

## Action Plan: Sustainable Future for the Campus

**Led by Provost Johannes Britz and Vice Chancellor Robin Van Harpen with support from Vice Chancellor Tom Luljak and Enrollment Management Officers Kay Eilers and Dave Clark**

**October 29, 2020**

### **Executive Summary**

The charge of our Strategic Direction group is to lead development of UWM strategy to create a sustainable future through improvement of infrastructure and operations, and maximizing resources, including the following administrative efforts and initiatives:

- Financial Impact of Outstanding Learning Environment Plans
- New Budget Model implementation and Financial Reporting & Analysis
- Integrated Capital Planning and Space Management
- Integrated Support Services
- UW System Administrative Transformation Project
- Data Management Solutions and Digital Transformation
- Campus-wide Compliance Management
- Human Resources Management and Employee Learning & Development
- Marketing, Branding and Advocacy
- Maintaining a Safe Environment
- Improve Sustainability and Energy Management

Through the above efforts and initiatives, this group is collectively working on the following specific goals, as detailed further below in this report:

1. Provide an Increased Comprehensive Institutional Aid Plan Page 3
2. Implement an Expanded Student Support Model Page 5
3. Create an Integrated Student Financial Services Office Page 5
4. Continue to Enhance UWM's Budget Model Page 7
5. Enhance Financial Infrastructure and Reporting at UWM Page 8
6. Manage UWM Space to Optimize the Campus Footprint and Associated Operating Costs Page 9
7. Renew (or Replace if Renewal Is Not Feasible) Facilities Crucial to UWM's Mission and Strategic Initiatives Page 9
8. Strategically Reduce or Divest Space to Redirect Operating Funds to Maximum Use for UWM's Mission Page 10
9. Design and Implement a Shared Services Administrative Structure Page 12
10. Provide Leadership Support to ATP to Ensure Program Design is Beneficial for UWM Page 14

11.	Successfully Implement ATP at UWM	Page 14
12.	Successfully Implement P2P at UWM	Page 15
13.	Enhance Data Management Solutions	Page 16
14.	Support and Enhance Research Computing	Page 17
15.	Deploy a Unified Communications Tool to Replace Traditional Telephony	Page 17
16.	Deploy a Best Practice Information Security Program	Page 18
17.	Implement a New Compliance Working-Group Structure	Page 20
18.	Develop Policies and Procedures to Ensure Accountability for All Material Compliance Areas	Page 20
19.	Offer and Enhance Single Event Professional Development Opportunities for Supervisors or other Employees	Page 21
20.	Develop an E-Performance Management Tool to Aid and Ensure Annual Performance Evaluations for All Employees	Page 21
21.	Improve Employee Learning and Development through the Chancellor's Employee Learning & Development Advisory Committee (CELDAC)	Page 22
22.	Increase the Enrollment, Retention, Quality and Diversity of Students at UWM with Marketing Messages that Celebrate UWM as a First-Choice Institution Rather than a Fallback School	Page 24
23.	Build Pride in UWM and Support for its Institutional Vision and Budget Objectives among Internal and External Audiences, Including Current Students, Alumni and Civic and Government Officials	Page 25
24.	Increase Use of Electronic Tools and Systems to Improve Efficiencies in Research Compliance and Safety	Page 26
25.	Expand Emergency Operations and Planning to the Waukesha and Washington County Campuses	Page 27
26.	Continue Classroom Safety Training for all Faculty and Instructional Staff	Page 27
27.	Develop a Climate Action – Carbon Resilience Plan	Page 28

## Financial Impact of Outstanding Learning Environment Plans

*Responsible Units: Enrollment Management, Academic Affairs*

As UWM embarks on the implementation phase of the Outstanding Learning Environment (OLE) plan, we are specifically identifying opportunities for growth and improvement. The demographic shifts projected to be amplified over the course of the next decade require UWM to ensure that we are in fact creating both an outstanding environment for learning while doing so in a sustainable way that is intended to grow enrollment and revenues, better allowing UWM to support its mission of access and research.

The OLE is designed to impact three critical areas: recruitment, retention and graduation with key efforts and strategic investments in select areas as follows:

### 1. Goal: Provide an Increased Comprehensive Institutional Aid Plan

- **Implement need-based grants** for resident, Federal Pell Grant eligible students by offering a range of grant dollars to offset gaps between students' existing grants and remaining tuition balance. This is an investment of **\$727,000** annually with the goal of increasing yield, retention and graduation rates of recipients.

*Background:* UWM does not currently have a centrally-supported, campus-wide need-based grant. The implementation of this grant allows for all resident students with Federal Pell Grant eligibility to receive a grant to offset some or all of their tuition charges. This is a group of students who historically have lower retention and graduation rates than their non-Pell-eligible peers. The infusion of this grant funding is specifically tied to the OLE goals of increasing retention and graduation with an eye on achieving equitable outcomes across student groups.

*Status:* A total of 564 students were awarded \$321,743 in the fall 2020 class. Funding is once again set aside in the FY 2022 budget to support the entering class of fall 2021.

*Metrics:* Overall enrollment including measurement of yield and retention rates as well as the graduation rates for students receiving grants. In addition, we will attempt to measure overall financial return on investment in terms of increased enrollment as a result of the grants.

- **Expand Chancellor's awards** from the existing two-year awards to four-year awards. This is an annual investment of **\$440,000** with the goal of increasing yield and retention of highly qualified undergraduate students.

*Background:* The Chancellor's awards have existed on our campus since the 2016-17 academic year and were previously focused on recruitment by providing aid in either the first or first and second year. The additional investment for these awards expands to impact retention and graduation as well as recruitment for the recipients.

*Status:* Funding was awarded for spending in FY 2021 for the entering class of 2020 using the above described format. For FY 2022 for the entering class of 2021, a new Chancellor's Merit Award program will replace the former model. In the new format, ALL incoming new freshmen at the main campus with a high school GPA of 3.4 or higher will automatically be awarded a four-year scholarship. The award amount ranges from \$500 to \$1500 annually. This represents a campus investment of \$2M. Promotion of this scholarship has already launched for our prospective students.

*Metrics:* Yield, retention and graduation of award recipients will be tracked with the goal of increasing each of these metrics.

- **Implement retention and graduation grants** to serve students with financial balances preventing their re-enrollment for the upcoming term. This is an annual investment of **\$250,000** with the goal of increasing retention and graduation rates.

*Background:* The retention and graduation grants are designed to target students showing academic promise and nearing graduation to provide a final push toward graduation. These grants are administered collaboratively between the central units and the schools/colleges. Students are identified at the start of the enrollment period for the upcoming term and awarded small grants (typically \$1000 or less) to ensure enrollment for their next (and often final) term is possible.

*Status:* All \$250,000 allocated for FY21 was awarded to 376 students. The same amount is once again set aside for FY22 to impact spring 2021 and fall 2021 enrollment.

*Metrics:* Enrollment of grant recipients is monitored to measure retention and time-to-graduation. In addition, we will attempt to measure overall financial return on investment in terms of increased enrollment as a result of the grants.

- **Examining the scholarship process** to ensure maximization of available financial support for our students.

*Background:* Awarding and management of student scholarships occurs in multiple locations across campus which involves varying award timelines, multiple applications, unawarded scholarships and lack of coordination in creating the best possible aid packages. Meanwhile best practice is to provide students with "one award letter" with all federal, state and institutional funds listed. In order to accomplish this, all scholarships need to be determined and awarded prior to the Financial Aid Office processing cycle beginning for the appropriate award year.

*Status:* The Chancellor's Scholarship Administration Oversight Council (CSAOC) was formed in May of 2020 with the charge of identifying best practices and implementing a coordinated strategy across schools, colleges, and units to ensure UWM's scholarship

dollars are used to strategically support recruitment and retention efforts across campus. Based on the work completed in its first four months, the CSAOC presented five (5) recommendations to implement a coordinated scholarship strategy while supporting recruitment and retention. These were accepted by campus leadership on September 29, 2020. Recommendations include: 1) hiring a full-time Director of Scholarships; 2) implementing a campus-wide scholarship awarding group, with initial focus on packages for incoming first year undergraduate students in fall 2021; 3) adopting a campus-wide scholarship strategy; 4) adopting a proposed set of standard scholarship awarding processes; 5) engaging a consultant to examine aid optimization; and 6) prioritizing the need to improve scholarship-related business processes.

*Metrics:* Increased yield, retention and graduation by strategically awarding the maximum available scholarship dollars to impact the largest group of students.

## 2. Goal: Implement an Expanded Student Support Model

- **Hire additional student support professionals** to expand the existing support structure on campus. This is an investment of \$830K annually with an additional \$440K in the first year required for start-up.

*Background:* A work group from across campus, collaborated to identify a need for additional support professionals on campus whose work and specific job descriptions will be based on data analysis to inform the best use of these additional resources.

*Status:* A proposal was made to Chancellor Mone and Provost Britz in January of 2020. Due to COVID-19 and additional ongoing conversations, this proposal has not moved forward. However, campus has successfully launched a new Persistence Action Team (PAT) focused on enhancing the student support available on campus. Further, CEMAT launched a sub-committee called Pathways & Interventions which meets weekly to examine and remove barriers to student success.

*Metrics:* Increased overall enrollment by improved yield, retention and graduation rates. In addition, we will attempt to measure overall financial return on investment in terms of increased enrollment as a result of the expanded support.

## 3. Goal: Create a Student Financial Services Office

*Background:* The past two decades of higher education have seen a significant transition in student services, and many institutions have implemented organizational, technology and process changes to improve customer service related to financial aid and bursar related services. These changes include integrating financial aid and bursar business units into a single *Student Financial Services* organization to more effectively support students and parents by cross-training staff, enhancing coordination of business

processes that impact student accounts and integrating advising and service teams. The goal is to ensure consistent communication and follow-through with students and avoid “bouncing” students between offices thus better supporting recruitment and retention initiatives.

*Status:* UWM has engaged a consultant to provide a holistic assessment of the current state of financial aid and bursar business functions focused on evaluating processes, procedures, organizational structure, technology, communication, services and staffing levels. The assessment will provide an overall evaluation on the current state of services, identifying both areas that are performing well and areas where improvement is needed. Further, the assessment may also provide a recommendation on the best organizational structure to deliver bursar and financial aid services at UWM, recognizing our unique student population, talented staff, organizational structure, and resources.

*Metrics:* Improved results of key indicators (e.g. turnaround times after all documents are received).

## **New Budget Model Implementation and Financial Reporting & Analytics**

*Responsible Units: Finance & Administrative Affairs, Academic Affairs*

In the Fall of 2018, in preparation for the FY 2020 budget year, UWM implemented a new budget model that measures the performance of schools and colleges based on student credit hours, research activity, and degrees awarded. It also considers contributions to UWM's mission, strategic goals and initiatives by each school, college, and division on campus. The budget of every division on campus is reviewed in meetings with leadership of each unit. The new model allows UWM leadership and financial governance (the Academic Planning and Budget Committee) to better understand all budgets at UWM, to hold units accountable for goals, and to understand where investments are being made in activities that are not self-supporting, in order to ensure that all resources of UWM are maximized.

Over calendar year 2019, additional tweaks were made to the model based on lessons learned and additional discoveries regarding the use of campus revenues and expenses. The process was again fully implemented in the fall of 2019 for the FY 2021 budget year. Again, learnings from the process have resulted in additional goals under this heading, as described below.

### 1. Goal: Continue to Enhance UWM's Budget Model

*Background:* In summer 2019, several key elements were identified by the Budget Model Support Team to improve the budget model as well as campus and divisional financial planning. This resulted in plans to implement budget model enhancements to further enhance financial management and broaden stakeholder understanding of UWM's budget model and processes.

*Status:* The suggested enhancements focused on (1) standardizing an approach to fringe benefits, (2) applying a more uniform 'contribution tax' to various tuition elements, and (3) integrating carryforward requests in the budget process. As of October 2020, all enhancements have been completed. The budget model's integration into financial management practices at UWM continues, and stakeholders across the institution continue to become more familiar with practices/incentives as we enter Year 3 of the Budget Model. For FY 2022, the College of General Studies is being integrated into the overall model.

*Metrics:* Operating results, Consolidated Financial Index, and performance metrics under new budget model (student credit hours, graduation rates, and research activity).

## 2. Goal: Enhance Financial Infrastructure and Reporting at UWM

*Background:* In FY 2020, UWM defined internal management reporting and a financial management and reporting schedule, including budget development cycle, forecast cycles and routine reporting cycles, as well as other key indicators (e.g. cash balances, etc). For FY2021, with a major financial planning software implementation underway at UWSA, UWM is focusing on standardizing UWM's divisional management reporting. The specific elements of this goal are to: (1) develop standard financial reporting "package" for divisions (2x/fiscal year), (2) develop monthly standard divisional financial reports, and (3) redefine UWM's Chart of Accounts in advance of UWSA's Administrative Transformation Project (ATP). FAA's Business & Financial Services (BFS) is currently partnering with OAIR and Enrollment Management on defining the basic elements of a campus multi-year financial model to fully transition to a common financial management cycle in the higher education sector.

*Status:* As of October 2020, significant progress on the elements in this initiative has been made:

1. Develop standard financial reporting "package" for divisions: FY 2020 was the first year of UWM's financial reporting cycle, which resulted in semi-annual forecast produced for all divisions and campus leaders. This was delivered to a Sharepoint site as well as year-end results.
2. Develop monthly standard divisional financial reports: In FY 2020, UBRs and BFS (both Financial Planning & Analysis and Accounting) collaborated on a creating a monthly standard divisional report. This is anticipated to be available in November 2020; it will reduce manual reporting efforts throughout the enterprise and enhance visibility into financial results. These reports will be available on demand for financial staff.
3. Redefine UWM's Chart of Accounts in advance of UWSA's ATP: A major effort lead by the Controller's Office has resulted in a redesign of UWM's chart of accounts and organization hierarchy. While this sounds bureaucratic, a non-standardized chart of accounts structure limits financial reporting and results in inefficiency throughout the enterprise. Divisions will budget on this new chart of accounts structure for FY22 which will help standardize accounting practices, enhancing financial reporting and improve management ability to understand financial results. UWM has also worked with UWSA to enhance tuition revenue reporting by creating new account codes and standardized practices at UWM to improve visibility into various tuition segments (e.g. MSEP).

*Metrics:* Annual completion of reports.



## **Integrated Capital Planning and Space Management Efforts**

*Responsible Units: Finance & Administrative Affairs, Academic Affairs*

UWM has about 7.2 million gross square feet (GSF) of space with about 1.8 million GSF classified as auxiliary space. New buildings often cost from \$500 to over \$1,000 per GSF to build and more than \$5.00/GSF/year to heat, light, cool and maintain them. It is therefore imperative to manage space efficiently and to not build any more space than is needed. At the same time, over half of UWM's total space has not been renovated in over 45 years and is beyond its useful life. Thus, UWM needs to continue to aggressively advocate for space renewal in the form of major and minor capital projects, as well as all agency and small repairs.

### **1. Goal: Manage UWM Space to Optimize the Campus Footprint and Associated Operating Costs**

*Background:* UWM tracks space assignment and utilization with an interactive database known as InSite. General Assignment Classrooms and Instructional Labs receive increased scrutiny with analysis of weekly class periods and percent of capacity utilized. Classroom and lab utilization are reported to UWS annually. Schools, Colleges and Departments oversee and manage the spaces they have been assigned. All space utilization, other than GA classrooms and Instructional Labs, are self-reported by the units.

*Status:* The Campus Space Planning committee reports to the Provost and Vice Chancellor for Finance & Administrative Affairs to control space allocation decisions across campus in a consistent, strategic manner. The long-term goal is to have annual audits of campus space to track usage data and trends and drive space optimization. The initial phase began in Fall 2019, to inventory and document use of space by building. As of Fall 2020, Lapham Hall has been completed and EMS is nearing completion. Enderis Hall is planned for Winter 2020/21. Electronic tools are being evaluated to more effectively and efficiently manage the space data.

*Metrics:* The first independent space analysis will set baseline metrics that will allow UWM to measure a variety of usage types by student or faculty/staff FTE. Goals will then be set to modify such usage over time.

### **2. Goal: Renew (or Replace if Renewal Is Not Feasible) Facilities Crucial to UWM's Mission and Strategic Initiatives.**

*Background:* Renewal of space is a lengthy process often taking 10 years or longer from conception to completion of a project. It begins with a comprehensive assessment of facility conditions in terms of physical condition and functionality for modern day teaching and research. These factors are blended with a ten-year examination of enrollment and research activity and a projection of both into the future to form a comprehensive picture of need and priority. UWS rules for capital project requests require a pre-design study that includes a space program, essential features of the facility, size, utility needs and impact on

central utilities and estimated project cost. All-together, these items comprise the essential contents of a capital project request.

All UW institutions are required to present a rolling six-year capital plan in their requests for capital project funding with the first biennium of the six-year plan being the proposed capital budget. As such, it displays a long term look ahead of potential capital activity on the campus. Project requests are arrayed by Campus Planning staff in a recommended order and are reviewed by the Provost and the Vice Chancellor of Finance and Administration for recommendation to the Chancellor, in consultation with the PEC. From there, the proposed projects for the biennium are sent to UWSA Capital Planning staff for evaluation and presentation to the UWS President for recommendation to the Board of Regents acting in August of even numbered years.

Regent recommendations are sent to the State of Wisconsin Building Commission for recommendation to the Governor and Legislature who consider it as part of the biennial budget process culminating in budget adoption on or before June 30 of odd-numbered years. After this process, projects may be scheduled for design and construction.

*Status:* UWM is working hard to pursue renovation and/or renewal projects on behalf of UWM for 21-23 and beyond. UWM successfully advocated for the Board of Regents to include the following significant projects in its requested 21-23 Capital Budget:

- Engineering Building Replacement Planning (\$8.2M);
- NWQ Health Sciences Renovation (\$74.8M);
- Sandburg Hall West Tower Renovation (\$11.4M);
- Great Lakes Research Facility Dock Wall Restoration (\$7.4M); and
- Old Chemistry Building Demolition (\$7.1M).

The Governor will consider including these projects in his capital budget in early 2021, which will then be subject to legislative deliberation as part of the 21-23 biennial budget.

*Metrics:* UWM tracks general fund and program revenue capital funding per biennium and over a rolling six-year period.

3. Goal: Strategically Reduce or Divest Space to Redirect Operating Funds to Maximum Use for UWM's Mission

*Background:* Every square foot maintained by UWM costs more than \$5 per year in operating funds. In the past, UWM had been striving to increase square footage overall to meet campus needs. With recent larger new buildings and the declines in on-campus enrollment, UWM's total square footage is either at what is currently needed or greater than what is needed, although not all currently purposed as needed.

Also, in the past, it has been difficult for institutions to sell property or demolish buildings. In light of change in higher education across the state, UW System has pursued new mechanisms for UW institutions to strategically reduce space. In connection with the space analysis noted in Goal 1, this goal is to review campus buildings for streamlining and realignment, which could include demolishing of structures beyond their useful lives or selling property that is no longer needed by UWM. This is a long-term goal that will require analysis, planning, and time to execute.

*Status:* UWM has requested funds to demolish several buildings including the NWQA and Chemistry (when the new building is completed). As part of the Engineering Replacement project, the Physics building will be demolished. UWM is in the process of selling the Alumni House. Evaluation of other buildings and spaces will be conducted through a space optimization plan. The project charter for the space optimization plan will be completed in Fall 2020 and team meetings will begin in winter 2020/21.

*Metrics:* Overall GSF maintained by UWM, as well as GSF/student FTE or Headcount.

## **Integrated Support Services**

*Responsible Units: Finance & Administrative Affairs, Academic Affairs*

The Integrated Support Services project is an effort to design and implement a Shared Services administrative structure that provides excellence across UWM, focusing on the functions of Human Resources, Information Technology, and Procurement. Among other benefits, it is intended to accomplish long-term service efficiencies, increase effectiveness, make better use of technology, enhance professional development opportunities in administrative areas, and mitigate compliance risks.

Key components of the new structure, which will enable the project benefits, include:

- Support teams aligned with groupings of school/college/division units that are
  - focused on customer service and ongoing process improvement,
  - trained and supported by central office subject matter experts,
  - knowledgeable and empowered to meet the unique needs of the supported units,
  - accountable to functional leadership and supported units through a formal organizational and governance structure, and
  - organized to enable professional development and career growth.
- Organizational and process changes that enable:
  - standardized and documented processes,
  - technology-supported process improvement,
  - individual and team accountability,
  - staffing flexibility and responsiveness,
  - ability to scale operations for reduced cost of labor,
  - performance assessment based on metrics,
  - consistent campus-wide support, and
  - reduced administrative burden on academic leadership, faculty, allowing their focus to be on education and research.

### 1. Goal: Design and Implement a Shared Services Administrative Structure

*Background:* See above.

*Status:* Phase One of the project created the first Shared Services Center for HR, Travel, and Procurement support, along with the initial rollout of IT Shared Services (Campus Technology Support (CTS)), which includes Help Desk, Desktop Support, Classroom Support, and Computer Purchasing. Phase One was completed during the summer of 2018, providing Shared Services to the School of Education, College of Health Sciences, College of Nursing, School of Public Health, School of Social Welfare, and Finance & Administrative Affairs. The College of Letters & Science and Division of Student Affairs were included in Phase One for IT only.

Phase Two of the project, activated in February 2020, created the second Shared Services Center for General Education Administration, School of Architecture & Urban Planning, Lubar School of Business, College of Engineering & Applied Science, Peck School of the Arts, School of Freshwater Sciences, Graduate School, Office of Research, UWM Libraries, School of Information Studies, School of Continuing Education, and the College of General Studies. CTS also completed the final phase, incorporating all campus units into the new structure. Staff were transferred into CTS in July 2019 and service transition activities continued through Summer of 2020, with completion in October 2020.

Planning for Phase Three and the third and final SSC - for Academic Affairs, Enrollment Management, Student Affairs, and the College of Letters & Science – is underway. Academic Affairs, Enrollment Management and Student Affairs will transition in early November 2020; the College of Letters & Science will be completed in the Spring of 2021.

*Metrics:* The formal shared services governance structure, referred to as Service Excellence & Accountability Structure (SEAS), is currently being implemented. A committee and communication structure that empowers customers and service providers will support the development and management of: 1) performance standards and metrics, 2) process improvement priorities, and 3) service delivery and ongoing performance levels.

## **UW System Administrative Transformation Project**

*Responsible Units: Finance & Administrative Affairs, Academic Affairs*

The Administrative Transformation Program or “ATP” is a UW-System wide project that seeks to return time to the UW’s mission by reducing administrative complexity and building an administration that supports and is resilient in facing the increasing pace of change. The project is starting by streamlining administrative processes and implementing a single cloud-based Human Resources System (HRS) and Shared Financial System (SFS)—also known as enterprise resource planning (ERP) software—across the entire UW System. In doing this, the goal is to improve the quality and availability of data and financial controls, as well as enhance information security. Ultimately, ATP’s goal is to better the working experience at the University of Wisconsin.

### **1. Goal: Provide Leadership Support to ATP to Ensure Program Design is Beneficial for UWM**

*Background:* UWM will implement ATP after it is implemented at UW-Madison and UW-System, currently estimated for 2024. UWM’s Vice Chancellor for Finance & Administrative Affairs is a member of the Executive Committee for the project, which meets monthly, in order to ensure that the first phases align with UWM needs and planning.

*Status:* UWM’s AVC for Human Resources was a member of the ATP software selection committee, which process was completed in January 2020. UWM staff members were invited to participate in extensive software vendor demonstrations in January and provide feedback to the selection committee. Completion of the preplanning phase of ATP was delayed for about six months due to COVID, concluding with Board of Regents approval of the project in October 2020. The project will next move into the design phase in 2021. Leadership from UWM’s Department of Business & Financial Services, Human Resources, Office of Research, UITS, and Integrated Shared Services meet monthly to strategize on how best to impact the project design for UWM.

*Metrics:* Number of opportunities UWM leaders and employees take advantage of to ensure successful design of ATP.

### **2. Goal: Successfully Implement ATP at UWM**

*Background:* Following planning, design of the new system will take place over calendar year 2021, with implementation at UWM to follow.

*Status:* UWM leadership and employees will work to participate in program design, as feasible, taking place throughout 2021, while planning for implementation at UWM. Continued budget (staffing) cuts impacting Human Resources and other involved units may reduce the time that UWM can contribute to design.

*Metrics:* TBA

### 3. Goal: Successfully Implement P2P at UWM

*Background:* All UW System institutions are partnering to transform purchasing and accounts payable systems by implementing a future state procure-to-pay solution. The Procure-to-Pay (P2P) Automation Project will significantly improve the end-user experience by making it easier to place and track orders. This project also aims to improve the quantity and quality of data, streamline business processes and facilitate strategic sourcing.

*Status:* As of October 22, 2020, the P2P Project is on budget, but slightly behind schedule in some design tasks primarily due to COVID-19 resource constraints and diversion of project staff; an action plan to mitigate schedule and scope risks is in development.

*Metrics:* Phase 1 of the Project entails implementation and Go Live of the new P2P automation technology 'ShopUW+' scheduled for April 2021. Further project phases extend into 2022.

## **Data Management Solutions and Digital Transformation**

*Responsible Units: Finance & Administrative Affairs, Academic Affairs*

### **1. Goal: Enhance Data Management Solutions**

*Background:* Some key challenges face UWM's data community; these can be generally described as a lack of standardized governance, policies, and procedures that would provide a better infrastructure for supporting data reporters, providing necessary tools and training, ensuring data consistency across campus, and promoting data literacy. One potential solution is the creation of a "Data Governance Custodial Committee" (DGCC), which was proposed by a 2015 work group but never implemented. In the short term, however, one major, time-sensitive issue is the lack of an additional data reporting tool to supplement the enterprise-only Oracle Business Intelligence Enterprise Edition (OBIEE) system purchased by UW System. The previous enterprise and "local" tool, Hyperion, is no longer supported software.

*Status:* In summer of 2019, an ad-hoc data group was formed in response to ongoing concerns from the Warehouse End-user Reporting Initiative Team (WERIT). The ad-hoc committee studied the problems, reviewed the 2015 proposal, and requested and received a charge from ITAC to form a prototype DGCC; this version of the DGCC is tasked with four key tasks: 1) identify and recommend a campus-wide supplemental data reporting tool, suitable for replacing Hyperion, 2) examine key data consistency issues via study of instructional budget tools being developed in L&S and SOE, and 3) review membership and structure of the permanent DGCC, forwarding a recommendation to ITAC, and 4) dissolve itself as the permanent DGCC launches. The prototype DGCC first met in August of 2019.

In its January 2020 meeting, the prototype DGCC finalized its recommendations for a reporting tool to supplement OBIEE, an implementation strategy for the supplementary tool, and the formation of a permanent version of the DGCC, including a charter. On February 26, 2020, the prototype DGCC's recommendations were presented to the IT Advisory Council on (1) Microsoft Power BI as UWM's new ad hoc reporting tool (and Power BI's required support structure); and (2) a Charter for a permanent campus DGCC body. On March 3, 2020, the ITAC formally endorsed these recommendations. On March 4, 2020, the election of a Chair of the permanent DGCC was announced. The new group has been meeting every two weeks and has established subgroups for "Power BI," "Policies and Procedures," and "Software and Sources."

In June 2020, in response to a UW System offer of a Tableau Server to interested institutions, the Committee recommended that the campus not adopt Tableau as an enterprise-wide tool at this time. At the October 1, 2020 meeting of the IT Advisory Council, the DGCC Chair provided an update on Committee activities, including those related to Power BI implementation and Data Provisioning Guidelines. The DGCC Chair also introduced plans to solidify their vision and a strategy that includes the three pillars of Data Literacy, Data Resources and Integration, and Shared Reporting Assets.



*Metrics:* Completion of the four key DGCC tasks.

2. Goal: Support and Enhance Research Computing

*Background:* Support of Research Computing is critical to the mission of an R1 institution. Inspired by early 2019 discussions with the Vice Provost for Research, the L&S Dean, UWM CIO, Director of Research Computing, and the Director of L&S Web and Data (and Data Scientist) convened a succession of meetings from July through November with every UWM Academic Dean and every IT-implicated Director (Libraries, CSI, DSI). In these individual sessions with campus leaders, they discussed the historical context, current state, and possible future state of research computing and its support at UWM.

*Status:* On November 19, 2019, the UWM CIO, Director of Research Computing, and Director of L&S Web and Data presented a summary of their discussions to a Provost's meeting of the Academic Deans, suggesting possible next steps to ensure the sustainability of UWM's research computing. Among the recommendations was the establishment of two new campus sponsored bodies: a "Research Computing Steering Group," a near-term body to assess needs; and a "Research Computing Advisory Committee," a long-term, operationally/practitioner-oriented "community of practice," sponsored by the CIO or similar campus leader.

Charters and charges were prepared for the "Research Computing Steering Group" and the "Research Computing Advisory Committee." The groups were constituted, respectively, by the Provost on April 17, 2020 and CIO Beck on February 28, 2020. The "Research Computing Steering Group" has been meeting to assess needs since its first session on May 28 and the "Research Computing Advisory Committee" has been meeting since its first session on April 1.

*Metrics:* TBA

4. Goal: Deploy a Unified Communications Tool to Replace Traditional Telephony

*Background:* In 2020, University IT Services (UITS) began implementing the telephony features of Microsoft Teams at UWM. An extension of Microsoft's Office 365, "Teams" is a "Unified Communications" tool suite that provides digital telephony, audio- and video-conferencing, and instant messaging capabilities. Teams will be replacing virtually all of UWM's current landline service (as provided by AT&T Centrex). (Some specialized-purpose Centrex telephony will continue, including, for example, emergency phones.) To prepare our campus for the new IP-based communications service, the buildings served by our network have been transitioning from public to private "IP addresses," with roughly 70% complete by December 2019.

*Status:* On May 1, 2020, the completion of the Private IP Migration project was announced. In June of 2020, UWM implemented the Microsoft Teams “Calling” feature for our faculty and staff members. In August, during “Phase 1” of the project, we migrated UWM’s “individual,” single-user phone numbers (roughly 1900) from our current landline phone system to Microsoft Teams. This fall 2020, UWM IT professionals are collecting data regarding UWM’s “shared” phone numbers and their usage across campus. Departments and areas across UWM will be contacted directly regarding the “shared line Phase 2” of our project. We anticipate multiple, phased migrations of shared lines from Centrex to Teams throughout 2021. In “Phase 3,” after the migration of shared lines has been completed, departments that utilize “Iwatsu” or other phone systems will be migrated.

*Metrics:* TBA

5. Goal: Deploy a Best Practice Information Security Program

*Background:* Through its “information security program,” UWM has been undertaking a massive portfolio of strategic projects, as explained further below.

*Status:* This program is a dynamic, evolving effort. Current status of the primary projects is as follows:

- Audit Responses: In the spring of 2019, UWM completed the UWSA Audit of “System Security & Access.” Following discussions with UW System, UWM finalized its management response on July 8, 2019. Pursuant to that audit document, a new round of compliance-related tasks and projects for UWM was scheduled. Due to the COVID-19 pandemic, UW System Audit’s planned return to UWM to complete Audit’s follow-up testing was postponed. We are not currently aware of a rescheduled date. We have been receiving communication from UW System of additional prospective audits and have been preparing to manage these audits.
- Cisco Tools: UW System mandated that all campuses deploy four UW System-provided Cisco tools. Formal deployment “projects” were initiated for Cisco’s AMP, Cloudlock, and Umbrella tools. As of October 1, 2020, UWM had completed all required Umbrella and CloudLock work. AMP implementation is in its final stage and we expect its on-time completion by the end of 2020. UWM’s Stealthwatch implementation is moving forward in conjunction with UWSA.
- Multi-factor Authentication: (MFA) technology is being implemented by UITS’ “Identity and Access Management” (IAM) Team. In the Fall of 2019, virtually all actively-employed faculty and staff members successfully enrolled in MFA. We currently intend to implement student enrollment in MFA by November 11, 2020. The initial rollout will be limited to Office 365 services authentication. Student MFA for PAWS is planned to be added by the end of 2020.

- Research Data Security initiative: UWM's Chief Information Security Officer has been actively collaborating with the team headed by the Vice Provost for Research to bolster the security of UWM's research data through enhanced campus processes. In a complementary effort, the Office of Information Security, Office of Sponsored Programs, IRB, and Office of Legal Affairs have recently commenced work on a campus-wide standard approach to Data Use Agreements.
- Data Protections: A campus project to ensure compliance with UWSA's "Data Protection procedure" is also under way. The project team has completed a detailed "campus standards" document to help guide the compliance effort. This project was delayed by the campus' move to virtual working and learning. The project has returned to the project queue and will be started at an appropriate time.
- Firewall: UWM's aging campus firewalls have been replaced, with UWM currently using Palo Alto firewalls to provide increased visibility and protection of campus networks.
- MSSP Vulnerability Scanning: UWM has engaged the services of Dell Secureworks to provide vulnerability scanning for 500 machines in the campus Data Center. The service is now considered in production, with reports regularly generated, reviewed, and addressed through a partnership between the service owners and UWM's Information Security Office.
- Data Stewards/Critical Systems Survey: This Fall 2020, Information Security Office staff will conduct the yearly "Data Stewards" exercise, contacting the University Data Stewards and working with them to identify "high risk" systems across the UWM campus.
- Log analysis initiatives: In cooperation with UITS "ITAI" staff, UWM Information Security Office Staff are investigating using log centralization and correlation tools to provide additional monitoring for campus threats.

*Metrics:* TBA

## **Campus-Wide Compliance Management**

*Responsible Units: Finance & Administrative Affairs*

UW System has established a new compliance office and compliance mandates, requiring every institution to establish a compliance structure and document responsible persons for each known compliance area at the institution. As higher education becomes increasingly regulated and subject to enormous risks, it is a good practice to have a robust, documented compliance program at UWM.

### 1. Goal: Implement a New Compliance Working-Group Structure

*Background:* UWM's Office of Legal Affairs is leading an effort to develop a compliance working-group structure at UWM. This structure will not entail adding additional compliance project management staff, but rather will utilize all existing staff and leadership for the effort.

*Status:* A draft structure, committee charter, and responsibilities were circulated to the Chancellor's Cabinet, which would serve as the Executive Committee for the project. The documents were near-finalized in early March 2020 and representatives for each subject matter were identified by their respective division/unit. We anticipated bringing the entire group together for first meetings in mid-Spring semester but did not due to COVID. We are resuming this planning now, including finalizing subject matter representatives and convening the Executive and Steering Committees before the end of 2020.

*Metrics:* Compliance structure completed, representatives named, and meetings scheduled.

### 2. Goal: Develop Policies and Procedures to Ensure Accountability for All Material Compliance Areas

*Background:* Once the working group structure is up and running, the intent is to use this structure to develop common templates, procedures, and documentation that allows the Executive Committee to be informed of the status of all compliance activities and risks on an annual basis.

*Status:* Due to COVID, the Steering Committee and working groups have not yet convened. This work will begin in the Spring semester 2021.

*Metrics:* Documented plans, in a common format, for every identified compliance area, and annual certifications signed by each responsible subject matter expert and responsible institutional official.

## **Human Resources Management and Employee Learning & Development**

*Responsible Unit: Finance & Administrative Affairs*

UWM's primary resource for accomplishing its mission is its people. Employee salaries and fringe benefits also comprise the largest portion of UWM's expenses. As budgets continue to be constrained, it is imperative that UWM's dedicated employee base be empowered to maximize their talents, abilities, and productivity. This can be accomplished through effective human resources management. The following are current initiatives designed to enhance campus-wide employee effectiveness.

1. Goal: Offer and Enhance Single Event Professional Development Opportunities for Supervisors or other Employees

*Background:* Human Resources is currently offering seven "single event" professional development opportunities for supervisors of UWM and three such events for employees in general. Individuals new to supervision at UWM are required to complete the seven events over a two-year period. To date, these events have been highly evaluated by participants.

*Status:* For the 2020-21 academic year, these events have been suspended. The individuals who deliver present at the events are mostly UWM employees. All of them are taxed with other responsibilities due to the pandemic at this time. One individual who presents two events was a UWSA employee and he has been laid off. The expectation is this goal will begin again for the 2021-22 academic year.

*Metrics:* Numbers of attendees per year; completion of all modules by new supervisors.

2. Goal: Develop an E-Performance Management Tool to Aid and Ensure Annual Performance Evaluations for All Employees

*Background:* Recent audits across UW-System have focused on a number of HR-related practices. As a result, a deficiency has been identified in institutions tracking of annual performance evaluations. At UWM, annual performance evaluations are manually completed by units at various times during the year, and there is no "easy" way to ensure that all employees are being annually evaluated. It is beneficial for employees to understand their performance for purposes of improvement and pay plan eligibility. In addition, further audits in this area are expected in the future.

*Status:* Central Human Resources (CHR) engaged with the UW Service Center to begin the process of developing a prototype e-performance evaluation tool for UWM employees. CHR has provided much information to the UWSC on UWM's current evaluation process and tools and what would be required of a future e-performance tool. The UWSC indicated it would be incorporating this information into a first iteration of the e-performance tool, with UWM participating in a pilot group.

This goal has been suspended for at least the 2020-21 academic year. Due to the pandemic and a re-prioritization of goals with a new System president coming aboard, the UW Service Center is not pursuing this goal at this time. Even if they were pursuing this goal from the Service Center, because of other priorities the pandemic has brought to the UWM HR staff, it is unlikely we would be able to implement the new E-performance system.

In October 2020, the Board of Regents approved the implementation of a new enterprise system through the Administrative Transformation Program (ATP). UW System will be acquiring and implementing a new Human Capital Management (HCM) system as part of ATP, and because the new HCM will include an e-performance system, it is unknown if the implementation of an e-performance system prior to the implementation of ATP is desirable.

*Metrics:* Adoption of electronic performance management by January of 2021. Thereafter, monitor percentage completion of annual performance evaluations by school, college and division as well as by employee category, with the goal of achieving over 90% completion.

3. Goal: Improve Employee Learning and Development through the Chancellor's Employee Learning & Development Advisory Committee (CELDAC)

*Background:* An earlier Chancellor's Committee on Climate and Culture identified that employee learning & development was a topic worthy of attention on its own. As a result, CELDAC was launched in early 2019 and is being co-led by Human Resources and the Chancellor's Chief of Staff, and includes representatives from across campus. The goals of CELDAC are to:

- Develop a vision for learning and development for UWM employees
- Develop a strategy to bring about that vision, including:
  - Identification of milestones necessary to be accomplished
  - Identification of specific learning and development opportunities
  - Identification of resources available and/or necessary to deliver content (including human, technological, financial, and physical resources)
  - Identification of key stakeholders
  - Identification of risks and obstacles
  - Identification of benefits to learning and development
  - Identification of priorities to specific learning and development, especially if limited resources conflict with learning and development needs
- Actively market learning and development opportunities at UWM to employees
- On an ongoing basis, evaluate the effectiveness of learning and development opportunities available to UWM employees and adjust the vision and strategy based upon that evaluation

*Status:* Prior to COVID, CELDAC met several times and identified learning and development opportunities that exist for UWM employees of all employee categories, and gaps that exist in learning and development for employees of UWM. CELDAC was working on a proposal for its executive sponsors to address the gaps in learning and development that have been identified.

The pandemic halted the work of the CELDAC. In addition, due to social justice activity occurring nationwide in the summer of 2020, a heightened priority has been placed on the need for robust racial equity training, which is now in development separately from the work of CELDAC. CELDAC intends to reconvene in the spring of 2021 to review and revise its draft report for the executive sponsors, collect feedback from them, and use that feedback in planning professional development training for 2021-22.

*Metrics:* TBA upon completion of CELDAC report.

## **Marketing, Branding and Advocacy**

*Responsible Unit: University Relations & Communications*

The University's last major branding campaign in Wisconsin ended five years ago. Since then we have seen enrollments fall while other regional universities have raised their profiles, supported by investments in student recruitment advertising and brand messaging. It is imperative that UWM reinvest in a recruitment and branding campaign to attract new students and build public support for new investments in the university. We can meet those objectives by delivering communications to our target audiences in a strategic and focused manner.

1. Goal: Increase the Enrollment, Retention, Quality and Diversity of Students at UWM with Marketing Messages that Celebrate UWM as a First-Choice Institution Rather than a Fallback School

*Background:* The number of high school graduates in Wisconsin peaked in 2011-12 and is not expected to increase significantly until 2024-25, when further enrollment declines are expected. This means the pool of prospective college students is shrinking and competition for them is fierce. Like most other public universities in Wisconsin, UWM has seen enrollments shrink, creating enormous economic pressure on the institution. Despite the decline in enrollment, UWM has experienced many positive developments including its promotion to a top-tier R1 research university. Many of its academic programs are highly ranked and the undergraduate research program and the new Lubar Entrepreneurship Center create strong marketing opportunities.

*Status:* With support from campus leadership, UWM has allocated strategic funding to University Relations for a robust student recruitment marketing campaign: \$375,000 for a paid media campaign from January 1 – June 30, 2020, and \$750,000 for a similar campaign in 2020-21. The targeted audiences are prospective students and their influencers with a 70-30 split respectively. The campaign is focused on audiences in southeastern Wisconsin and the Fox Valley. The media channels being utilized include: Paid Search; Digital Display advertising; Hulu; Advanced TV (TV streamed over the internet); You Tube; Paid Social media posts; Spotify; Out-of-Home ads (billboards); and terrestrial local TV and radio. Virtually all of the creative content for the campaign is being created by members of the University Relations staff. In addition to the UWM First Choice themed creative, the campaign has featured targeted messages advertising new scholarship programs, no-fee application periods, and reminders of enrollment deadlines.

*Metrics:* University Relations staff will monitor the results of the placed advertising closely to ensure the messaging reaches the intended targets. Digital ads will have tracking tags that will help determine the correlation between specific messages and the number of applications to UWM. We will also conduct additional focus groups to gather qualitative research on the impact of the ads on the targeted audiences.



2. Goal: Build Pride in UWM and Support for its Institutional Vision and Budget Objectives among Internal and External Audiences, including Current Students, Alumni and Civic and Government Officials.

*Background:* UWM has launched a number of high-profile strategic partnerships with public and private organizations to create research opportunities for faculty and learning opportunities for students. The partnerships help position UWM as a leader in translational research and entrepreneurial programming. By showcasing the deep engagement UWM has with businesses and communities, UWM will position itself to receive additional financial support from donors and through the state budget process.

*Status:* While the primary purpose of the recently approved marketing and branding campaign is to increase enrollments, the messaging within that campaign will help advance the advocacy efforts by our development and government relations offices. In the first phase of the marketing campaign, we have showcased new initiatives including Moonshot for Equity, the Connected Systems Institute, Northwestern Mutual Data Sciences Institute, and the Freshwater Collaborative.

*Metrics:* We have begun testing the effectiveness of the marketing/branding campaign with a select audience of donors and government officials.

## **Maintaining a Safe Environment**

*Responsible Unit: Finance & Administrative Affairs*

One of UWM's Guiding Values is to provide a caring, compassionate, and collegial community characterized by mutual respect and safety. Core to that value is ensuring the physical safety of our students, faculty and staff. Safety is a key responsibility for University Safety & Assurances and the UWM Police Department.

### 1. Goal: Increase Use of Electronic Tools and Systems to Improve Efficiencies in Research Compliance and Safety

*Background:* There are two electronic tools currently needed to improve efficiencies in research compliance and safety. The first is a campus-wide Chemical Inventory System. The Milwaukee Fire Department, UWM Police, and University Safety and Assurances (USA) requires real-time hazard information for efficient and effective emergency planning and response- fire, chemical release, etc. Also, capital planning of new and future buildings requires chemical quantity data in order to meet specific fire, safety, security, and building design codes. Further, annual reporting requirements of DHS, DNR/EPA, and other safety regulations require real-time data. A new electronic Chemical Inventory System would allow for tracking of chemical, biological, and radiological materials from order point to disposal, and as a result, the physical chemical inventory on campus will be reduced. Decreased chemical quantities would result in fewer chemical hazards in buildings.

The second, an electronic submission system for research compliance and safety will enable staff and researchers to reduce submission and review times and improve record documentation, storage and retention.

*Status:* The Chemical Inventory System (Reagent Material Manager) is a component of a new UW System e-Procurement system (Procure to Pay) that is currently in the execution stage of implementation. UWM will be one of the first UW institutions to implement the new chemical inventory system (CIS). The CIS will begin Phase I planning activities in January 2021 with implementation completion planned for Phase II (May/June 2021).

iManager, which is currently used for IRB (Human Subjects Research) and IBC (Biological Safety), has been implemented for IACUC (Animal Research) as of September 2020, and Radiation and Chemical Safety Committee use will be considered in the future. Biosafety has implemented the use of Canvas to deliver self-pace biosafety training to stakeholders as of July 2020, and IRB and IACUC are currently developing their online learning tools for future use.

*Metrics:* The number of submissions and review times will be monitored.

3. Goal: Expand Emergency Operations and Planning to the Waukesha and Washington County Campuses

*Background:* University Police employ an Administrative Lieutenant who is in charge of all emergency planning and COOP planning for the main Kenwood campus. This position has now taken on responsibility for the branch campuses and will work to ensure that all emergency planning and COOP planning is complete and consistent with the main campus and ready to be trained to.

*Status:* UWMPD is continuing its efforts to expand Emergency Operations and Planning to the Waukesha and Washington County campuses. UWMPD has partnered with branch campus administration in 2020 to review and update existing Emergency Operations and COOP plans for the branch campuses. Stakeholders from UWM-Waukesha and UWM-Washington Co. have been incorporated into UWM's Emergency Operations Center structure, UWM's Infection Disease Preparedness Team, and have been included and continue to be involved in UWM's COVID-19 planning, operations and response.

*Metrics:* TBA

4. Goal: Continue Classroom Safety Training for all Faculty and Instructional Staff

*Background:* This training focuses heavy on prevention and information sharing with the goal of intervening in events before they reach a violence stage.

*Status:* To date, this training has been held for over 900 faculty and instructional staff preparing them to address everything from disruptive students to active violence events. The classroom safety plus active shooter presentations will be continuing virtually in the Spring 2021 academic semester. By going virtual, we hope to increase our number of participants per session. Modifications are being made to update the material to include, but not limited to, Covid-19 concerns as it relates to instructional areas. The format, other than going virtual, will remain same which will include the interactive session to address questions and/or comments.

*Metrics:* The goal is to train all faculty and instructional staff. Now that so many staff have been trained, consider mandating for all remaining faculty/instructional staff.

## **Improve Sustainability and Energy Management**

*Responsible Unit: Finance & Administrative Affairs*

### 1. Goal: Develop a Climate Action – Carbon Resilience Plan

*Background:* Climate change poses a risk to our natural environment, infrastructure, financial system and human capital. The goal of this plan is to assess our strengths on campus and within the region, as well as our vulnerabilities as they relate to climate resiliency. The plan will delineate carbon mitigation strategies, manage risks through resiliency adaption, and position UWM to proactively address a changing climate in Southeastern Wisconsin. By engaging an informed advisory team at UWM and within the region, the intent is to best determine and rank our risks and plan according to our strengths. The plan will set our priorities, targets, and alternative strategies according to our mission and resources.

*Status:* The Carbon & Resiliency Plan kicked off with the Advisory team in November 2019. The advisory team aided the Office of Sustainability on delineating UWM assets according to three groups: Infrastructure, Community, and Environment. In reviewing the climate hazards to southeastern Wisconsin and the Lake Michigan coast, the team also brainstormed what the impacts would be to those assets and their vulnerability. The strength of UWM assets was also delineated. Over the summer and early fall 2020, the Office of Sustainability researched and reviewed the extent to which climate change would impact UWM, organizing a deeper understanding to better prepare for the planning stage. By November 2020, the Office of Sustainability will share their findings with the Advisory team and prepare for carbon mitigation and adaptation planning in 2021.

*Metrics:* The plan will create a measurement tool for assessing impact, prioritization, and inputs/resources needed for implementation of mitigation and adaptation alternatives.