking and issuing project requests and work orders, as well as preventive maintenance work orders. Management has also attempted to use this system to assess the department’s work request response and communication response and effectiveness but is limited by current software capabilities.

The existing CMMS is underutilized. The process of collecting data is generally a traditional paper-based activity, the reliability of which might be in doubt. Financial feedback to the basic operating units, such as at the superintendent or supervisor level, is not available. Cost-based information relies primarily on UCSB’s enterprise system but is not segregated into individual cost centers. It appears that budget status and cost accounting information does not make it to any levels of management beyond the director’s office. FM has only recently determined and shared performance indicators, although there is a general awareness of when PM work is (not being) performed as scheduled.

Current and future needs of FM’s information system are determined, in part, by expectations that facilities data will be expected to interface with the campus’ information systems. Currently, FM is challenged by essentially having several independent and uncoordinated management systems that the managers have to work with, including a time reporting system and UCSB’s centralized “legacy” systems. Another factor that needs to be incorporated into the assessment of the current CMMS capabilities is how well it will be able to interface with the FM corporate asset management information system centralized at the University of California’s Office of the President, or if that is even a possibility. It certainly ranks high on the IT list of priorities, since this system is intended to capture a comprehensive building and infrastructure assessment of all university space, labeled the University of California Office of the President’s Integrated Capital Asset Model Program (UCOP-iCAMP). To the credit of UCSB, its representatives have been actively involved in the development of this initiative.
Recommendation 4A
FM should stay deeply involved in the development and implementation of ICAMP. Doing so will benefit the campus' determination of deferred maintenance and capital improvement requirements.

Access to facilities CMMS by campus constituents to report issues and emergencies has been intentionally limited to building managers or departmental contacts. This may be discouraging the population in general from reporting or following through on issues, some of which may as a result remain unreported.

Recommendation 4B
FM should consider making the ability to report, submit, and track work requests through the CMMS more available to additional campus constituents.

Recommendation 4C
The existing CMMS has a substantial amount of capability that by all appearances is not known by FM or not utilized by choice, for a variety of reasons. FM should collaborate with TMA, as well as its own IT specialists, to determine the capabilities of the system as it resides today. From that point of departure, FM leadership with the input of subordinate levels of managers and external campus stakeholders should identify additional performance indicators that could benefit and support daily work activities as well as long-term assessments. FM will be able to use such knowledge to make future operational and organizational decisions.

Recommendation 4D
FM leadership should ensure that all staff members, at all levels understand the purpose for the existence of the CMMS and the criticality of the proper application of all relevant data. Everyone needs to understand that accurate input is mandatory if credible information is expected out of the system. It is thus important that all staff receive extensive training in the use and application of the CMMS, beyond basic but ineffective “key-stroke” training.

Recommendation 4E
In step with other FM organizations in higher education, there is a genuine interest in the implementation of mobile technology. This effort should be seriously pursued and implemented, as this technology will allow virtually instantaneous information exchange among staff. This may be difficult with the current iteration of TMA. FM needs to determine if the current CMMS system is capable of supporting current and future needs and either invest in it or change systems (not an inexpensive venture regardless of the option selected).
Recommendation 4F

FM needs to identify key performance indicators that will enable it to more fully assess its operational health. This should be done prior to any decision being made regarding the future of CMMS at UCSB.

4.2 Describe the process that is used to incorporate the results of key performance metrics into a systematic evaluation that supports improvement of key processes, decision-making and innovation, and achieving continuous improvement within the facilities departments. Include discussions on return on investment (ROI) calculations.

As indicated in the preceding section, FM has not relied on nor does it currently rely significantly on key performance indicators or metrics. This has resulted in the current vacuum of information.

Recommendation 4G
See related recommendations under criterion 4.1.

4.3 Describe the process that is used to ensure that performance measures being used are current, valid, and how these align with those of peer institutions.

Facilities Management leadership is to be commended for participating in APPA’s recent FPI survey, as well as in the University of California P-4-P program. Doing so has provided management with information allowing a comparison against other institutions in the system, as well as other institutions outside of the system. Clearly management is already utilizing this newly found information to investigate apparent discrepancies and variations.

Recommendation 4H
Continue participation in APPA’s FPI survey and fully utilize results shared therein to examine and identify operational deviations that can rationally explain those variations. (Note: variations are not in themselves a bad sign, but can merely be reflective of other variances, such as culture, locale, etc.). FM should be prepared to incorporate any newly gained knowledge into its newest rendition of a five-year maintenance plan, as well as using the structure of the Year of Implementation to make adjustments as appropriate.

Recommendation 4I
FM should consider using the FPI survey information to further identify key performance indicators that will enable management to implement associated “continuous improvement” methodologies. One huge opportunity that exists and is line with the university’s “sustainability” philosophy is to monitor energy consumption on a building-by-building basis.
4.4 Describe the procedures used to communicate the results of the performance indicators and benchmarking to key campus decision makers and other interested stakeholders (internal and external) for the purpose of education, budgeting, and engagement. Describe the process used to validate the effectiveness of that communication process.

Section 3.0: Customer Focus of this report already identifies existing and additional communication opportunities that exist within and outside of FM. The recommendations under this criterion (4.4), pertaining to energy conservation, will benefit from effective and frequent communications regarding consumption patterns with internal as well as external customers.

It must be noted that as informal as the communication process has historically been regarding energy conservation, FM and UCSB in general have been highly successful in managing its energy consumption patterns, even as the campus gross square footage served has increased dramatically.

**Recommendation 4J**
Identify and utilize current and additional communication tools that will allow FM to share current data regarding energy conservation, as well as other key performance indicators. Some institutions generate a separate “energy” newsletter to great advantage. Sharing such information on its home page can only benefit FM in its efforts to manage energy consumption.

**Recommendation 4K**
These same processes can be employed to share the results of other key performance indicators that may be of interest to segments of the campus community. Current information regarding standard response time and completion time on work orders has been of interest to a limited number of campus constituents. More opportunities remain that will allow FM to become more “transparent” to the campus community.

4.5 Describe the process used to ensure hardware and software systems are effective, user-friendly, secure, reliable, and up to date. Include a description of the business continuity plan describing actions to be taken in the event of an emergency, or other out-of-normal event.

Clearly, the existing hardware and software systems do not meet the standards normally identified as “user-friendly,” up to date, etc. FM has been operating with its existing systems for an extended period of time (which could not be clearly identified by users). This tenuous situation for FM is further complicated by the campus’ conversion to another enterprise system (PeopleSoft), which continues to generate a “wait and see” environment. It should be noted that PeopleSoft does provide an FM component.
There does not appear to be a business continuity plan for FM IT systems, although the campus community as a whole does lay claim to a substantial emergency preparedness plan. Facilities Management’s IT systems are still very basic and currently may not have a high need for redundancy. Fortunately, payroll does not rely on TMA in order to be processed.

FM does have the benefit of receiving as-built plans, etc., in CAD format. This enables FM staff to have access to generally current and accurate representations of buildings, spaces, etc. Much campus information is also available in Geographic Information Systems (GIS)—a situation of which other institutions elsewhere might be envious.

**Recommendation 4L**

As FM proceeds with enhancements of its management information systems, its leadership should identify processes that will enable the interpretation and communication of essential data retained in its internal system. They may have to rely on a third-party or the vendor of the CMMS ultimately selected. Such redundancy will become increasingly essential as cost data, ROI calculations, deferred maintenance, and capital investment plans, etc., are housed on such systems.

**Recommendation 4M**

FM should avoid using PeopleSoft as its supporting technology for CMMS-type functionality. Not intended as a criticism of PeopleSoft, it is more a statement of reality concerning where FM’s needs might fall as contrasted with the campus’ other priorities (payroll, accounting, student support, etc.).

**Recommendation 4N**

FM should choose to be a leader in the application and utilization of building information modeling (BIM), as this is currently an evolving technology in building and space management. Future CMMS systems are likely to have the capability of integrating BIM information into their databases.

### 5.0 DEVELOPMENT AND MANAGEMENT OF HUMAN RESOURCES

An organization’s success depends increasingly on the knowledge, skills, innovation, creativity, and motivation of its employees and partners. Technical knowledge, skills, and experiences are a necessity for any FM organization. Recruitment and selection of qualified personnel is a fundamental for any FM organization. With qualified and competent staff, the FM organization can deliver services to effectively support and enhance the advancement and transfer of knowledge.

Advancing technology in building design and construction has made managing facilities considerably more challenging, sophisticated, and complex. Technical training is
increasingly important to keep a workforce up to speed with the environment that combines aging facilities with new era building systems. UCSB’s growing enrollment, academic commitment, and research success are accompanied with a growing expectation for a built environment that will support the institution’s mission. There is no doubt that the requirement for a quality and reliably built environment at UCSB is growing. The overall competency of the organization will be judged on its ability to manage, respond, and resolve issues with the overall physical plant.

The management and direction of the organization appears to be trending in a favorable direction with effective management of human resources and the alignment with institutional mission. The campus community has expressed concerns that enrollment, academic prowess, and research inertia may be outpacing the resources available for adequate operation of the physical plant.

A progressive FM organization fosters a climate and culture where employees are committed to a shared vision. The review team learned that every employee is provided with the FM mission statement and the values to which the organization subscribes.

The review team sensed the majority of the FM employees feel their individual performance contributes to the overall success of the institution. The team also learned that employee growth and development are encouraged. Staff members generally feel appreciated and are recognized for their accomplishments and contributions.

The FM organization under the leadership of David McHale is considered by the review team to be moving in a positive direction. Several FM employees expressed appreciation for the mini-town hall meetings, noting the meetings have helped them better understand their role and purpose in the larger UCSB organization. Employees were able to articulate how their role and contributions serve the larger institution.

5.1 Describe the process used by the department to identify and develop position responsibilities, determine competencies required, and develop job descriptions to ensure these all align with work unit and department roles and responsibilities, and that they are well understood by all members of the staff.

The review team notes that FM benefits from job descriptions that outline the general tasks that an employee is expected to perform. Qualifications for positions are outlined in job postings.

The repetitively heard the mini-town hall meetings hosted by the FM leadership have helped employees understand the organizational structure as well as how positions fit within that structure. There were a few isolated situations where roles and responsibilities were somewhat confused, but the overall impression of the review team is that roles and responsibilities are generally well understood.
A recent reorganization that established the superintendents responsible for specific trades has emphasized and clarified supervisory roles and responsibilities for the trades. The reorganization is generally viewed as a refreshing change by the skilled trades as well as by members of the campus community who have a working knowledge of FM operation. The newly created supervisory positions can enhance quality assurance as supervisors become more experienced with the importance of their establishing and monitoring employee performance. The understanding of the reorganization of the zones and trades is evolving, although not yet fully understood by some FM staff and by some who frequently interact with the FM organization.

**Recommendation 5A**  
*Continue to build and refine the job duties and responsibilities. The upcoming University of California system conversion to Career Tracks presents an opportunity to clarify roles and responsibilities throughout the entire FM organization.*

**Recommendation 5B**  
*The organization may want to consider a training session with new superintendents and their immediate supervisors that explores and develops shared expectations for what constitutes supervisory success.*

### 5.2. Describe employee recognition programs and practices and how they are used to encourage, recognize, and reward improved performance.

The FM organization publicly recognizes years of service and outstanding performance. Outstanding performance is recognized in group settings with commendations that are also recorded in personnel files.

Certificates of appreciation are publicly displayed in FM buildings and work areas. The mini-town hall forums provide an excellent forum for employee recognition. The organization is to be commended for including the names and pictures of employees in mini-town hall meeting slide shows. Employees appreciate the recognition.

**Recommendation 5C**  
*Continue to publicly recognize employees and to emphasize behaviors that are desirable. Consider periodically inviting members of the community who recognize outstanding performance to participate in employee recognition efforts.*

**Recommendation 5D**  
*Consider taking professional photographs of FM employees willing to be photographed while they are actively engaged in work activities. Then consider displaying those photographs in FM works areas: corridors and meeting rooms.*
Several FM organizations display buildings and designs in their public spaces; yet it is the people that determine the overall success of the organization. Displaying photographs of employees at work is another way for leadership to demonstrate the value of the human resource commitment.

5.3 Describe the process for setting individual goals and how they promote innovation in the department.

The Facilities Management Department outlines specific goals for individual performance in an annual employee performance evaluation process. The evaluation process should be used to enhance overall quality assurance by carefully comparing individual performance against the standards established for each area of responsibility.

Several campus users talked with the review team about the inconsistent delivery of custodial services, with variations in personal performance considered to be the primary cause. Inconsistent service can be remedied with careful supervision, goal setting, and prompt feedback to the employee providing the service.

Innovation in the department has been encouraged during the FM Year of Discovery. This is expected to be followed by the Year of Innovation and then a Year of Implementation. The leadership of the FM organization is to be commended for its leadership and conversations with all employees to create a culture of engagement, participation, and involvement.

The conversations about a three-year program of Discovery, Innovation, and Implementation are creating a broader-based understanding of the institution and the FM organization. The review team sensed the conversations during the Year of Discovery are, in fact, contributing to not only to Discovery, but also immediate Innovation and proactive Implementation measures within the department. The organization is becoming increasingly responsive as a result of the dialogue already underway.

Recommendation 5E
The proposed three-year cycle of Discovery, Innovation and Implementation is an excellent means to continuously improve the organization. Employees have responded well to the Year of Discovery. The review team encourages the leadership of FM to revisit the cycle of the three-year program and revise the program to match its unwritten, yet current practice of constant Discovery, Innovation, and Implementation. FM is already acting in all three phases of the three-year conceptual program. The organization may want to consider if it truly wants to continue with the current sequential three-year program or if it is ready to convert the multiyear concept to ongoing discovery, innovation, and implementation.
5.4 Describe how the FM Department fosters an organizational culture that rewards cooperation, communication, and skill sharing across work units.

The mini-town hall meetings provide an excellent forum to pollinate an organizational culture that rewards cooperation, communication, and skill sharing across work units. The meetings also provide a forum for the discussion and clarification of management initiatives that are planned or underway. The meetings facilitate conversation about the services, quality, customer commitment, and operational challenge. Work units have an opportunity to present and discuss their contributions to the community.

Recommendation 5F
The mini-town hall meetings are well received, are shaping the organizational culture, and should continue.

Recommendation 5G
Consider periodically inviting guests from academic, research, and administrative units to address segments of the FM organization. The review team observed that Vice Chancellor Marc Fisher has emphasized the importance of collaboration with the community. FM has an opportunity to take collaboration with the community to a new and higher level.

The leadership of FM has good relationships with several members of the community. Leadership might want to consider how it further integrates the organization into the very fabric of the institution.

Consider inviting key players from the larger community to share information about their area of expertise. Consider inviting faculty, researchers, administrators, and student leaders to talk with FM staff members about what they do and what FM can do to increase the likelihood of their success.

Learning more about what makes higher education communities unique and special can raise personal commitment to the overall strategic mission of the institution. Typically, administrators and FM leaders share experiences with faculty and researchers, many who are excellent communicators in their field of expertise. With some assistance from FM leaders, select members of the academic, research, student, and administrative community can help explain to employees at multiple levels how custodial, grounds, and maintenance services can help or hinder their overall success. It can be valuable for employees to hear how their work impacts the community. It can be equally important for select members of the larger community to reflect on what message they feel it is important for the FM staff to hear.
5.5 Describe how work performance and attendance expectations are reviewed and the process used to communicate such information to employees.

The interim HR director advised the FMEP review team that annual performance evaluations for 100 percent of the FM staff have been completed.

Facilities Management tracks attendance and recognizes and rewards employees for outstanding attendance.

Recommendation 5H
The review team would expect to see a statistical summary of evaluation scores that might be distributed evenly along a bell curve. Experiences demonstrate a “halo effect” often places performance evaluations on the upper end of the bell curve even when organizational performance may not be considered up to par.

FM receives good marks for its work effort with broad understanding that it operates with limited resources. It is suggested that the leadership of the organization should develop and monitor summary information for the organization’s performance reviews so that it can understand and determine if a halo effect is occurring in the evaluation process and then determine what steps, if any, are necessary to more effectively manage the performance evaluation process.

Recommendation 5I
The recent reorganization that includes superintendents for the trades is applauded by the review team as a means to bring supervision closer to the employees that are engaged in work performance. As is the case with any new supervisors, supervisory training is vital for both short- and long-term performance.

Recommendation 5J
Supervisors should seek advice and guidance from HR before delivering sensitive performance evaluations.

5.6 Describe how career development needs are assessed, provided, and monitored.

FM actively participates in a UCSB supervisory certificate training program, Gaucho U, and has spearheaded Critical Conversations not only in the FM organization but also the larger community. English as a second language and Spanish classes are available for employees. Leadership training includes the UC management development program and APPA conference and leadership programs.
Technical training is provided by unit managers and outside vendors or at the request of individual employees. The FM organization is currently contemplating a future formal employee development program.

**Recommendation 5K**

_In several large FM organizations, an individual in an HR position within the FM organization has responsibility for developing, coordinating and maintaining, and delivering an inventory of administrative and technical training programs. Resource limitations may not allow the creation of such a position, thus making it important for supervisors, superintendents, managers, and associate directors to develop an inventory of training needs for staff._

**Recommendation 5L**

_A proposal for a formal employee development program that includes an inventory of training completed, as well as training requirements, and possible funding scenarios should be given serious consideration when prepared._

5.7 Describe the process used by the organization, both at the institutional and departmental level, to promote organizational diversity both in its workforce and leadership.

Many of the recruitments that UCSB conducts are external open recruitments. As a general practice, internal recruitments are limited to current UCSB employees. The UCSB HR employment representative assists the FM Department with the application of selection guidelines, hiring policies, affirmative action goals, and diversity objectives.

5.8 Describe how the organization utilizes both formal and informal assessment methods and measures to determine employee well-being, employee satisfaction, and motivation.

The FM organization currently relies on informal assessment methods and measures to gauge employee well-being, employee satisfaction, and motivation. The mini-town hall meetings provide an informal measure of employee well-being and an opportunity for important dialogue at all levels in the organization.

The review team had numerous conversations at all levels of the institution that it used to evaluate employee well-being and employee satisfaction. The review team found the majority of employees have positive feelings about their work and the organization’s direction. While some dissatisfaction was expressed by a small number of employees, the consensus of the review team is that the well-being of the organization is improving and the majority of the employees are supportive of the current direction.

**Recommendation 5M**

_ConSIDER formal methods to survey and explore employee well-being, satisfaction, and motivation._
5.9 Describe the approaches used to ensure the effectiveness of recruitment programs to provide well-qualified staff and to retain high performers.

The general observation of the review team is that the current recruitment program in improving and retaining an increasingly competent staff and current practices should continue without significant modification.

5.10 Describe the process used by both the department and the institution for orienting new employees so they can successfully fulfill their responsibilities.

The campus new employee orientation program helps orient new employees and employees newly eligible for benefits to the University of California. New employees learn about workplace protections, workplace responsibilities, health and welfare benefits, retirement programs, etc.

The FM Custodial and Grounds Department reviews rules and procedures with new employees and cleaning standards with new custodial employees. The organization is developing an employee handbook for all FM employees. Leadership expects the handbook to be a tool that will help familiarize employees with specific policies, procedures, rules, and regulations that are important in the FM organization.

*Recommendation 5N*
*New employee orientation programs are in place and should be continued.*

*Recommendation 5O*
*Finalize the draft FM Employee Handbook.*

*Recommendation 5P*
*Consider pairing new employees with positive role models early in careers to demonstrate expectations for performance.*

5.11 Describe the processes used to determine appropriate staffing levels, based on identified and approved operational performance standard(s).

Budgetary constraints have reportedly been the primary driver of staffing levels for a number of years. Employee positions are sometimes replaced when an employee leaves the university. Additional positions may be considered if income or budgetary savings can be shown to offset the cost of a position.

Several campus constituencies were specifically asked if investing in FM would be a good or bad investment at this point in time. Some commented that investing in FM would not have been a good investment years ago. However, the majority suggested this would be a
good time to invest in the organization due to increasing management competence, responsiveness to issues, and a strong commitment to improve organizational performance.

The campus is in the midst of a capital construction program that is estimated to cost more than $500 million. A considerable amount of the total new construction is for student or faculty housing, leaving a considerable amount that will have to be supported by the general fund.

Expansion of the campus general fund per square footage without additional funding will degrade overall FM standards, and the campus opines that the gap between FM standards and the need for quality academic, research, and student services has widened. FM needs additional resources if it is to maintain current standards as new general fund square footage comes online.

**Recommendation 5Q**
*FM should seek additional funds for every general fund building that comes online in order to maintain current levels of service. The Administration is encouraged to support those requests in order to avoid degradation of overall FM service.*

**Recommendation 5R**
*FM is encouraged to look at the number of supervisory layers in the organization to determine if there may be opportunities to reduce layers and reallocate resources to meet the organization’s most pressing needs.*

**5.12 Describe how the department manages and organizes its workforce to accomplish its advertised mission and objectives.**

Director David McHale has five direct reports with Operations/Systems, Trades, Grounds and Custodial, Financial Systems, and FM HR reporting directly to him. In some cases, the organization tends to be rather hierarchical, with workers reporting to leads, senior leads, supervisors, superintendents, associate directors, and a director. The review team understands a lengthy hierarchy is sometimes a necessity due to compensation and compression issues but generally tends to favor fewer layers to enhance the efficiency and effectiveness of communication.

The maintenance, custodial, and grounds organizations are assigned to work in one of four campus zones. The zone arrangement encourages familiarity with specific needs of an area of the campus and facilitates communication with recurring contact with campus occupants. Communication with clients and familiarity with the plant within the zones would likely diminish with campus-wide area assignments. The review team supports the concept of working within zones.
The maintenance and ground crews are assigned to work out of assigned zones for specific projects, for workload variations, and/or to maximize the skill set of particular skills employees may possess.

The productivity and efficiency of the organization are reported to have improved with the recent creation of a superintendent in the maintenance trades. The reassignment of the trades under trade superintendents familiar with the specific trade they are now supervising adds to the positive direction of the organization. The review team supports the restructuring that has occurred.

Grounds and Custodial Services, two major components of the organization, operate during the majority of a 24-hour workday. There are challenges whenever work is performed across multiple shifts. There are also challenges when combining two major areas of focus into a single organization. The review team heard several positive compliments about the care of the grounds, with more inconsistent feedback about the delivery of custodial services.

A significant amount of the custodial cleaning is performed on a 2:00 a.m. - 10:00 a.m. workshift, a workshift the FMEP review team considers to be difficult for employees as well as their supervisors. The team recognizes how difficult it has to be to manage multiple shifts, with a sense that the best supervision often occurs when and where the work is being performed.

**Recommendation 5S**

Consider how the organization might be restructured over time with fewer layers. The review team understands the complexity of restructuring an organization and believes restructuring has to consider a number of factors, including the organization’s history, classification system, attrition, budgetary constraints, morale, desired pace of change, etc. Any plan to reduce layers has to consider a number of factors, and sorting out scenarios that work within the UCSB organization will need careful consideration of all factors.

**Recommendation 5T**

The review team was struck by the size, span of control, and variety of shifts that fall within the custodial and grounds operation. The review team thinks it is worth considering an organizational structure for Grounds and Custodial Services that acknowledges that the two services are separate. UCSB is of a size where it might make sense to consider a professional grounds administrator and a professional custodial administrator. The review team suggests consideration of a leadership structure with leadership onsite when the majority of the work is being performed.
Recommendation 5U
Consider establishing supervisory positions in the custodial organization. The review team suggests accountability for custodial performance will likely increase with a restructuring that has custodians working in specific areas reporting directly to supervisors. Lead positions are valuable for the management of custodial teams that are engaged in project work but considered less desirable in situations where custodians are assigned to a specific area.

Recommendation 5V
Gradually reduce the number of employees working the 2:00 a.m. – 10:00 a.m. workshift through attrition and/or voluntary shift reassignment.

5.13 Describe how the department identifies needs for improvement and measures progress in the areas of regulatory requirements, health, safety, emergency preparedness, and security. Describe the processes used to train employees in these categories and how the effectiveness of those training programs is ascertained.

The FM organization has a compliance manager to evaluate state and local regulatory requirements and who works with the campus Office of Environmental Health and Safety. An Emergency Disaster Planning Guide outlines general emergency information, critical functions, and resources during an emergency. The department also has a structured annual training schedule for relevant topics. Training is tracked and recorded.

Recommendation 5W
Continue to pursue the current course of action while recognizing that staying abreast of regulatory change, emergency preparedness, and health and safety is demanding field, requiring constant monitoring, participation, and practice from the entire organization.

6.0 PROCESS MANAGEMENT

Effective process management addresses how the facilities organization manages key product and service design, delivery processes, and continuous improvement. Process management includes various systems or “core competencies” such as work management, performance standards, estimating systems, planning, design, and construction of new or renovated facilities, space management, event management, and other key processes that affect facilities functions.

6.1 It is critical that a facilities organization understand its “core competencies” and how they relate to the mission, environment, and strategic goals in areas of:
- Administration
- Operations and maintenance
- Planning, design, and construction
- Utilities and energy
Describe:

• How the core competencies described in criterion 6.1 contribute to the delivery of customer value, organization success, and stewardship, in your organization?
• The facilities performance indicators and related measures for each core competency
• How the core competencies support compliance and coordination with the agencies having jurisdiction?

Administration
Facilities Management’s leadership understands the concept of core competencies. This is clearly reflected in its mission statement, a copy of which all FM employees are expected to carry with them. A graph has been prepared and shared, indicating an attempt to identify, in more specific terms, those core competencies and how they relate to UCSB FM. This effort was only partially successful, in that it identified core functions, in lieu of core competencies.

In its current structure, FM has primary custodianship over its own administration, operations and maintenance, and limited stewardship over utilities and energy. The realization of the importance of leadership in applying core competencies is extant in FM’s solicitation of APPA’s FMEP review process.

Operations and Maintenance
The vice chancellor for Administrative Services and the director of Facilities Management are taking steps to address vulnerabilities in the visible support of core competencies by rectifying weaknesses and gaps in FM’s organizational structure. This is further extended into the reporting structure to the vice chancellor. The anticipation is that the implementation of organizational refinements will improve FM’s ability to provide responsible and effective support to the community it is expected to serve. It is apparent that the appropriate skill levels exist among the current staff. (Note: a significant majority of FM’s staff members understand why they are there and indicate a desire to do the best job possible!)

Preventive maintenance is not achieving the desired results. Inspections and services on many types of equipment are delayed, ignored, or not scheduled. This appears to be the result of inadequate staffing levels, in this case among the skilled trades. Both management and the technical staff report that this condition exists, but it is difficult to rectify given current funding levels. Not surprisingly, the lack of maintenance attention is leading to increasing needs for capital funding and on an emergency basis.

Recommendation 6A
FM leadership, with the support of staff, needs to develop a business case for funding additional preventive maintenance activities. Creative thinking will be
appropriate when pursuing this activity. “Pirating” existing O&M budgets (i.e., grounds and custodial) should be avoided. One option could be to provide access to funding potentially freed up through the implementation of energy conservation projects and associated cost avoidances.

Recommendation 6B
Proceed with the “application” of core competencies to segments of the FM organization. Continue with employee mini-town hall meetings, as well as other opportunities, to create a culture that embraces those core competencies. Similarly, campus “customers” (not forgetting senior level management, e.g., the deans) will also benefit from continuous discussions on the subject. Place special focus on individuals who might be labeled as “middle management” within the FM organization.

Planning, Design, and Construction
Facilities Management does not have direct control over planning, design, and construction, nor does it exercise significant influence on capital planning. This is almost entirely the result of UCSB organizational philosophies.

Individuals directly involved with design and construction report that trades personnel and supervisory staff have the opportunity to review designs of proposed new or remodeling projects. FM staff corroborates this, but indicate that since staffing levels have been downsized, they no longer have the time to perform such reviews. They also indicate that their review comments tend to remain ignored, and thus feel little motivation to invest time in this activity. Though this feedback is possibly anecdotal in nature, the perception remains.

There exist only limited “standard design specifications and guidelines” to which engineers and architects are expected to pay attention. Where they do exist, it is reported that they are easily ignored. As a result, there is a variety of materials and systems on campus which require more attention, maintenance training, and parts inventory than should be preferred. As buildings become more sophisticated and “intelligent,” the need is greater to provide a level of consistency in their design and construction.

Recommendation 6C
FM leadership, with the anticipated arrival of a new assistant vice chancellor, should seize the moment to identify procedures, processes, and opportunities, for the development of design standards where appropriate. A task force should be established to achieve this objective. Correspondingly, time should be provided for operations and maintenance technicians to review design documents at all stages and provide documented input, with the realistic expectation that they will receive professional and timely feedback in response to their comments.
Utilities and Energy
UCSB staff should be commended for the energy and water saving programs initiated through a collaborative effort among various players. This is very much in step with California’s emerging priorities, while contributing to recognition of Santa Barbara’s published successes in these arenas. The campus grounds provide a pleasing experience to the first-time and repeat visitors—a significant improvement over previous impressions. Creative landscaping and the use of recycled water obtained from neighboring Goleta have made this possible. FM recognizes that there are additional opportunities but realizes that scarce but essential up front funding is required.

UCSB does not have sufficient metering capabilities for individual buildings, for purchased utilities. Consumption analyses are currently based on readings at master meters except for remote locations. This condition does not allow FM to analyze the performance of individual buildings and implement subsequent corrective actions. It is likely that additional opportunities for conservation go unnoticed.

Reportedly, campus leadership links the utilities and energy budget to FM’s operational budget. Thus, any investment FM chooses to fund from its own budget in order to fund energy conservation projects may benefit the utilities and energy budget, while potentially increasing its own future O&M requirements. It is also reported that any rate increases passed on to the campus by the local distribution companies resulting in additional utilities and energy deficits are perceived as a burden on FM. The bottom line is that FM’s budget suffers in multiple ways. The current approach could be self-defeating.

Recommendation 6D
Budget and Planning has budget control while FM has responsibility. FM should be given both budget control and budget responsibility for the utility and energy budget.

FM’s leadership should continue to work with Budget and Planning in order to achieve a total separation of the O&M budget from the utilities and energy budget.

Recommendation 6E
UCSB, in consideration of pertinent financial and legal restrictions, should evaluate the opportunity to use third-party funding to implement additional energy conserving measures, the debt on which should be covered by cost avoidances. Additionally, FM should examine the opportunity to identify all cost avoidances generated by the implementation of energy conserving measures (operational or mechanical) and sequester those funds to provide seed money toward the identification and implementation of additional energy conserving measures.
Recommendation 6F
FM should work with the Budget and Planning Office to identify funding that could enable the installation of individual meters for major utilities at all buildings, starting with the ones easily identified as “energy hogs.” Existing building automation systems could thus be more effectively used to manage consumption in those buildings.

6.2 Describe the processes used to establish measurements for process inputs and outputs required to achieve efficiency and effectiveness.

As described in Section 4.0: Assessment and Information Analysis, FM participates in benchmarking initiatives, but there is a paucity of key performance indicators utilized within the department at this time. Generally, process input and output measures are only being monitored to a limited extent. There are opportunities to develop and implement additional key performance indicators, even with the existing CMMS.

Recommendation 6G
FM should not “wait” to develop additional, appropriate key performance indicators until the campus has converted to its newly selected enterprise system before identifying its own opportunities. As described in other sections of this report, opportunities already exist to explore those opportunities in the immediate future and to start using them for measuring organizational effectiveness and the “tweaking” of processes and procedures that may exist only because they always have.

6.3 Describe how stakeholders are involved in the development and implementation of core processes.

Facilities Management and the vice chancellor for Administrative Services have done a yeoman’s job reaching out to campus stakeholders. Interviews with a cross section of individuals indicate that most are aware and appreciative of the improvements already implemented by FM and are eagerly anticipating additional ones.

Recommendation 6H
FM leadership should take steps to ensure that all campus stakeholders have a chance to be heard, avoiding paying excessive attention to those that are merely most vocal—either positively or negatively.

As this occurs, customers should become increasingly aware of the core processes that are included in FM’s portfolio and those that are the responsibility of individual customers. This should improve consistency in the department’s responses to specific issues.
6.4 Describe the protocol established to evaluate processes established to determine opportunities for improving efficiency and effectiveness and value to the success of the organization.

Other sections in this report delve in great depth into how FM’s leadership has established programs and protocols relating to improved 360-degree communications with campus stakeholders. Although such initiatives have not yet achieved total success, they appear to be the right steps to follow in order to further succeed on that journey.

**Recommendation 6I**
*Make sure that staff at all levels understand and live by these initiatives through the continued use of the mini-town hall meetings.*

**Recommendation 6J**
*Implement previous recommendations regarding the identification of additional and relevant key performance indicators, as the appropriate CMMS system is provided and implemented.*

### 7.0 PERFORMANCE RESULTS

The performance of a facilities organization can be assessed in a number of ways: campus appearance, customer satisfaction, employee satisfaction, effectiveness of systems operations, financial results, and supplier/business partner results. Having measurement tools in place to assess such performance is critical in an environment of continuous improvement.

7.1 Describe processes in place to ensure that the appearance of the buildings and grounds is in keeping with the surrounding community as well as the desired image of the institution.

The entire APPA team was extremely impressed with how good the campus looked, especially when compared to its appearance in the 1996 FMEP. This is truly a credit to all involved from those in capital planning to each custodian. Congratulations!

The primary process for maintaining the appearance of buildings is through daily inspections by everyone from the vice chancellor for Administrative Services to each and every employee in the Facilities Department. The department has service standards for building care and cleanliness. Supervisors supposedly conduct routine inspections, although the APPA team found that such inspections were often based on reported deficiencies from customer. The vice chancellor indicated that he would like to see a more aggressive inspection and quality control process to discover problem areas before the customer reported them.
Much of the current process is reliant on complaints sent to the work control center. This is a reactive way to identify quality deficiencies, and while necessary, should not be the primary method of quality control.

Frankly, quality control is a major responsibility of supervision. Part of a supervisor’s workday must be spent inspecting the quality of the work to ensure it is completed to the satisfaction of the customer and that it meets expected standards of performance. In addition, “making the rounds” should be part of a weekly routine by the leaders of the Facilities Department, both to recognize good work by their employees, confirm with customers that things are going well, and to identify emerging problem areas before they become obvious to everyone else. A comment during interviews that some supervisors spend most of their day pushing paperwork is not a good sign. Expectations for quality control by each supervisor and manager should be clearly communicated.

One approach to quality assurance is for the department’s leadership to conduct a periodic walk-through with supervisors and customer representatives. If effective, the number of times such a walk-through are necessary will decline over time.

**Recommendation 7A**

*Make quality assurance a part of every supervisor’s responsibility and develop a program of scheduled condition assessments that involve the facilities leadership and key customers.*

7.2 Describe how the organization determines that the condition and cleanliness of facilities are in keeping with the image and standards adopted by the institution as well as activities associated with its mission and programs.

The review team was provided a copy of the Custodial Cleaning Standards that prescribes tasks and frequencies for various type of space. The FM website also displays these same cleaning standards. Custodial management has also provided custodial general safety work rules and cleaning procedures for each type of space corresponding with the list of cleaning tasks and frequencies. Custodial daily workload assignment is said to vary from 14,000 to 30,000 gross square feet per 8-hour shift depending on space type and cleaning assignments.

University of California Santa Barbara has reported in the APPA FPI survey for 2013-2014 an average daily cleaning assignment per custodian of 35,337 gsf per FTE. The APPA average for approximately 300 institutions is 35,541 gsf/FTE. Custodial costs per gross square feet are reported as $2.02 and an APPA cleaning service level of Level 2, which is considered a high standard according to the APPA 5 levels of cleanliness. Custodial personnel are assigned cleaning routes or areas/zones for their daily cleaning assignments. The APPA review team findings of building cleanliness are more closely related to a Level
3 and as reported earlier, customers reported that there is a lack of consistency in achieving the desired cleaning level across campus.

**Recommendation 7B**

*Custodial Services largely specialize in activities that call for reliable, routine services. As referenced in criterion 7.1 on page 75, improvement opportunities are recommended for quality control and quality assurance of the adopted cleaning standards, tasks, and frequencies.*

*Consideration should also be given to performing an analysis of the workshift with the goal of adopting the best schedules for achieving optimum productivity and quality.*

7.3 Describe how the department assesses that building systems, infrastructure, and utility systems are maintained and operated at a level of reliability and efficiency that contributes to the successful implementation of the institution’s mission and programs.

Campus capital renewal and deferred maintenance processes are described in other parts of this report and in criterion 7.1 on page 75.

**Recommendation 7C**

*FM is encouraged to take full advantage of the UCOP-iCAMP initiative that has recently acquired funding to proceed with program development and implementation. The appropriate FM leaders and vice chancellor for Administrative Services have a solid understanding of the importance of this initiative and how active participation can help the campus obtain resources to address both current CR/DM needs and future needs of the campus. Whatever value one might assign to the total campus needs for CR/DM, one cannot deny its reality. The dollars-needed-trend is stark not only in the older campus buildings and infrastructure, but also in the newer campus buildings. Without an aggressive renewal program, the future will be one of diminution and decline of asset functionality and value. Some of this has already taken place and although more will not occur overnight, it will happen in but 2 to 3 generations, a time not too much removed from today.*

7.4 Describe the processes established to ensure that funding resources are effectively used and are adequate to support a level of facilities maintenance that prevents the deferral of major maintenance and repairs.

University of California Santa Barbara FM finds itself in the company of many other higher education institutions in that it is not funded adequately to support a level of maintenance that prevents the deferral of major maintenance. FM has characterized its maintenance program as “reactive” and has offered its workload statistics to demonstrate that more than
70 percent of its maintenance work is in response to nonscheduled work requests. The preventive maintenance/planned maintenance work is less than 20 percent of the maintenance activities for building operations and maintenance.

**Recommendation 7D**

See criterion 7.3 on page 77. FM leaders and those staff who are actively engaged in the UCOP-ICAMP Initiative and for those who want to know more about this critical issue of capital renewal are encouraged to read the APPA publication *Strategic Capital Development: The New Model for Campus Investment*. Written by Harvey H. Kaiser and Eva Kline, the intention of this book was to create a comprehensive treatment of the problem of capital renewal in higher education and to do so by also considering the planning and investments needed in new facilities and infrastructure.

### 7.5 Describe the tools used to assess whether the staff is highly motivated and productive, taking pride in the accomplishment of their duties.

The sense of pride in UCSB by the employees is evident at all levels. This is an observation and opinion of the entire evaluation team. Staff comments to the review team about departmental initiatives to improve collaboration were all very positive. Crucial conversations skill development, ESL training programs, and the mini-town hall meetings all indicate a high level of employee motivation and pride in the university.

**Recommendation 7E**

Consideration should be given to conducting a formalized employee climate survey as noted in Section 5.0: Development and Management of Human Resources to assess employee’s feelings and thoughts on an ongoing basis. The display of photos of people at work and photos of the campus buildings and grounds throughout the Facilities Department helps instill pride and ownership to all Facilities staff. The investment in tools, equipment, and vehicles promotes a sense of pride and quality in the organization.

### 7.6 Describe the processes used to ensure that the levels of service are consistent with customer needs and requirements and within the facilities department’s capability.

The FMEP process is one of the highest levels of self-assessment that an organization can do. Not every FM organization is willing to open their entire organization for scrutiny by outside peers and internal and external stakeholders. This bold step reflects an open and honest organization that is genuinely interested in improving levels of service consistent with campus customer needs.
Recommendation 7F
Although the annual customer meetings are serving FM very well, best practice organizations use multiple customer listening and feedback tools. Telephone surveys, transaction surveys, and additional customer focus group meetings are encouraged. The logic is simple, if FM understands their customer needs, they can more effectively develop services and continually improve them.

7.7 Describe how managers and supervisors are encouraged and enabled to stay in touch with the needs of higher education, and how they relate to their own institution.

Facilities leaders encourage professional development, and involvement in professional organizations as part of the department’s desire to build capacity and capability in the organization.

It is clearly evident to the APPA review team that FM managers strive to stay in tune with what others in the industry are doing and strive to be among the leaders. The FM Departments increased participation in State, regional, and APPA higher education FM professional associations that serves the institution well. This level of participation enables FM staff to stay in touch with the needs of higher education.

Recommendation 7G
FM leaders are encouraged to continue to take the time to engender collaborative relationships with the numerous different departments on campus. Increased interaction with customers will help to increase FM’s understanding of the particular needs of the UCSB campus.
Conclusion

The FMEP process is one of the highest levels of self-assessment that a FM organization can undertake. Not every facilities organization is willing to open their entire organization for scrutiny by outside peers, and internal and external stakeholders. This bold step reflects an organization that is genuinely interested in improving and being recognized among the best. The sense of pride in UCSB by the employees is evident at all levels. FM staff members are motivated and effective in the performance of their roles and responsibilities.

University of California Santa Barbara is a challenging environment that contains all of the complex elements requiring application of professional practices. Because of the institutional focus on achieving and sustaining its distinctive mission, the requirements and demands for high-quality campus facilities and facilities services are rigorous and persistent. The review team found a facilities organization that is focused on successfully accomplishing its mission. The organization has been positively and profoundly influenced by the leadership of the Vice Chancellor for Administrative Services Marc Fisher and the Director for Facilities Management David McHale. David and his team have demonstrated an ability to achieve a more proactive approach at times of rapid change, campus growth in enrollment, and capital projects, during a period of fiscal uncertainty.

An ambitious and successful capital program continues to be carried out including new building construction, major renovations to existing facilities, and numerous infrastructure improvement projects. Consequently, FM has earned strong support from campus administration, faculty, and staff.

Throughout the FM profession, functional excellence in management and administration, operations and maintenance, and energy, utilities, and sustainability are areas of core competences that are strongly emphasized. In today’s increasingly demanding higher education environment, achieving functional excellence is not enough; it is how all the elements come together and provide value for the university that matter. Continued success for FM involves a long-term view, a balancing act for resource allocation that demands the quality of leadership that understands how all the institutional components work together. Effective leadership of the FM Department at UCSB of course requires the continuous care and feeding of the bricks and mortar and other tangible physical assets of the institution. But, leading a facilities organization is also a complex and challenging human endeavor that is as much a function of the people and the values the organization brings to the campus as it is the approaches chosen to deliver services for fulfilling its core competences. The FM leadership team—directors, associate and assistant directors, managers, superintendents, and supervisors—have worked well together and, for the most part, have achieved a dedicated and loyal front-line workforce of hard working women and men.
The FM Department staff members know how difficult it is to achieve and to sustain high levels of service excellence in the midst of changing times. They acknowledge that they will continue to be challenged to build the organization’s organizational capability. The type of change that the staff members have experienced in a relatively short time has reinforced for them that they must be engaged on campus and in the community and must continue to strive to develop appropriate responses to new service requirements. Organizational structures, program requirements, and service demands will need to be flexible and adaptable to the continuing change requirements. As FM continues to chart its own right pathway in this dynamic environment, the rewards for genuine service innovation and change germane to the campus context will be substantial.

Therefore, the recommendations of the APPA review team in this report have largely emphasized the importance of effective organizational responses by people who desire to sustain levels of service already achieved while simultaneously improving others through the continual development of new capabilities.

The APPA review team congratulates Director David McHale and all members of the FM team. It is our hope that the many hard working women and men in the Facilities Department will never lose sight of the importance of the profession they have chosen. We hope that the recommendations contained in this report will prove to be of value and benefit to the university and that our site visitation was helpful to all those whom we had the opportunity to meet.

All members of the APPA review team—Paul Tabolt, Pieter J. van der Have, Robert Hascall, Bill Daigneau, and Jack Hug—found the review process and especially our time on campus to be a most rewarding and professional experience. We thank you for this opportunity.
Appendix A

FMEP Interview Participants
We apologize to those names omitted and appreciate all who took time to meet with us.

University Administrators and Administrative Staff
Chancellor Henry Yang
David Marshall, Executive Vice Chancellor for Academic Affairs
Marc Fisher, Vice Chancellor for Administrative Services
Todd Lee, Assistant Vice Chancellor for Budget & Planning
Chuck Haines, Director of Capital Development
Elize Meyer, Business Operations Director, Enterprise Technology Services (ETS) for Denise Stephens, Interim CIO for ETS and University Librarian
Beverly Colgate, Associate Vice Chancellor for Development
Debbie Fleming, Senior Associate Dean for Student Life
George Thurlow, Executive Director for Alumni Affairs, Assistant Vice Chancellor
John Longbrake, Associate Vice Chancellor for Public Affairs
Kirsten Deshler, Director for Governmental Relations
Mary Jacob, Acting Vice Chancellor for Student Affairs
Pam Lombardo, Acting Associate Vice Chancellor for Administrative Services
Risa Brainin, Professor of Theater and Dance
Eric Mills, Chief Administrative Officer, Theater and Dance
Cathy Czuleger, Assistant Dean, Recreation Center
Chris LaVino for Dean Rod Alferness
Merith Cosden, Acting Dean, College of Education
Maev Devo, Executive Assistant to the Dean representing John Majewski, Interim Dean of Humanities and Fine Arts
Bruce Tiffney, Dean, College of Creative Studies
Pierre Wiltzius, Dean, Math, Life, & Physical Sciences
Karen Hanson, Assistant Vice Chancellor, Office of Research
Tom Beland, Director of H&RS Residential Operations
Michael Deal, Facilities Manager, Physics
Bob Hanson, Building Manager, California NanoSystems Institute (CNSI)
Chris LaVino, Assistant Dean, College of Engineering
Tom Reynolds, Manager, Nanofabrication Laboratory
Kum-Kum Bhavnani, Chair of Academic Senate
Lynn McLaughlin-Hill, Executive Assistant to the Vice Chancellor
Tessa Mendez, Policy Coordinator & ADA Compliance Officer
Jim Corkill, Director & Controller, Business & Financial Services
Robert Silsbee, Director of Planning & Resources
Robert Tarsia, Director of Audit & Advisory Services
Leesa Beck, Registrar
Bob Brontsema, Assistant Athletic Director
Jill Felber, Chair, Music Department
Mo Lovegreen, Director, Campus Sustainability
Ali Aghayan, Acting Director of EH&S
Alissa Hummer, Associate Director, Campus Planning & Design
Willie Brown, Executive Director, Housing & Residential Services
Tom Kenna, Director, Transportation & Parking Services
Gary Lawrence, Acting Director, University Center
Dustin Olson, Chief of Police
Joe Harkins, Acting Fire Marshal, EH&S
Ray Aronson, Associate Director
Frank Castanha, Associate Director
Ed Schmittgen, Associate Director
Cynthia Seneriz, Acting Director of Human Resources
Steve Murray, Caesar Lugo, Drew Grant, Jenise Stallion
Farfalla Borah, HR Labor Relations

Facilities Management
David McHale, Director for Facilities Management
Jon Cook, Associate Director for Grounds & Custodial
Jeff Monteleone, Associate Director for FM Maintenance Planning/Projects/Systems
Kari Samlaska, Human Resources
Olga Mery, Finance Fiscal

Custodial Services
Itze Sandoval, Custodian
Richard Esparza, Custodian
Erazmo Garcia, Custodian
Kimberly Gaytan, Custodian
Joel Rodriguez, Custodian
Pedro Rojas, Custodian
Richard Wagstaff, Senior Lead
Ruben Pena, Senior Lead
Rudy Lua, Senior Lead
Paco Garcia, Senior Lead
Joel Gonzales, Senior Lead
Victor Barajas, Senior Lead
Rudra Singh, Assistant Superintendent
Alfredo Herra, Assistant Superintendent
Maria Pizano, Assistant Superintendent
Byron Sandoval, Superintendent
Rai Calderon, Superintendent
Grounds
Larry Ramos, Supervisor, Parking Lot Team
Manuel Herrera, H&RS Physical Plant Superintendent
Matt O’Carroll, Refuse, Recycling & Water Efficiency Manager
Carl Anderson, Lead Groundskeeper
Juan Donato, Lead Groundskeeper
Henry Jimenez, Lead Groundskeeper
Tim Blomo, Lead Groundskeeper
Gil Torres, Senior Lead Groundskeeper
Richard Haug, Groundskeeper
Hugo Florez, Groundskeeper
Anthony Tanore, Groundskeeper
Laura Manuszak, Groundskeeper
Martin Ruiz, Groundskeeper
Hector Martinez, Groundskeeper

Facilities Management Maintenance Planning/Projects/Systems
Tom Boren, Life Safety Manager
Susan Sheppard, Services Center Manager
Chris Kelsey, Assistant Director
Steve Klock, Superintendent, Paint/Lock/Carpentry
Daniel Hart, Senior Storekeeper
Tom Stark, Locksmith
Matt Allen, Building Maintenance
Tracy Kellogg, Electronics Technician

Energy Management
Dan Marquez, Assistant Director, Field Operations
Jordan Sager, Energy Manager
Sandro Sanchez, Building Automation
Brandon Lance, HVAC Mechanic
Metin Taner, Electrician
Tony Segate, Plumber
Cassidy Green, LEED Program Coordinator
Rich Dewey, Associate Engineer

Exit Interview Attendees
Marc Fisher, Vice Chancellor for Administrative Services
Todd Lee, Assistant Vice Chancellor for Budget & Planning
Chuck Haines, Director of Capital Development
Lisa Daniels, Director of Administration, Academic Affairs
David McHale, Director of Facilities Management
Chris Kelsey, Assistant Director of Facilities Management