

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

Business and Finance Committee

Thursday, July 8, 2021
8:45 a.m. – 10:15 a.m

Gordon Dining & Event Center, 2nd floor
770 W. Dayton Street
Madison, Wisconsin
Via Webex Videoconference

- A. Calling of the Roll
- B. Declaration of Conflicts
- C. Approval of the Minutes of the June 3, 2021 Meeting of the Business and Finance Committee
- D. Approval to Amend Regent Policy Document 25-4, "Strategic Planning and Large or High Risk Projects"
- E. Approval of UW-Madison Electronic Access Control Project
- F. Approval of UW System Software as a Service Agreement with Workday, Inc.
- G. Review and Approval of UW System Semi-Annual Status Report on Large/Vital Information Technology Projects
- H. Approval of UW-Eau Claire Bookstore and Textbook Rental Services Agreement with Follett Higher Education Group, Inc.
- I. Approval of UW-La Crosse Dining Services Contract Extension with Compass Group USA, Inc.
- J. Approval of UW-River Falls Dining Services Contract Extension with Compass Group USA, Inc.
- K. Approval of UW-Superior Dining Services Contract Extension with Compass Group USA, Inc.
- L. Approval of UW-Madison Contractual Agreement with the National Football League
- M. Approval of UW-Madison Standard Research Agreement with Galilei Biosciences, Inc.

- N. Approval of UW-Madison Master Clinical Trial Agreement with Novartis Pharmaceuticals Corporation
- O. Regent Policy Document Review: Equal Employment Opportunities
- P. UW System Presentation on UW Tax-Sheltered Annuity 403(b) Program

July 8, 2021

**APPROVAL TO AMEND REGENT POLICY DOCUMENT 25-4,
“STRATEGIC PLANNING AND LARGE OR HIGH RISK PROJECTS”**

REQUESTED ACTION

Adoption of Resolution D., to amend RPD 25-4, “Strategic Planning and Large or High Risk Projects.”

Resolution D. That, upon the recommendation of the President of the University of Wisconsin System, the UW System Board of Regents approves the amendment of Regent Policy Document 25-4, “Strategic Planning and Large or High Risk Projects” to delineate the delegation of project approval authority for projects that do not meet the criteria of large or high-risk and to update the role of the UW System Office of Learning and Information Technology Services.

SUMMARY

RPD 25-4, “Strategic Planning and Large or High Risk Projects” fulfills the obligations of Section 36.59, Wis. Stats. by requiring all UW System institutions to develop annual strategic plans related to information technology and by establishing policies for implementing, evaluating, and monitoring large and high-risk technology projects. It details the elements for inclusion in the strategic plans to be submitted by UW System Administration and the UW System institutions to the Board of Regents each year by March 1. It also defines large or high-risk information technology projects and the criteria for UW System institutions in implementing and monitoring these projects, as well as the role of UW System Administration in project monitoring.

The proposed amendment to the policy addresses projects that do not meet the criteria for large or high-risk projects. Under the amendment, the authority to approve certain projects would be delegated to the UW System President or the UW System institution chancellors, depending on the cost and scope of the proposed project. The proposed revision would additionally include reporting requirements to the UW System Office of Learning and Information Technology Services, the frequency of which would depend on the project’s cost and scope. It also dictates that the UW System Office of Learning and Information Technology Services will maintain a master list of all information technology projects valued greater than \$50,000.

Presenter

- Steven Hopper, Associate Vice President for the Office of Learning and Information Technology and Chief Information Officer, UW System Administration

BACKGROUND

In 2007, the Wisconsin legislature created Section 36.59, Wis. Stats. This statute dictates the role of the Board of Regents in the creation of an information technology strategic plan, the promulgation of policies for large, high-risk projects, the promulgation of commercially available products, reporting to the governor and joint committee on information policy and technology on master leases for information technology projects, oversight of high-cost projects, the receipt of reports from the institutions on open-ended contracts, and reporting to the joint committee on information policy and technology on large (greater than \$1,000,000) and high-risk projects.

To address the requirements of this statute related to the creation of policies for large and high-risk projects, in April of 2008 the Board of Regents adopted resolution 9458 which created RPD 25-4, "Policy for Large or Vital Information Technology Projects." This policy was designed to promote the efficient and effective use of resources by detailing the specific components of Information Technology Strategic Planning to be submitted by UW System Administration and the UW institutions, so that UW System Administration could prepare the statutorily required report annually by March 1. Additionally, RPD 25-4 defines large or high-risk projects for the purposes of the statutorily required biannual reporting. It establishes the requirements for UW institutions for undertaking large or high-risk projects under a proper leadership structure and project charter, and monitoring the projects utilizing an institutional project steering committee. It also addresses the requirements for the UW System Project Management Office in monitoring the projects, utilizing a Common Systems Review Group to compile reports for the Board of Regents, and providing recommendations to the UW System President and chancellors.

In December 2012, the Board of Regents adopted resolution 10609 that amended RPD 25-4 and renamed the policy "Strategic Planning and Large or High Risk Projects." These revisions incorporated references to the statutorily required components of the annual strategic plan, as well as the reporting of large or high-risk projects. It changed the definition of high-risk and clarified that the required reports on large and high-risk projects must be submitted to the Board of Regents prior to submission to the Joint Committee on Information Technology. It also added reference to the Office of Learning and Information Technology Systems in place of the UW System Administration Project Management Office and adopts the language of the statute of "large" or "high-risk," as compared to the original terms "high-cost" and "vital."

The current proposed revision was drafted in response to a comment from the Legislative Audit Bureau's report 20-10 in response to the audit of IT Needs Assessment, Procurement, and Security at the University of Wisconsin (UW) System. It addresses projects that are not deemed large or high-risk, and therefore do not require Board of Regents approval. The revision delegates the authority to approve such projects to the UW System President or the UW institution chancellor, depending on the cost and scope of the project. It also establishes the reporting requirements for such projects to the Office of Learning and Information Technology Systems so that they can effectively monitor information technology projects as required by Section 36.59, Wis. Stats.

The revision replaces the reference to the Common Systems Review Group (CSRG) with its successor, the Enterprise Directions Council (EDC). This governance transition was a component of the Digital Strategy approved by the UW System President in 2019. Finally, the revision addresses the Board of Regents responsibility for addressing master lease financing for large or high-risk information technology projects as required by Section 36.59, Wis. Stats.

Related Regent Policy Documents and Applicable Laws

- Section 36.59, Wis. Stats., *Information Technology*
- UW System Administrative Policy 1110, *Information Technology Acquisitions Approval*

ATTACHMENTS

- A) RPD 25-4, "Strategic Planning and Large or High Risk Projects" (Proposed)
- B) RPD 25-4, "Strategic Planning and Large or High Risk Projects" (Current)

RPD 25-4, “STRATEGIC PLANNING AND LARGE OR HIGH RISK PROJECTS” – PROPOSED POLICY

SCOPE

This policy applies to all UW System institutions and UW System Administration.

PURPOSE

Section 36.59, Wis. Stats., requires all UW institutions to adopt and submit to the Board of Regents annual strategic plans for the utilization of information technology. This statutory section also requires the Board to define and identify large, high-risk projects and develop policies and procedures for implementing, evaluating, and monitoring such projects. This policy implements the requirements of s. 36.59, Wis. Stats., which coordinates information technology strategic planning across the UW System, and specifies management and reporting requirements related to large or high-risk information technology projects. [It also details the Board of Regent’s delegation of approval authority for projects that do not meet the criteria for large or high-risk projects.](#)

POLICY STATEMENT

It is the policy of the UW System Board of Regents to ensure efficient and effective use of resources and compliance with statutory requirements by requiring all UW institutions to develop annual strategic plans related to information technology, and by promulgating policies related to large and high-risk information technology projects. [For projects that are not deemed large or high-risk, the Board delegates the approval authority to the UW System President and UW institution Chancellors, depending on the project cost and scope.](#)

Information Technology Strategic Planning

UW System Administration and each UW institution will submit strategic plans for information technology projects to the Board of Regents each year by March 1. Per s. 36.59(1), Wis. Stats., each strategic plan shall include:

- A justification for each project, including the anticipated benefits of each project included in the plan.
- A statement on the business needs of the UW System or institution and how the projects included in the plan would address those needs.
- The priority for undertaking projects included in the plan.
- An identification of any changes to the functioning of the UW System or the institution under the plan.
- A separate identification of the following projects in each plan:
 - Projects that are able to be initiated using existing resources available to the UW System or the institution.
 - Projects that would require additional resources being devoted to the UW System or the institution before implementation of the project is possible.

Additionally, as a part of the plan but in a separate document, UW System Administration and each institution must identify large or high-risk information technology projects, as defined in the next section of this policy. The Office of Learning and Information Technology Services (OLITS) shall use this information to prepare the March 1 report on Large or High-Risk Information Technology Projects to the Joint Committee on Information Policy and Technology.

Large or High-Risk Information Technology Projects

No later than March 1 and September 1 of each year, the Board of Regents is required to submit to the Wisconsin Legislature's Joint Committee on Information Policy and Technology a report on large, high-risk information technology projects within the UW System. The Board of Regents shall review these reports prior to submission to the Joint Committee on Information Policy and Technology. An information technology project, ongoing or proposed, shall be designated as large or high-risk if:

- The project exceeds or is projected to exceed \$1,000,000; or
- The project is or is projected to be vital to the functions of the UW System or institution. A project shall be deemed "vital" if failure to complete the project on time or on budget would prevent the System or any institution within the System from running any of its enterprise-wide systems or fulfilling any of its essential missions of instruction, research, extended training or public service for ten days or more.

Each project that meets the definition of large or high-risk shall be reviewed and approved by the Board of Regents prior to contract finalization or project implementation. This review must include a project description, justification, impact, timeline, budget, and source of funds including master lease, if applicable.

Each UW institution shall comply with the following requirements for large or high-risk information technology projects:

1. Every project must have a governance structure that includes executive sponsors, a project steering committee, a project manager, and an appropriate implementation team.
2. Every project must have a project charter containing a clear business case, detailed project objectives, project principles, project structure, project management strategies, and project management controls.
3. Every project must have a communication plan.
4. Every project must identify affected business processes before implementation begins, and establish effective change control procedures when the complexity of the business process or policy requires modifications or customizations to the software application.
5. Every project must have a project plan, timeline and budget at the beginning of implementation.
6. The project plan must address the issue of independent project quality assurance (i.e., outside audits).
7. In the event that a project proposal recommends some solution other than a commercial off-the-shelf (COTS) product, the proposal must contain:
 - a. An analysis of five-year costs associated with purchase and maintenance of the COTS product versus the cost to build or support the product.
 - b. An analysis of business requirements and needs.

~~8.—Each of the above elements for each large and high-risk project must be submitted to OLITS for review prior to implementation. These same elements shall also be included in the Strategic Plan for Information Technology Projects report to the Board of Regents by March 1 of each year.~~

Each UW institution shall comply with the following requirements for monitoring large or high-risk information technology projects:

1. An institutional project steering committee shall be established to provide management oversight of individual campus projects, including:
 - a. approval of all project specification changes;
 - b. approval of all timeline changes; and
 - c. approval of all cost changes.
2. The institutional project steering committee shall:
 - a. confer with OLITS before discontinuing or substantially modifying a large or high-risk information technology project; and
 - b. provide OLITS with a quarterly project progress report. OLITS shall use information from these reports to prepare the statutorily required reports on large or high-risk information technology projects. The quarterly progress report shall contain the following elements:
 1. original and updated project costs;
 2. original and updated project timelines;
 3. explanation of major cost or timeline changes;
 4. executive summary of previously unreported contracts related to an information technology project;
 5. funding sources for each project, including master leases; and
 6. project status.

UW System Administration shall comply with the following requirements for monitoring large or high-risk information technology projects:

1. All major UW System information technology projects are ~~managed and~~ monitored by OLITS, and governed by systemwide or institutional executive steering committees. The steering committees provide management oversight of individual systemwide projects, including:
 - a. approval of all project specification changes;
 - b. approval of all timeline changes; and
 - c. approval of all cost changes.
2. The ~~Common Systems Review Group~~ Enterprise Directions Council (ESRG) monitors the budget and fiscal health of each systemwide project. The responsibilities of the ~~CSRG-EDC~~ are as follows:
 - a. Include any applicable System-sponsored projects in the reports on large or high-risk information technology projects. The following information on such projects shall be provided:
 1. original and updated project costs;
 2. original and updated project timelines;
 3. explanation of major cost or timeline changes;

4. executive summary of previously unreported contracts related to an IT project;
5. funding sources for each project, including master leases; and
6. project status.

~~b.~~ Provide recommendations to the UW System President and chancellors on all systemwide projects; all project funding on an annual basis; any extraordinary increases in total ~~CSRG-EDC~~ project funding; and the discontinuation or significant modification of any project.

3. ~~OLITS is responsible for the development~~ of a systemwide information technology plan due to the Board of Regents by March 1 each year.

Master Lease Financing for Large/High Risk Information Technology Projects

The UW System and each institution shall follow applicable Department of Administration policies and procedures when using master leases to finance large, high-risk IT projects. Annually, the Board of Regents shall submit a report to the Joint Committee on Information Policy and Technology JCIPT by October 1 documenting the use of master leases to finance technology projects for the previous fiscal year and shall contain all the information required by s.36.59. The Board of Regents delegates authority to the UW System President to enter into master lease agreements with the Department of Administration, which authority may be further delegated to Chancellors, and to develop procedures related to the use of master leases to finance information technology projects, if needed.

Delegation of Approval Authority and Reporting Requirements Non-Large or High-Risk Technology Projects

For projects that do not meet the \$1 million threshold and do not meet the criteria of high-risk technology projects, the Board of Regents delegates the authority to approval projects based on the projected project cost and the scope of the project. The frequency of required reporting to the Board of Regents also depends on the cost. The specific requirements by price range are listed below:

- For projects estimated to cost \$500,000 to \$1,000,000: all such projects shall be reported on the Aggregated List of IT Projects, with annual updates provided by the responsible entity/institution.
 - *UW-Madison or UW-Milwaukee Projects:* The BOR delegates authority to the Chancellor of the respective institution to approve.
 - *UW System Administration Projects or UW System-wide Projects:* The BOR delegates authority to the UW System President to approve.
 - *Comprehensive Institution Projects:* The BOR delegates authority to the Chancellor of the respective institution to approve.
- For projects estimated to cost \$250,000 to \$500,000: all such projects shall be reported on the Aggregated List of IT Projects, with annual updates provided by the responsible entity/institution.
 - *UW-Madison or UW-Milwaukee Projects:* The BOR delegates authority to the Chancellor the respective institution to approve and further delegate approval authority.

- UW System-wide of UW System Administration Projects: The BOR delegates authority to the UW System President to approve and further delegate approval authority.
- Comprehensive Institution Projects: The BOR delegates authority to the institution's Chancellor to approve and further delegate approval authority.
- For projects estimated to cost \$50,000 to \$250,000:
 - UW-Madison or UW-Milwaukee Projects: The BOR delegates authority to the Chancellor of respective institution to approve and further delegate approval authority. All such projects are not required to be reported outside of the campus/entity.
 - UW System-wide Projects: The BOR delegates authority to the UW System President to approve and further delegate approval authority. All such projects are not required to be reported outside of the campus/entity.
 - UW System Administration Projects: The BOR delegates authority to the UW System President to approve and further delegate approval authority. All such projects shall be reported on the Aggregated List of IT Projects, with an annual update provided by the responsible entity/institution.
 - Comprehensive Institution Projects: The BOR delegates authority to the institution's Chancellor to approve and further delegate approval authority. All such projects shall be reported on the Aggregated List of IT Projects, with an annual update provided by the responsible entity/institution.
- For projects estimated to cost less than \$50,000: all such projects are not required to be reported outside of the campus/entity.
 - UW-Madison or UW-Milwaukee Projects: The BOR delegates authority to the Chancellor of respective institution to approve and further delegate approval authority.
 - UW System Administration Projects or UW System-wide Projects: The BOR delegates authority to the UW System President to approve and further delegate approval authority.
 - Comprehensive Institution Projects: The BOR delegates authority to the institution's Chancellor to approve and further delegate approval authority.

OVERSIGHT, ROLES, AND RESPONSIBILITIES

Chancellors are responsible for submitting annual strategic plans and quarterly institutional progress reports to the UW System Office of Learning and Information Technology Services.

The Office of Learning and Information Technology Services is responsible for:

1. Reviewing/Collecting plans for all large or high-risk information technology projects and presenting them to Board of Regents for approval, prior to implementation.
2. Monitoring the implementation of all large or high-risk information technology projects and consulting with UW System institutions that wish to discontinue large or high-risk information technology projects.
3. Coordinating and preparing the information technology strategic planning reports due to the Board of Regents by March 1 each year.
4. Coordinating and presenting to the Board of Regents the reports on large or high-risk information technology projects.

[4.5. Maintaining and updating an Aggregated List of IT Projects to track all projects with a projected cost of equal to or greater than \\$50,000 for comprehensive institutions or \\$250,000 for UW-Madison, UW-Milwaukee, and UW System-wide projects.](#)

RELATED REGENT POLICIES AND APPLICABLE LAWS

- Section 36.59, Wis. Stats., Information Technology

[1] GPR-funded staff reassigned to a project are not considered part of a project's cost. Any staff hired to backfill for GPR funded staff assigned to a project are considered part of a project's cost.

History: Res. 9458, adopted 04/11/2008, created Regent Policy Document 25-4; Res. 10609, adopted 12/11/2015, amended and renamed Regent Policy Document 25-4 "Strategic Planning and Large or High-Risk Projects." Technical corrections made on 11/15/2018, as authorized by Res. 10835 (adopted 3/9/2017). [Res. xxxx, adopted 07/08/2021, amended Regent Policy Document 25-4.](#) Policy subject to review by the Wisconsin Legislature's Joint Committee on Information Policy and Technology.

RPD 25-4, “STRATEGIC PLANNING AND LARGE OR HIGH RISK PROJECTS” (Current Policy)

SCOPE

This policy applies to all UW System institutions and UW System Administration.

PURPOSE

Section 36.59, Wis. Stats., requires all UW institutions to adopt and submit to the Board of Regents annual strategic plans for the utilization of information technology. This statutory section also requires the Board to define and identify large, high-risk projects and develop policies and procedures for implementing, evaluating, and monitoring such projects. This policy implements the requirements of s. 36.59, Wis. Stats., which coordinates information technology strategic planning across the UW System, and specifies management and reporting requirements related to large or high-risk information technology projects.

POLICY STATEMENT

It is the policy of the UW System Board of Regents to ensure efficient and effective use of resources and compliance with statutory requirements by requiring all UW institutions to develop annual strategic plans related to information technology, and by promulgating policies related to large and high-risk information technology projects.

Information Technology Strategic Planning

UW System Administration and each UW institution will submit strategic plans for information technology projects to the Board of Regents each year by March 1. Per s. 36.59(1), Wis. Stats., each strategic plan shall include:

- A justification for each project, including the anticipated benefits of each project included in the plan.
- A statement on the business needs of the UW System or institution and how the projects included in the plan would address those needs.
- The priority for undertaking projects included in the plan.
- An identification of any changes to the functioning of the UW System or the institution under the plan.
- A separate identification of the following projects in each plan:
 - Projects that are able to be initiated using existing resources available to the UW System or the institution.
 - Projects that would require additional resources being devoted to the UW System or the institution before implementation of the project is possible.

Additionally, as a part of the plan but in a separate document, UW System Administration and each institution must identify large or high-risk information technology projects, as defined in the next section of this policy. The Office of Learning and Information Technology Services (OLITS) shall use this

information to prepare the March 1 report on Large or High-Risk Information Technology Projects to the Joint Committee on Information Policy and Technology.

Large or High-Risk Information Technology Projects

No later than March 1 and September 1 of each year, the Board of Regents is required to submit to the Wisconsin Legislature's Joint Committee on Information Policy and Technology a report on large, high-risk information technology projects within the UW System. The Board of Regents shall review these reports prior to submission to the Joint Committee on Information Policy and Technology. An information technology project, ongoing or proposed, shall be designated as large or high risk if:

- The project exceeds or is projected to exceed \$1,000,0001; or
- The project is or is projected to be vital to the functions of the UW System or institution. A project shall be deemed "vital" if failure to complete the project on time or on budget would prevent the System or any institution within the System from running any of its enterprise-wide systems or fulfilling any of its essential missions of instruction, research, extended training or public service for ten days or more.

Each UW institution shall comply with the following requirements for large or high-risk information technology projects:

1. Every project must have a governance structure that includes executive sponsors, a project steering committee, a project manager, and an appropriate implementation team.
2. Every project must have a project charter containing a clear business case, detailed project objectives, project principles, project structure, project management strategies, and project management controls.
3. Every project must have a communication plan.
4. Every project must identify affected business processes before implementation begins, and establish effective change control procedures when the complexity of the business process or policy requires modifications or customizations to the software application.
5. Every project must have a project plan, timeline and budget at the beginning of implementation.
6. The project plan must address the issue of independent project quality assurance (i.e., outside audits).
7. In the event that a project proposal recommends some solution other than a commercial off-the-shelf (COTS) product, the proposal must contain:
 - a. An analysis of five-year costs associated with purchase and maintenance of the COTS product versus the cost to build or support the product.
 - b. An analysis of business requirements and needs.
8. Each of the above elements for each large and high-risk project must be submitted to OLITS for review prior to implementation. These same elements shall also be included in the Strategic Plan for Information Technology Projects report to the Board of Regents by March 1 of each year.

Each UW institution shall comply with the following requirements for monitoring large or high-risk information technology projects:

1. An institutional project steering committee shall be established to provide management oversight of individual campus projects, including:
 - a. approval of all project specification changes;
 - b. approval of all timeline changes; and
 - c. approval of all cost changes.
2. The institutional project steering committee shall:
 - a. confer with OLITS before discontinuing or substantially modifying a large or high-risk information technology project; and
 - b. provide OLITS with a quarterly project progress report. OLITS shall use information from these reports to prepare the statutorily required reports on large or high-risk information technology projects. The quarterly progress report shall contain the following elements:
 1. original and updated project costs;
 2. original and updated project timelines;
 3. explanation of major cost or timeline changes;
 4. executive summary of previously unreported contracts related to an information technology project;
 5. funding sources for each project, including master leases; and
 6. project status.

UW System Administration shall comply with the following requirements for monitoring large or high-risk information technology projects:

1. All major UW System information technology projects are managed and monitored by OLITS, and governed by systemwide or institutional executive steering committees. The steering committees provide management oversight of individual systemwide projects, including:
 - a. approval of all project specification changes;
 - b. approval of all timeline changes; and
 - c. approval of all cost changes.
2. The Common Systems Review Group (CSRG) monitors the budget and fiscal health of each systemwide project. The responsibilities of the CSRG are as follows:
 - a. Include any applicable System-sponsored projects in the reports on large or high-risk information technology projects. The following information on such projects shall be provided:
 1. original and updated project costs;
 2. original and updated project timelines;
 3. explanation of major cost or timeline changes;
 4. executive summary of previously unreported contracts related to an IT project;
 5. funding sources for each project, including master leases; and
 6. project status.
 - b. Provide recommendations to the UW System President and chancellors on all systemwide projects; all project funding on an annual basis; any extraordinary increases in total CSRG project funding; and the discontinuation or significant modification of any project.

- c. Development of a systemwide information technology plan due to the Board of Regents by March 1 each year.

OVERSIGHT, ROLES, AND RESPONSIBILITIES

Chancellors are responsible for submitting annual strategic plans and quarterly institutional progress reports to the UW System Office of Learning and Information Technology Services.

The Office of Learning and Information Technology Services is responsible for:

1. Reviewing plans for all large or high-risk information technology projects prior to implementation.
2. Monitoring the implementation of all large or high-risk information technology projects and consulting with UW System institutions that wish to discontinue large or high-risk information technology projects.
3. Coordinating and preparing the information technology strategic planning reports due to the Board of Regents by March 1 each year.
4. Coordinating and presenting to the Board of Regents the reports on large or high-risk information technology projects.

RELATED REGENT POLICIES AND APPLICABLE LAWS

- Section 36.59, Wis. Stats., Information Technology

[1] GPR-funded staff reassigned to a project are not considered part of a project's cost. Any staff hired to backfill for GPR funded staff assigned to a project are considered part of a project's cost.

History: Res. 9458, adopted 04/11/2008, created Regent Policy Document 25-4; Res. 10609, adopted 12/11/2015, amended and renamed Regent Policy Document 25-4 "Strategic Planning and Large or High-Risk Projects." Technical corrections made on 11/15/2018, as authorized by Res. 10835 (adopted 3/9/2017). Policy subject to review by the Wisconsin Legislature's Joint Committee on Information Policy and Technology.

July 8, 2021

UW-MADISON ELECTRONIC ACCESS CONTROL PROJECT

REQUESTED ACTION

Adoption of Resolution E., approval of the UW-Madison Electronic Access Control Project.

Resolution E. That, upon the recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Board of Regents approves the Electronic Access Control Project to replace the Andover System with the Lenel S2 system.

SUMMARY

UW-Madison is seeking approval from the Board of Regents to proceed with a project to replace the electronic door access system on the UW-Madison campus. Due to the projected project budget and the vital importance of this project to UW-Madison's teaching, research and outreach missions, UW-Madison's Chief Information Officer has designated the proposed electronic access system replacement project as a large or high-risk information technology project, and the project has been reviewed by the UW System Chief Information Officer, as specified in Regent Policy Document 25-4. The required elements for large or high-risk IT projects outlined in RPD 25-4 are either completed or in progress, and UW-Madison will monitor the project as specified in RPD 25-4.

UW-Madison has been using Schneider Electric's Andover Continuum electronic door access control system since 2004, with over 5,000 electronic access points across 150 buildings. While the Andover system met industry standards at the time it was selected, the landscape has significantly changed in technology and security practices over the last 16 years. Notably, Schneider Electric announced that the End of Life (EOL) of their Andover Continuum product will be December 2021. When a product goes EOL, the vendor will no longer support the product (with regular patching including security patches, updates, bug fixes, or support). This puts the university at a security risk and also jeopardizes its ability to retain and attract new federally funded research projects that have access control security requirements. There is no choice but to choose another product and begin a new lifecycle with a modern, secure system.

A request for information was issued through UW-Madison Purchasing Services, closing on September 30, 2019. Subsequent to that, a request for proposals (RFP) was posted in

March 2020. Thirteen responses to that RFP were submitted and were subsequently evaluated and scored by September 2020. An evaluation committee comprised of representatives from the UW-Madison procurement office, Division of Information Technology (DoIT), Facilities Planning & Management (FPM) and UW Police Department (UWPD) considered these submittals, resulting in the recommendation herein. Stanley Convergent Security Solutions (Stanley, Inc.) was the highest-scoring proposer and is offering the Lenel S2 solution. An intent to award was issued in November 2020 and contract terms and conditions negotiated with Stanley, Inc. The contract was signed by the university following Board of Regents approval in April 2021.

Ideally, the replacement system would be fully implemented, and the current Andover system retired, by EOL (December 2021). Due to delays caused by COVID-19 and other factors, however, the replacement system will likely not be fully in place until May 2022 or later (past the current system's EOL).

Project highlights include:

- The project is currently in Phase 1, which is a pilot phase to implement the upgrades to Lenel S2 in five buildings (chosen for their diversity of use, complexity, and factors that are representative of many different buildings across the campus).
- Phase 2 is scheduled for completion by May 2022, which will complete upgrades to the Andover system at all 5,000+ access points in the 150+ buildings on the UW-Madison campus.
- The university is requesting that Stanley, Inc. handle all aspects of planning, installation, integration, and related project management with operational support from DoIT on the IT infrastructure, UWPD as the system owner and lead, and FPM handling quality assurance to ensure compliance with electrical specifications and codes.
- The university plans to use a phased approach to convert groupings of buildings to break up the project into smaller portions.
- Statements of work (SOW) will be used to track each building project and phase completion to ensure adherence to contracted pricing and rates.
- Replacement access control system is open source and non-proprietary (and thus subject to future support and/or expansion by any qualified vendor).
- Vendor contracted to install servers, software, and configuration to support all existing electronic access doors in 150 buildings by May 2022.
- UW-Madison has additional options under contract to request ongoing system support (up to 24/7 support), electrical labor/installation of upgraded security cabling, etc.
- Projected cost of the project is just over \$6.0 million, excluding UW-Madison internal labor.
- The costs for the building access system will be capitalized.

Presenter

- Rob Cramer, Interim Vice Chancellor for Finance and Administration, UW-Madison

BACKGROUND

[Regent Policy Document 25-4](#) implements the requirements of [s. 36.59, Wis. Stats.](#), which coordinates information technology strategic planning across the UW System, and specifies management and reporting requirements related to large or high-risk information technology projects.

Related Policies

- Regent Policy Document 13-1, "General Contract Approval, Signature Authority, and Reporting"
- Regent Policy Document 25-4, "Strategic Planning and Large or High Risk Projects"
- System Administrative Policy 1110, "Information Technology Acquisitions Approval"

ATTACHMENT

- A) Project Summary

Fiscal Year (FY) Budget and Actuals AS OF 5/07/2021:

Budget Item	FY21 Budget	FY21 Actuals	FY22 Budget	FY22 Actuals	Total Budget	Total Actuals to Date
Hardware	\$109,050	\$0	\$3,079,574	\$0	\$3,188,624	\$0
Software	\$75,585	\$0	\$234,850	\$0	\$310,435	\$0
Contract Work	\$43,984	\$0	\$1,729,004	\$0	\$1,772,988	\$0
Total	\$228,619	\$0	\$5,043,428	\$0	\$5,272,047	\$0
*Contingency	\$22,862	\$0	\$756,514	\$0	\$779,376	\$0
Total	\$251,481	\$0	\$5,799,942	\$0	\$6,051,423	\$0

Excludes UW Internal Labor (FP&M QA, DoIT, OSC)

***Contingency 10% for FY21 and 15% for FY22**

July 8, 2021

**UW SYSTEM SOFTWARE AS A SERVICE (SaaS) AGREEMENT WITH
WORKDAY, INC.**

REQUESTED ACTION

Adoption of Resolution F., approving the contractual agreement between the Board of Regents and Workday, Inc.

Resolution F. That, upon the recommendation of the Chancellor of the University of Wisconsin–Madison and the President of the UW System, the Board of Regents approves the contractual agreement between the Board of Regents of the University of Wisconsin System, and Workday, Inc. for a ten (10) year contract.

SUMMARY

The Administrative Transformation Program (ATP) is a multi-year program across the UW System to address legacy process inefficiencies, risks, and gaps in functionality, and to build an administrative infrastructure for the future. One necessary component of this is the acquisition of contemporary cloud-based enterprise resource planning (ERP) software. UW System evaluated the two major cloud-based ERP software options available through the portfolio of the [National Association of State Procurement Officials](#) (NASPO) and selected Workday, Inc. to provide that cloud-based ERP software.

This contract is the Master Service Agreement and associated Ordering Documents for the cloud-based ERP software, acquired via a Participating Addendum between NASPO and the University of Wisconsin System, as authorized by the State Bureau of Procurement.

This contract contains negotiated modifications to the standard NASPO terms, conditions, and pricing to bring it into conformity with State procurement regulations, incorporate the Legislative Audit Bureau’s recommendations for information technology contracts, optimize the acquisition according to the University of Wisconsin’s strategic plan and timeline, and provide more favorable negotiated pricing than that contained in the NASPO agreement.

Under this agreement, the University of Wisconsin will pay Workday, Inc. approximately \$58,997,577 over the next ten (10) years for cloud-based ERP software, backups, storage,

training, support & maintenance, information security, FERPA compliance and ADA compliance.

Presenter:

- Brent Tilton, Director of Procurement, UW System Administration

BACKGROUND

Regent Policy Document 13-1 requires any grant or contract with private, profit-making organizations in excess of \$1,000,000 be presented to the Board of Regents for formal approval prior to execution.

Previous Action or Discussion

Preplanning activities were approved by the Board of Regents in February 2019. During the preplanning activities, UW System Administration and UW-Madison conducted an assessment of UW's current systems and processes, spending, risks, alternatives, and potential costs. The Board of Regents approved and authorized the Administrative Transformation Program in October 2020.

Related Policies

- Regent Policy Document 13-1, "General Contract Approval, Signature Authority, and Reporting"

July 8, 2021

UW SYSTEM STATUS REPORT ON LARGE/VITAL INFORMATION TECHNOLOGY PROJECTS

REQUESTED ACTION

Adoption of Resolution G., approving submission of the required reports to the legislative Joint Committee on Information Policy and Technology.

Resolution G. That, upon the recommendation the President of the UW System, the UW System Board of Regents approves: (1) the UW System Status Report on Large/Vital Information Technology Projects dated July 8, 2021; and (2) UW System Administration's submittal of the report on the Board's behalf to the legislative Joint Committee on Information Policy and Technology, as required by [s. 36.59\(7\), Wis. Stats.](#)

SUMMARY

The Status Report on the Large/Vital Information Technology Projects provides the Board of Regents with the information it needs to execute appropriate oversight over the large and high-risk IT projects across the UW System.

Presenter

- Steven Hopper, Associate Vice President for the Office of Learning and Information Technology and Chief Information Officer, UW System Administration

BACKGROUND

[Section 36.59, Wis. Stats.](#), requires that by no later than March 1 and September 1 of each year, the Board of Regents submit to the Joint Committee on Information Policy and Technology a report that documents each information technology project within the system with an actual or projected cost greater than \$1,000,000 or that the board has identified as a large, high-risk information technology project.

[Regent Policy Document 25-4](#) implements the requirements of [s. 36.59, Wis. Stats.](#), which coordinates information technology strategic planning across the UW System, and specifies

management and reporting requirements related to large or high-risk information technology projects.

The attachments provide a dashboard along with individual progress reports on the UW System’s major information technology projects. There are fourteen (14) major projects to report.

	Institution	Project Name	Milestone since Feb. 2021 BOR Meeting
1	UW-Madison	Campus Access Controls Replacement	Fully Scoped with Contract
2	UW-Madison	DOA Datacenter Migration	None to Report
3	UW-Madison	Endpoint Management	Restarted after COVID-19 pause
4	UW-Madison	Facilities Planning and Management Work Order System	Scheduled Extended, Technical Budget Adjustment
5	UW-Madison	Hybrid Cloud Infrastructure	Design Completed
6	UW-Madison	Interoperability Transformation Initiative	Significant functionality release
7	UW-Madison	One Badger - Salesforce (Early Adopters)	Schedule Extended due to COVID-19, Budget Reduction
8	UW System	Administrative Transformation Program Pre-planning	Contract Negotiation Completed
9	UW System	Administrative Transformation Program	None to Report
10	UW System	Budget Planning and Forecasting System	None to Report
11	UW System	Procure-to-Pay Automation Project (P2P)	Phase 1 Completed
12	UW System	SIS Consolidation	None to Report
13	UW System	SysNet 2020 Network Upgrade	None to Report
14	UW System	Unified Identity and Collaboration Pre-planning	None to Report

The overall portfolio totals \$279 million, which is a decrease of \$13 million reported at the February 2021 Board of Regents meeting, which is due to the completion of four (4) projects. The dashboard contains one (1) project that has been fully completed since the February 2021 Board of Regents meeting. The dashboard contains zero (0) new projects that were initiated since the February 2021 Board of Regents meeting. However, one (1) project with a pre-existing estimated budget has now been fully scoped:

- UW-Madison’s Campus Access Controls Replacement project completed its RFP, which has enabled it to determine the full scope and budget of \$6.0 million. Since this project appeared in the large/vital portfolio before the recommendation from

the Legislative Audit Bureau (LAB) to explicitly approve all IT projects over \$1 million, we are following the new protocol to discuss this project separately as Item E.

COVID-19 has been a major disruption on the large/vital IT project portfolio for the past fifteen (15) months, causing a variety of delays due to diverted resources and budget uncertainty. While we may experience shockwaves for some time, we are starting to see more predictability and projects are re-starting after COVID-19 delays. Finally, we have eight (8) noteworthy projects since the February 2021 Board of Regents meeting:

- UW-Madison's Endpoint Management project has been restarted after a COVID-19 pause. This project is a key component to UW-Madison's overall cybersecurity strategy to increase protection for university owned and managed devices. After resource capacity and budget issues stemming from COVID-19, this project has been re-prioritized and is moving forward on schedule.
- UW-Madison's Facilities Planning and Management Work Order System project has been extended two (2) months to align with software upgrades of the existing modules and to resolve some critical technical issues. These issues have now been addressed, the project is back on track, and is expected to complete within the revised timeframe. The budget was also increased by \$817,000, but this is a technical correction to remove expected savings from project budgets as part of the continuing effort to standardize reporting across projects and ensure transparency.
- UW-Madison's Hybrid Cloud Infrastructure project has been extended by five (5) months after completion of the full technical design. However, the project is on track to be approximately \$1 million under budget.
- UW-Madison's One Badger Salesforce project is mostly complete, but the School of Education portion continues to experience delays and has been extended 4 months due to resources being diverted to address COVID-19 testing compliance and support of residential students. However, the project has reduced its budget and expects to complete \$480,000 under budget.
- UW System's Administration Transformation Program (ATP) Pre-planning project completed the contract negotiation with Workday, which is being presented as Item F. The project had a major setback in that the System Implementation (SI) RFP was terminated due to an investigation stemming from vendor protests. As such, the SI RFP was removed from scope and will be conducted as part of the full ATP implementation project.
- UW System's Administrative Transformation Program (ATP) project decreased its budget by \$247,000 to absorb the budget overrun by the pre-planning project. There are two critical challenges that require corrective action, or the project schedule will need to be extended: 1) restart the failed System Implementation RFP with an award by October 2021, and 2) receive DOA approval for the master lease

by July 2021. Executive sponsors are aware of these issues and actively pursuing resolution. Hiring of staff has been halted until these items are resolved.

- UW System's Procure-to-Pay Automation Project (P2P) project went live on-schedule for Phase 1 in April 2021 and was an overall success. In the first seven (7) weeks of operation, the system processed nearly 23,500 purchase orders totaling \$46.7 million. The project leadership is taking stock of the current environment, stabilization activities, operational cycles, end user adoption, and lessons learned from Phase 1 to conduct added planning and prioritization work for Phase 2. The project team is still monitoring post-implementation risks of burnout from the support team along with losing key leadership (project director and executive sponsor).
- UW System's Budget Planning and Forecasting System project continues to be dependent on the ATP project since the underlying financial system will change. Due to the challenges experienced by the ATP project (see above), the project team was not able to establish additional clarity for its final phases. Therefore, the project team will continue to pause so they can evaluate these ATP-induced impacts on the scope, schedule, and budget.

The attached project dashboard and individual progress reports provide additional information and details on the status of each of these major projects.

Related Policies

- [Section 36.59, Wis. Stats.](#), "Information technology"
- [Regent Policy Document 25-4](#), "Strategic Planning and Large or High-Risk Projects"

ATTACHMENTS

- A) Dashboard for the Large/Vital Information Technology Projects
- B) Progress Reports for the Large/Vital Information Technology Projects

ROW	Milestone Since Last BOR Meeting	Institution	Project Name	Start Date	Scoped End Date	Revised Scoped End Date	Original Scoped Project Budget	Revised Scoped Project Budget	Schedule Status	Scope Status	Budget Status	Other Issues	Notes
1	Fully Scoped with Contract	UW-Madison	Campus Access Controls Replacement	September 2019	May 2022		\$ 6,051,423						The project team completed the negotiations with Stanley Convergent Security Solutions and fully scoped the project timeline and budget. Since this was the first fully scoped project with budget, the project is seeking formal approval from the Board of Regents during its July 2021 meeting.
2	None to Report	UW-Madison	DOA Datacenter Migration	August 2020	December 2022		\$ 1,275,394						Previous contracting delays have been resolved and the project remains on schedule. During the February 2021 report, the project budget was previously rounded to \$1.2M, but the additional precision has now been added and does not represent a budget increase.
3	Restarted after COVID-19 pause	UW-Madison	Endpoint Management	December 2020	October 2021		\$ 976,388						A project to deploy leading industry technology solutions to manage university-owned computing devices. The ability to directly manage university devices will increase protection of UW-Madison data by being able to better monitor and respond to cyberattacks and apply essential security patches, thereby lowering the risk of data breaches and accidental exposure. After resource capacity and budget issues stemming from COVID-19, this project has been re-prioritized and is moving forward on schedule. There are still staffing concerns from distributed IT units about the level of effort required to implement, but the project team is actively monitoring and responding to the concerns through the onboarding process.
4	Scheduled Extended, Technical Budget Adjustment	UW-Madison	Facilities Planning and Management Work Order System	August 2018	January 2021	June 2021	\$ 4,504,000	\$ 5,321,106					The energy management module has been completed with final work almost complete on space management and lease management. The project was extended two (2) months to align with software upgrades of the existing modules and to resolve some critical technical issues. These issues have now been addressed, the project is back on track, and is expected to complete within the revised timeframe. The budget was increased by \$817k, but this is a technical correction to remove expected savings from project budgets as part of the continuing effort to standardize reporting across projects and ensure transparency.
5	Design Completed	UW-Madison	Hybrid Cloud Infrastructure	December 2020	November 2021		\$ 4,000,000						The full technical design was completed, which resulted in an extension in timeline from June 2021 to November 2021. However, the project is currently on track to be ~\$1M under budget.
6	Significant functionality release	UW-Madison	Interoperability Transformation Initiative	July 2019	June 2022		\$ 5,107,188						Launched the Data Integration portal that will allow developers and administrative users simplified access to enterprise data. The project remains on track and within budget.
7	Schedule Extended due to COVID-19, Budget Reduction	UW-Madison	One Badger - Salesforce (Early Adopters)	September 2019	October 2020	June 2021	\$ 1,716,692	\$ 1,235,842					Most of the project deliverables have been completed, but the School of Education portion of the project was delayed four (4) months due to resources being diverted to address COVID-19 testing compliance and support of residential students. However, the project has reduced its budget and expects to complete \$480k under budget.
8	Contract Negotiation Completed	UW-System	Administrative Transformation Program Pre-planning	January 2019	December 2019	July 2021	\$ 3,230,000	\$ 10,866,523					The pre-planning project completed the negotiations with Workday and will present the contract to the Board of Regents for approval. The schedule was extended one month to complete the negotiations and receive Board of Regents approval. Due to the delays and issues stemming from an investigation into the original procurement, the System Implementation (SI) RFP has been removed from scope and will be relaunched as part of the full project implementation scope. The project actuals did exceed the previously approved budget by \$247k but is within the 3% threshold allowed for a "Green" status. As a reminder, the major budget increase from \$3.3M to \$10.6M was reported in February 2020 and was due to a combination of cost increases and reporting standardization (including labor) that should have been present from the beginning.
9	None to Report	UW-System	Administrative Transformation Program	January 2021	July 2026		\$ 212,000,000	\$ 211,866,117					The project budget was decreased by \$247k to absorb the budget overrun by the pre-planning project. There are two critical challenges that require corrective action, or the project schedule will need to be extended: 1) restart the failed System Implementation RFP with an award by October 2021, and 2) receive DOA approval for the master lease by July 2021. Executive sponsors are aware of these issues and actively pursuing resolution. Hiring of staff has been halted until these items are resolved.

ROW	Milestone Since Last BOR Meeting	Institution	Project Name	Start Date	Scoped End Date	Revised Scoped End Date	Original Scoped Project Budget	Revised Scoped Project Budget	Schedule Status	Scope Status	Budget Status	Other Issues	Notes
10	None to Report	UW-System	Budget Planning and Forecasting System	July 2016	December 2021		\$ 8,150,000						The dependencies between this project and the Administration Transformation Program (ATP) continue to exist. Due to the challenges experienced by the ATP project (see above), the project team was not able to establish additional clarity for the final phases of the project. Therefore, the project team will continue to pause so they can evaluate these ATP-induced impacts on the scope, schedule, and budget.
11	Phase 1 Completed	UW-System	Procure-to-Pay Automation Project (P2P)	August 2019	April 2022		\$ 11,346,497						Phase 1 went live on-schedule in April 2021 and was an overall success. In the first seven (7) weeks of operation, the system processed nearly 23,500 purchase orders totaling \$46.7M. Each campus in the system is successfully processing purchase orders with the majority coming from UW-Madison campus. 87% of transactions are being approved in 0 or 1 days. Almost 90% of the orders have been processed via enabled suppliers. The project leadership is taking stock of the current environment, stabilization activities, operational cycles, end user adoption, and lessons learned from Phase 1 to conduct added planning and prioritization work for Phase 2. The project team is still monitoring post-implementation risks of burnout from the support team along with losing key leadership (project director and executive sponsor).
12	None to Report	UW-System	SIS Consolidation	January 2021	June 2023		\$ 3,287,768						The pilot implementation with UW-Green Bay is going well and is on schedule to go-live in July 2021. The order of the remaining campuses has been identified and planning is underway.
13	None to Report	UW-System	SysNet 2020 Network Upgrade	May 2020	March 2022		\$ 6,260,357	\$ 6,227,891					The project team resolved significant technical challenges and put several key pieces of the new network in service. The project has now recovered from its COVID-19 related delays and remains on track to complete on time and under budget.
14	None to Report	UW-System	Unified Identity and Collaboration Pre-planning	January 2021	December 2021		\$ 3,570,592						Key contractors and staff have been engaged and institution engagements are underway. We expect to bring the full consolidation project back to the Board of Regents in Fall 2021 for subsequent approval.

Total Scoped Budget \$ 279,030,557

PROJECT PROGRESS REPORTS FOR THE LARGE/VITAL INFORMATION TECHNOLOGY PROJECTS

Campus Access Controls Replacement



Milestone

Fully
Scoped
with
Contract

Description: A project to replace the 15-year-old system that controls the electronic door locks across the UW-Madison campus.

Impact: Over 4,000 doors will be migrated to a more sustainable and extendible solution to improve the overall security of the physical environment.

Notes: The project team completed the negotiations with Stanley Convergent Security Solutions and fully scoped the project timeline and budget. Since this was the first fully scoped project with budget, the project is seeking formal approval from the Board of Regents during its July 2021 meeting.

Timeline

Sept. 2019 – May 2022

Budget

\$6,051,423

Source of Funds

Internally Available
to UW-Madison

Current Status:

Schedule
Scope
Budget
Other

DOA Datacenter Migration



Milestone

None to
Report

Description: The project to move enterprise data center operations at UW-Madison to the Department of Administration's (DOA) commercial quality data center.

Impact: Existing equipment will be physically moved from existing UW-owned datacenters, which will complete the shift from a capital expense (CapEx) model to an operating expense (OpEx) model to increase flexibility and efficiency.

Notes: Previous contracting delays have been resolved and the project remains on schedule. During the February 2021 report, the project budget was previously rounded to \$1.2M, but the additional precision has now been added and does not represent a budget increase.

Timeline

Aug. 2020 – Dec. 2022

Budget

\$ 1,275,394

Source of Funds

Internally Available
to UW-Madison

Current Status:

Schedule
Scope
Budget
Other

Endpoint Management



Milestone

Restarted
after
COVID-19
pause

Description: A project to deploy leading industry technology solutions to manage university-owned computing devices.

Impact: The ability to directly manage university devices will increase protection of UW-Madison data by being able to better monitor and respond to cyberattacks and apply essential security patches, thereby lowering the risk of data breaches and accidental exposure.

Notes: After resource capacity and budget issues stemming from COVID-19, this project has been re-prioritized and is moving forward on schedule. There are still staffing concerns from distributed IT units about the level of effort required to implement, but the project team is actively monitoring and responding to the concerns through the onboarding process.

Timeline

Dec. 2020 – Oct. 2021

Budget

\$976,388

Source of Funds

Internally Available
to UW-Madison

Current Status:

Schedule
Scope
Budget
Other

Facilities Planning and Management Work Order System



Milestone
 Scheduled
 Extended,
 Technical
 Budget
 Adjustment

Description: A project to replace the existing system that automates a variety of functions needed to manage and maintain buildings, which is out of support and no longer meets the needs of the campus.

Impact: The new cloud-based system will be used by thousands of employees who submit and track work orders. It will provide increased visibility for the status of orders, as well as reliable management information to support improved resource allocation.

Notes: The energy management module has been completed with final work almost complete on space management and lease management. The project was extended two (2) months to align with software upgrades of the existing modules and to resolve some critical technical issues. These issues have now been addressed, the project is back on track, and is expected to complete within the revised timeframe.

The budget was increased by \$817,000, but this is a technical correction to remove expected savings from project budgets as part of the continuing effort to standardize reporting across projects and ensure transparency.

Timeline

Aug. 2018 – June 2021
 (extended from Apr. 2021)

Budget

\$5,321,106
 (technical adjustment from
 \$ 4,504,000)

Source of Funds

Internally Available
 to UW-Madison

Current Status:

Schedule
Scope
Budget
Other

Hybrid Cloud Infrastructure



Milestone

Design Completed

Description: This project will refresh the existing end-of-life servers and storage with more cost-effective IT infrastructure with enhanced capabilities that are extendible to other UW institutions. The alternative is to shift all operations to the public cloud, which would nearly triple the total cost of ownership.

Impact: Once completed, this new hybrid cloud will be able to lower the cost of IT infrastructure at both UW-Madison and the UW System with improved disaster recovery through integrations to the public cloud.

Notes: The full technical design was completed, which resulted in an extension in timeline from June 2021 to November 2021. However, the project is currently on track to be \$1M under budget.

Timeline

Dec. 2020 – Nov. 2021

Budget

\$4,000,000

Source of Funds

Internally Available to UW-Madison

Current Status:

Schedule
Scope
Budget
Other

Interoperability Transformation Initiative



Milestone

Significant functionality release

Description: A project to modernize the means by which campus data systems are integrated together and how users access data across those systems.

Impact: The applications will be more tightly integrated, which will reduce duplicate entry while providing streamlined access to data for decision-making.

Notes: Launched the Data Integration portal that will allow developers and administrative users simplified access to enterprise data. The project remains on track and within budget.

Timeline

July 2019 – June 2022

Budget

\$ 5,107,188

Source of Funds

Internally Available to UW-Madison

Current Status:

Schedule
Scope
Budget
Other

One Badger - Salesforce (Early Adopters)



Milestone

Schedule
Extended
due to
COVID-19,
Budget
Reduction

Description: A project to implement the Salesforce Customer Relationship Management (CRM) solution within five (5) early adopters across campus. The solution is expected to expand to over 30 campus units over time.

Impact: Participating departments/units will be able to streamline a wide variety of operational activities such as student recruitment, event management, and fund raising.

Notes: Most of the project deliverables have been completed, but the School of Education portion of the project was delayed four (4) months due to resources being diverted to address COVID-19 testing compliance and support of residential students. However, the project has reduced its budget and expects to complete \$480,000 under budget.

Timeline

Sept. 2020 – June 2021
(extended from Feb. 2021)

Budget

\$1,235,842
(reduced from \$1,716,692)

Source of Funds

Internally Available
to UW-Madison

Current Status:

Schedule
Scope
Budget
Other

Administrative Transformation Program Pre-planning



Milestone

Contract
Negotiation
Completed

Description: A project to do the preplanning required to migrate from the existing PeopleSoft HR and Financial systems to an integrated cloud solution while simultaneously transforming and simplifying administrative processes across the UW System.

Impact: The project will establish the governance structure, project plans, software selection, and system integrator selection to establish the foundation for future implementation project.

Notes: The pre-planning project completed the negotiations with Workday and will present the contract to the Board of Regents for approval. The schedule was extended one month to complete the negotiations and receive Board of Regents approval.

Due to the delays and issues stemming from an investigation into the original procurement, the System Implementation (SI) RFP has been removed from scope and will be relaunched as part of the full project implementation scope. The project actuals did exceed the previously approved budget by \$247,000 but is within the 3% threshold allowed for a “Green” status.

As a reminder, the major budget increase from \$3.3M to \$10.6M was reported in February 2020 and was due to a combination of cost increases and reporting standardization (including labor) that should have been present from the beginning.

Timeline

January 2019 – July 2021
(original end date Dec. 2019)

Budget

\$10,866,523
(increased from \$10,618,850)
(original budget \$3,230,000)

Source of Funds

Internally Available
to UW-Madison and
the UW System

Current Status:

Schedule
Scope
Budget
Other

Administrative Transformation Program



Milestone
None to Report

Description: A multi-year program that will work across the UW System to address the current complexity and build an administrative infrastructure for the future.

Impact: The program will streamline policies, standardize processes, organize roles, and modernize technology with cloud-based enterprise resource planning (ERP) software.

Notes: The project budget was decreased by \$247,000 to absorb the budget overrun by the pre-planning project. There are two critical challenges that require corrective action, or the project schedule will need to be extended: 1) restart the failed System Implementation RFP with an award by October 2021, and 2) receive DOA approval for the master lease by July 2021. Executive sponsors are aware of these issues and actively pursuing resolution. Hiring of staff has been halted until these items are resolved.

Timeline

Jan. 2021 – July 2026

Budget

\$211,866,117
(decreased from \$212k even)

Source of Funds

TBD
(pending master lease approval by DOA)

Current Status:
Schedule
Scope
Budget
Other

Budget Planning and Forecasting System



Milestone
None to Report

Description: A project to modernize the means by which the UW System creates its budgets and manages its forecasts for informed decision making.

Impact: The old mainframe will be retired, the annual budget planning process will be streamlined, institutions will be able to better project expenditure and revenues along with enhanced “what if” analysis.

Notes: The dependencies between this project and the Administration Transformation Program (ATP) continue to exist. Due to the challenges experienced by the ATP project (see above), the project team was not able to establish additional clarity for the final phases of the project. Therefore, the project team will continue to pause so they can evaluate these ATP-induced impacts on the scope, schedule, and budget.

Timeline

July 2016 – December 2021

Budget

\$ 8,150,000

Source of Funds

Internally Available to the UW System

Current Status:
Schedule
Scope
Budget
Other

Procure-to-Pay Automation Project (P2P)



Milestone
Phase 1
Completed

Description: A project to transform purchasing and accounts payable systems and business process across the UW System.

Impact: The P2P project will significantly improve the end-user experience by making it easier to place and track orders. It will also improve the quantity and quality of data, process tracking, and strategic sourcing with enhanced one-stop shopping user experiences.

Notes: Phase 1 went live on-schedule in April 2021 and was an overall success. In the first seven (7) weeks of operation, the system processed nearly 23,500 purchase orders totaling \$46.7M. Each campus in the system is successfully processing purchase orders with the majority coming from UW-Madison campus. 87% of transactions are being approved in 0 or 1 days. Almost 90% of the orders have been processed via enabled suppliers.

The project leadership is taking stock of the current environment, stabilization activities, operational cycles, end user adoption, and lessons learned from Phase 1 to conduct added planning and prioritization work for Phase 2. The project team is still monitoring post-implementation risks of burnout from the support team along with losing key leadership (project director and executive sponsor).

Timeline

Aug. 2019 – Apr. 2022

Budget

\$11,346,497

Source of Funds

Internally Available to the UW System and UW-Madison

Current Status:

Schedule
Scope
Budget
Other

Student Information Systems (SIS) Consolidation



Milestone
None to Report

Description: This project will consolidate the Student Information Systems (SIS) for nine (9) institutions (GB, LAC, MSN, OSH, PKS, RF, SP, STO, SUP) into a single infrastructure and service organization.

Impact: Once consolidated, the UW System will collectively save \$1M in annual operating cost while significantly improving its security posture and disaster recovery resilience.

Notes: The pilot implementation with UW-Green Bay is going well and is on schedule to go-live in July 2021. The order of the remaining campuses has been identified and planning is underway.

Timeline

Jan 2021 – June 2023

Budget

\$3,287,768

Source of Funds

Internally Available to the UW System

Current Status:

Schedule
Scope
Budget
Other

SysNet 2020 Network Upgrade



Milestone
None to Report

Description: A project to replace the end-of-life networking infrastructure that connects all of the UW institutions to the Internet. While the existing network has robustly served the UW-System well, we are observing capacity constraints, functionality shortfalls and technology obsolescence.

Impact: The project will significantly increase network capacity (10GB to 100GB), improve reliability and availability, and facilitate the adoption of cloud services.

Notes: The project team resolved significant technical challenges and put several key pieces of the new network in service. The project has now recovered from its COVID-19 related delays and remains on track to complete on time and under budget.

Timeline

May 2020 – March 2022

Budget

\$6,227,891
(original budget \$6,260,357)

Source of Funds

Internally Available to the UW System and USAC Federal Funds

Current Status:

Schedule
Scope
Budget
Other

Unified Identity and Collaboration Pre-planning



Milestone

None to Report

Description: This pre-planning project will execute a deep discovery of the digital identity and collaboration tool infrastructure and processes at all of the UW institutions.

Impact: The current environment is extremely fragmented across the UW System and is a major technical barrier to both academic and administrative collaboration.

The goal of the project is to get a full inventory and understanding of the current environment to properly plan and significantly lower the risk of the subsequent consolidation project.

Notes: Key contractors and staff have been engaged and institution engagements are underway. We expect to bring the full consolidation project back to the Board of Regents in Fall 2021 for subsequent approval.

Timeline

Jan. 2021 – Dec. 2021

Budget

\$3,570,592

Source of Funds

Internally Available to the UW System

Current Status:

Schedule
Scope
Budget
Other

July 8, 2021

**UW-EAU CLAIRE BOOKSTORE AND TEXTBOOK RENTAL SERVICES
AGREEMENT WITH FOLLETT HIGHER EDUCATION GROUP, INC.**

REQUESTED ACTION

Adoption of Resolution H., approving the Bookstore and Textbook Rental Services Agreement with Follett Higher Education Group, Inc.

Resolution H. That, upon recommendation of the Chancellor of the University of Wisconsin-Eau Claire and the President of the University of Wisconsin System, the Board of Regents approves the contractual agreement between the Board of Regents of the University of Wisconsin System, doing business as UW System, and Follett Higher Education Group, Inc.

SUMMARY

UW-Eau Claire has contracted for Bookstore and Textbook Rental Services since 2001, with the current contract expiring on July 18, 2021. In response to a Request for Proposal (PS-21-2407 Bookstore and Textbook Rental Services), two vendors submitted proposals. Follett Higher Education Group, Inc. received the highest total score. A seven-member evaluation committee led by UW System Procurement staff completed the scoring process. The Follett Higher Education Group, Inc. proposal meets all of UW-Eau Claire's desired outcomes.

Contract highlights are as follows:

- The contractor will assume operation of the Bookstore and Textbook Rental Services on July 19, 2021 through June 30, 2022, with five (5) one (1) year extensions for a potential six (6) year contract.
- The contractor will operate all Bookstore and Textbook Rental activities.
- Annual net revenue to the contractor is valued at approximately \$1.43 million.
- Estimated revenue to the vendor for life of the contract is \$8.61 million.
- UW-Eau Claire will receive a minimum annual guarantee of \$250,000 in the first year or commission from cash sales, whichever is greater. The contractor will provide a guaranteed annual income in all future years of the agreement in an amount equal to ninety percent (90%) of the calculated commission on commissionable sales of the immediately preceding year.

- Estimated commission to UW-Eau Claire for the life of the contract is \$1.41 million.
- The contractor will provide a \$10,000 capital investment to refresh the campus store.
- The contractor will provide an additional \$20,000 investment for additional computer equipment and upgrades to the Textbook Rental Program.

Presenter:

- Brent Tilton, Director of Procurement, UW System Administration

BACKGROUND

Regent Policy Document 13-1 requires any grant or contract with private, profit-making organizations in excess of \$1,000,000 be presented to the Board of Regents for formal approval prior to execution.

Related Policies

- Regent Policy Document 13-1, "General Contract Approval, Signature Authority, and Reporting"

July 8, 2021

**UW-LA CROSSE DINING SERVICES CONTRACT EXTENSION WITH
COMPASS GROUP USA, INC.**

REQUESTED ACTION

Adoption of Resolution I., approving the contractual agreement between the Board of Regents and Compass Group USA, Inc.

Resolution I. That, upon recommendation of the Chancellor of the University of Wisconsin-La Crosse and the President of the University of Wisconsin System, the Board of Regents approves the contractual agreement between the Board of Regents of the University of Wisconsin System, doing business as UW System, and Compass Group USA, Inc.

SUMMARY

UW-La Crosse has contracted for dining services since the 1970s. The term of its current agreement (PS-15-2496) with Compass Group USA, Inc., by and through its Chartwells Division, commenced in 2015, with the last of the agreement's renewal options set to expire on June 30, 2022.

The COVID-19 pandemic greatly disrupted dining services operations and associated revenues, necessitating a series of temporary amendments to the original agreement. UW-La Crosse continues to operate under a temporary service amendment with intent to return to the PS-15-2496 Dining Services Agreement in the fall of 2021.

UW-La Crosse seeks to extend the PS-15-2496 Dining Services Agreement with two additional one-year extensions (through June 30, 2024) in order to recover from the COVID-19 pandemic disruption to the business and develop its future state post-pandemic dining strategy.

Contract highlights are as follows:

- The contractor will operate all dining services, including the residential dining program, retail operations, catering, conferences, camps and summer activities.
- Estimated annual net revenue to the contractor is valued at approximately \$6.05 million.

- Estimated revenue to the vendor for life of the contract is \$43.07 million.
- UW-La Crosse will receive a minimum annual guarantee of \$200,000 annually or commission from cash sales, retail, catering, alcoholic beverage, camps, conferences, campus cash, branded concepts and all convenience store items, whichever is greater.

Presenter:

- Brent Tilton, Director of Procurement, UW System Administration

BACKGROUND

Regent Policy Document 13-1 requires any grant or contract with private, profit-making organizations in excess of \$1,000,000 be presented to the Board of Regents for formal approval prior to execution.

Related Policies

- Regent Policy Document 13-1, "General Contract Approval, Signature Authority, and Reporting"

July 8, 2021

**UW-RIVER FALLS DINING SERVICES CONTRACT EXTENSION WITH
COMPASS GROUP USA, INC.**

REQUESTED ACTION

Adoption of Resolution J., approving the contractual agreement between the Board of Regents and Compass Group USA, Inc.

Resolution J. That, upon recommendation of the Chancellor of the University of Wisconsin-River Falls and the President of the University of Wisconsin System, the Board of Regents approves the contractual agreement between the Board of Regents of the University of Wisconsin System, doing business as UW System, and Compass Group USA, Inc.

SUMMARY

UW-River Falls has contracted for dining services for more than 30 years. The term of its current agreement (PS-15-2400 Dining Services) with Compass Group USA, Inc., by and through its Chartwells Division, commenced in 2015, with the last of the agreement's renewal options set to expire on May 31, 2022.

The COVID-19 pandemic greatly disrupted dining services operations and associated revenues, necessitating a series of temporary amendments to the original agreement. UW-River Falls continues to operate under a temporary service amendment with intent to return to the PS-15-2400 Dining Services Agreement in the fall of 2021.

UW-River Falls seeks to extend the PS-15-2400 Dining Services Agreement with two additional one-year extensions (through May 31, 2024) in order to recover from the COVID-19 pandemic disruption to the business and develop its future state post-pandemic dining strategy.

Contract highlights are as follows:

- The contractor will operate all dining services, including the residential dining program, retail operations, catering, conferences, camps, summer, and j-term activities.

- Annual net revenue to the contractor is valued at approximately \$3.52 million.
- Estimated revenue to the vendor for life of the contract is \$28.54 million.
- UW-River Falls will receive approximately \$278,000 annually in commission from the combined return on all point sales, retail sales, convenience store sales, catering, and alcohol sales.

Presenter:

- Brent Tilton, Director of Procurement, UW System Administration

BACKGROUND

Regent Policy Document 13-1 requires any grant or contract with private, profit-making organizations in excess of \$1,000,000 be presented to the Board of Regents for formal approval prior to execution.

Related Policies

- Regent Policy Document 13-1, "General Contract Approval, Signature Authority, and Reporting"

July 8, 2021

**UW-SUPERIOR DINING SERVICES CONTRACT EXTENSION WITH
COMPASS GROUP USA, INC.**

REQUESTED ACTION

Adoption of Resolution K., approving the contractual agreement between the Board of Regents and Compass Group USA, Inc.

Resolution K. That, upon recommendation of the Chancellor of the University of Wisconsin-Superior and the President of the University of Wisconsin System, the Board of Regents approves the contractual agreement between the Board of Regents of the University of Wisconsin System, doing business as UW System, and Compass Group USA, Inc.

SUMMARY

UW-Superior has contracted for dining services for more than 30 years. The term of its current agreement (PS-15-2397 Dining Services) with Compass Group USA, Inc., by and through its Chartwells Division, commenced in 2015, with the last of the agreement's renewal options set to expire on May 31, 2022.

The COVID-19 pandemic greatly disrupted dining services operations and associated revenues, necessitating a series of temporary amendments to the original agreement. UW-Superior continues to operate under a temporary service amendment with intent to return to the PS-15-2397 Dining Services Agreement in the fall of 2021.

UW-Superior seeks to extend the PS-15-2397 Dining Services Agreement with two additional one-year extensions (through May 31, 2024) in order to recover from the COVID-19 pandemic disruption to the business and develop its future state post-pandemic dining strategy.

Contract highlights are as follows:

- The contractor will operate all dining services, including the residential dining program, retail operations, catering, conferences, camps and summer activities.
- Annual net revenue to the contractor is valued at approximately \$1.41 million.
- Estimated revenue to the vendor for life of the contract is \$11.86 million.

- UW-Superior will receive a minimum of \$38,500 from an annual guarantee or commission from cash sales, retail, catering, alcoholic beverages, and casual meals, whichever is greater.

Presenter:

- Brent Tilton, Director of Procurement, UW System Administration

BACKGROUND

Regent Policy Document 13-1 requires any grant or contract with private, profit-making organizations in excess of \$1,000,000 be presented to the Board of Regents for formal approval prior to execution.

Related Policies

- Regent Policy Document 13-1, "General Contract Approval, Signature Authority, and Reporting"

**UW-MADISON CONTRACTUAL AGREEMENT
WITH THE NATIONAL FOOTBALL LEAGUE**

REQUESTED ACTION

Adoption of Resolution L., approving the contractual agreement between the Board of Regents and the National Football League.

Resolution L. That, upon recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Board of Regents approves the contractual agreement between the Board of Regents of the University of Wisconsin System, doing business as UW-Madison, and the National Football League.

SUMMARY

Under the agreement, the National Football League will support the UW-Madison School of Medicine and Public Health's 4-year multi-site, longitudinal, multi-discipline investigation involving the development and validation of new technologies toward muscle injury risk mitigation in collegiate football players, with a total budget of \$3,999,974. UW-Madison is the project lead with sub-agreements for six other collaborating research organizations.

The goal of the project is to incorporate advanced imaging and biomechanics to build digital models of athletes' risk for hamstring strain injury. Researchers will use the models to empower a data-driven model reduction approach to develop an injury and reinjury risk index formulation based on imaging and biomechanical measures, and will also identify potential future targets for injury risk mitigation and prevention strategies. Finally, researchers will characterize the biologic injection practices across a selection of college football programs and describe the natural history of recovery from injury following biologic injection.

The outcome from this research project and the collaborations involved offer many benefits and future research opportunities to UW-Madison.

Presenter:

- Rob Cramer, Interim Vice Chancellor for Finance and Administration, UW-Madison

BACKGROUND

Regent Policy Document 13-1 requires any grant or contract with private, profit-making organizations in excess of \$1,000,000 be presented to the Board of Regents for formal approval prior to execution.

Related Policies

- Regent Policy Document 13-1, "General Contract Approval, Signature Authority, and Reporting"

**UW-MADISON STANDARD RESEARCH AGREEMENT
WITH GALILEI BIOSCIENCES, INC.**

REQUESTED ACTION

Adoption of Resolution M., approving the contractual standard research agreement between the Board of Regents and Galilei Biosciences, Inc.

Resolution M. That, upon recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Board of Regents approves the contractual standard research agreement between the Board of Regents of the University of Wisconsin System, doing business as UW-Madison, and Galilei Biosciences, Inc.

SUMMARY

Under this agreement, Galilei Biosciences, Inc. is sponsoring a two-year research project supervised by John Denu, Professor of Biomolecular Chemistry and Director of the Denu Lab at the Wisconsin Institute for Discovery. The project's scope of the work is the biochemical and cellular characterization and validation of small-molecule compounds that modulate the catalytic activity of the protein SIRT6, a cellular enzyme that represses genes involved in cancer development, inflammatory responses, and nonalcoholic steatohepatitis. Samples will be evaluated to detect specific small-molecule compounds that are important in cancer and other research. The work includes interdisciplinary effort from researchers in the UW-Madison School of Medicine and Public Health and the Wisconsin Institute for Discovery and collaboration with researchers from WARF Therapeutics.

The collaboration highlights the entrepreneurial environment of UW-Madison with multiple units of campus working together and demonstrates the Wisconsin Idea by taking fundamental science discovered at UW-Madison and translating this work to life-saving therapeutics. The project provides new research funding in excess of \$1.3 million, intellectual property licensed through the Wisconsin Alumni Research Foundation, and potential royalties from successful compounds or drugs.

Presenter:

- Rob Cramer, Interim Vice Chancellor for Finance and Administration, UW-Madison

BACKGROUND

Regent Policy Document 13-1 requires any grant or contract with private, profit-making organizations in excess of \$1,000,000 be presented to the Board of Regents for formal approval prior to execution.

Related Policies

- Regent Policy Document 13-1, "General Contract Approval, Signature Authority, and Reporting"

July 8, 2021

**UW-MADISON MASTER CLINICAL TRIAL AGREEMENT
WITH NOVARTIS PHARMACEUTICALS CORPORATION**

REQUESTED ACTION

Adoption of Resolution N., approving the contractual master clinical trial agreement between the Board of Regents and Novartis Pharmaceuticals Corporation.

Resolution N. That, upon recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Board of Regents approves the contractual master clinical trial agreement between the Board of Regents of the University of Wisconsin System, doing business as UW-Madison, and Novartis Pharmaceuticals Corporation.

SUMMARY

The UW-Madison School of Medicine and Public Health (SMPH), with assistance from the Office of Research and Sponsored Programs, has negotiated a master clinical trial agreement with Novartis Pharmaceuticals Corporation (Novartis). The agreement outlines the term for future clinical trial agreements to be conducting by SMPH investigators.

This agreement replaces a previous master clinical trial agreement which recently expired. In the past decade, UW-Madison has received over \$10 million in research funding from Novartis.

Novartis is a global pharmaceutical leader producing innovative patented medicines to enhance health outcomes for patients and healthcare professionals and is also a global leader in generic pharmaceuticals and biosimilars that pioneers novel approaches to help people around the world access high-quality medicines. The company produces medicines for cancer, heart health, eye care, kidney disease, asthma and allergies, and skin ailments.

Presenter:

- Rob Cramer, Interim Vice Chancellor for Finance and Administration, UW-Madison

BACKGROUND

Regent Policy Document 13-1 requires any grant or contract with private, profit-making organizations in excess of \$1,000,000 be presented to the Board of Regents for formal approval prior to execution.

Related Policies

- Regent Policy Document 13-1, "General Contract Approval, Signature Authority, and Reporting"

**REGENT POLICY DOCUMENT REVIEW:
EQUAL EMPLOYMENT OPPORTUNITIES**

REQUESTED ACTION

Adoption of Resolution O., which amends Regent Policy Document (RPD) 17-4, "Equal Employment Opportunities," and rescinds RPDs 17-2, "Establishment of Equal Opportunity Employment Offices," and 17-8, "Equal Opportunities in Education and Employment."

Resolution O. That, upon the recommendation of the President of the University of Wisconsin System, the UW System Board of Regents amends Regent Policy Document (RPD) 17-4, "Equal Employment Opportunities," to update the policy and renames the policy "Equal Opportunity and Affirmative Action in Employment." The President of the University Wisconsin System further recommends that the Board rescind RPD 17-2, "Establishment of Equal Opportunity Employment Offices," and RPD 17-8, "Equal Opportunities in Education and Employment," because the policies are obsolete.

SUMMARY

If approved, this proposal would amend RPD 17-4, "Equal Employment Opportunities," to update the policy to comply with federal law, and state law and executive orders. This proposal also removes portions of the policy that are more appropriately addressed in UW System Administration policies and reformats the policy to meet the standards of a Regent Policy Document.

This proposal also recommends rescinding two obsolete policies related to equal opportunity in employment. RPD 17-2, "Establishment of Equal Opportunity Employment Offices," was adopted in 1972 to establish offices within UW System and at the institutions to implement affirmative action policy goals established by the Board that year. The policy primarily addresses one-time actions that were specific to 1972.

RPD 17-8, "Equal Opportunities in Education and Employment," references the 1986 "Report of the Regent Study Group on the Future of the University of Wisconsin System." The report was a planning document that primarily addressed the issue of increased enrollment in the face of declining funding in the 1980s. Four of the 22 policy decisions

related to establishing goals and adopting strategies to increase employment of minorities and women and increasing equity in educational programs for minorities and students with disabilities. RPD 17-8 and the policy decisions included in the planning document do not meet the standards for an RPD.

The UW System Board of Regents is asked to approve these modifications as part of the Board's ongoing analysis and revision of Regent Policy Documents. In February 2011, the President of the Board formally announced a process to review and update the Board's RPDs. Under the process, each RPD is reviewed to determine whether the policy is still relevant and whether the policy should be revised or removed. Policies that are retained are formatted to meet standards established by the Regents in RPD 2-3. The Board has revised numerous policies, repealed obsolete policies, and established new policies under this process.

Presenters

- Warren Anderson, Senior Equity, Diversity, and Inclusion Officer, UW System
- Dan Chanen, Chief Human Resources Officer, UW System

BACKGROUND

Federal law prohibits discrimination based on race, color, religion, national origin, disability, age, sex (including pregnancy, transgender status, and sexual orientation), genetics, and veteran status. Wisconsin state law prohibits discrimination in employment based on age, arrest or conviction record, ancestry, color, national origin, race, creed, disability, genetic testing, honesty testing, marital status, military service, pregnancy or childbirth, sex, sexual orientation, and use or nonuse of lawful products off the employer's premises during nonworking hours.

Discrimination is prohibited in the entire employment process, including recruiting, hiring, pay and fringe benefits, job assignments, referrals, discharge, and other aspects of employment. Organizations are also required to make reasonable accommodations, barring undue hardship, for known physical or mental limitations of an otherwise qualified individual with a disability.

RPD 17-4, “Equal Employment Opportunities”

RPD 17-4 was adopted in 1975 in conjunction with a review and discussion of a systemwide report describing employment patterns of women and minorities in the UW System.¹ Although the minutes indicate that the report showed progress in the percentage of women and minorities hired by the UW System, it also showed variation in employment patterns between institutions. The Board’s discussion noted the perceived difficulty of recruiting minority candidates at some campuses because many of the institutions were in predominately white communities. A Board member also noted a glaring omission of women included on a list of faculty promotions.²

The Board adopted the provisions of RPD 17-4, which were developed in consultation with the institutions, to continue the efforts it began in 1972 to promote equal opportunity and affirmative action in employment within the UW System. The policy requires each institution to examine its employment policies and procedures to identify whether the policies resulted in any discriminatory practices and to correct any such practices. It requires institutions to maintain an affirmative action plan for women and minorities in accordance with System policy, and federal and state laws. Institutions are required to make their plans readily available to the campus community and the public. It requires institutions to establish an affirmative action committee and to establish and publish effective grievance procedures for addressing discrimination complaints.

On February 11, 2005, the Board of Regents adopted Resolution 8963, amending RPD 17-4 and RPD 14-6, “Discrimination, Harassment, and Retaliation,” to include gender identity or expression as a protected group. At that time, federal and state law did not specifically include gender identity or expression as a protected class. This changed with the *Bostock v. Clayton County* (2020) Supreme Court decision prohibiting discrimination based on gender identity or expression.

RPD 17-4 was wholly adopted as UW System Administrative Policy 1202 (formerly EEO 2) on July 1, 2015, suggesting that the policy remains relevant. This proposal retains, but reorganizes, many of the provisions of RPD 17-4 and adds new provisions. The specific amendments are as follows:

¹ *Minutes of the regular meeting of the Board of Regents of the University of Wisconsin system: August 15, 1975.* (2021, March 8). Retrieved from: <https://search.library.wisc.edu/digital/ASEEMH22OCELNK8A/pages/ANUYNVLYIC7YFD8N>

² *Minutes of the regular meeting of the Board of Regents of the University of Wisconsin system: August 15, 1975.* (2021, March 8). Page 7.

- The proposed policy adds a scope statement identifying that the policy applies to equal opportunity in employment programs throughout the UW System. The policy applies to the full range of employment activities, including recruitment, hiring, promotion, demotion, job training, discharge, and other aspects of employment. The Board will be asked to consider a separate policy that addresses equal opportunity and equity, diversity, and inclusion in educational programs.

Executive Order 11246 requires organizations that are federal contractors or subcontractors to develop and implement a formal affirmative action plan for “women and minorities.” As such, the proposed policy addresses affirmative action programs for women and minorities. The scope section of the proposed policy notes that affirmative action requirements also apply to individuals with disabilities under Section 503 of the Rehabilitation Act of 1973 and veterans and disabled veterans as defined in federal law.

- The proposal adds a purpose statement indicating that the policy establishes the UW System Board of Regents’ expectations, consistent with the law, for providing equal employment opportunities and affirmative action programming and planning within the UW System.
- The proposal adds an equal opportunity and affirmative action statement. The statement includes a list of protected classes, which largely reflects the categories included in RPD 14-6, with a few additions. First, the policy adds honesty testing to the list, which is in accordance with the Wisconsin Fair Employment Act prohibiting discrimination against a person who refuses to take a lie detector test or who objects to its use.³

The policy also prohibits discrimination based on political affiliation, consistent with Governor Evers’ Executive Order 1, which establishes anti-discrimination procedures for state agencies. Although the executive order applies to state cabinet agencies, aligning the list of protected classes with the executive order will ensure consistency between state agencies and the UW System.⁴

- Federal law requires organizations that hold federal contracts or subcontracts of certain amounts to develop affirmative action programs. The policy provides guidance for affirmative action programs in employment, retaining but reorganizing and reformatting many of the existing provisions of the policy. These include requirements that each institution identify an affirmative action director (referenced in the proposed policy as “affirmative action officer”), that each institution establish an affirmative action

³ See: <https://dwd.wisconsin.gov/er/civilrights/discrimination/honestytesting.htm>

⁴ See Office of the Governor, Executive Order 1 at <https://evers.wi.gov/Pages/Newsroom/Executive%20Orders/EO%201%20relating%20to%20prohibiting%20discrimination%20in%20state%20employment.pdf>

committee (referenced in the proposed policy as “affirmative action advisory committee”), that institutions incorporate an assessment of efforts to ensure equal employment opportunities and affirmative action in each administrator’s performance evaluation, among others.

- The proposed policy rescinds Section B of the current policy outlining minimum components of an affirmative action plan as these provisions have been integrated into UW System operational policy SYS 1202. Second, the content of affirmative action plans must include data and narrative as required in federal law. Those requirements vary by type of affirmative action plan. The proposed policy states that any affirmative action plan shall be in conformance with the law and, except for UW-Madison, with UW System policy. The policy requires UW-Madison to comply with the law and the internal human resource policies developed in accordance with that institution’s authority under s. 36.115(3), Wis. Stats., to establish a personnel system separate from the UW System’s personnel system.
- Finally, the policy includes a new section describing oversight, roles, and responsibilities for implementing the policy.

A copy of the proposed policy is found in Attachment A, while the current policy is found in Attachment B.

RPD 17-2, “Establishment of Equal Opportunity Employment Offices”

RPD 17-2 was adopted by the Board in July 1972, making it among the earliest policies adopted by the Board after the UW System was created. RPD 17-2 was adopted shortly after the Board approved the provisions of RPD 17-1, which articulated the UW System’s commitment to assist minority and disadvantaged students. RPDs 17-1 and 17-2 were developed by a Regent Ad Hoc Committee on Programs to Assist Minority and Disadvantaged Students.

RPD 17-2 was a planning document, intended to assign responsibilities for supporting affirmative action within UW System Administration and to refine goals and objectives related to serving minority and disadvantaged students.⁵ The provisions of the policy were primarily one-time actions that had time-specific goals, dating back to 1973, which were met long ago. This proposal recommends rescinding RPD 17-2.

⁵ See University of Wisconsin Board of Regents Documents: Minutes of the regular meeting of the Board of Regents of the University of Wisconsin System: July 14, 1972: Exhibit C: proposed implementation for policy goals and objectives of the Affirmative Action program adopted by the Regents, retrieved from: <http://digital.library.wisc.edu/1711.dl/UWBoR.July141972>

RPD 17-8, “Equal Opportunities in Education and Employment”

This proposal also recommends rescinding RPD 17-8, “Equal Opportunities in Education and Employment,” because the policy does not meet the standards for an RPD as outlined in RPD 2-2, “Standards and Protocol for Regent Policy Documents.”

RPD 17-8 consists primarily of a statement that acknowledges recommendations in a 1986 planning document, “Report of the Regent Study Group on the Future of the University of Wisconsin System,” related to equal educational and employment opportunities for women and minorities. However, the primary purpose of the study was to identify strategies to address what was then the issue of increasing enrollment at a time of decreased funding for the UW System. The study recommended such strategies as an enrollment management plan, more effective use of the UW Centers, stricter admission requirements, and changes in tuition policy, among others.⁶

Four of the 22 policy decisions in the report related to equity in education. The plan recommended that institutions establish goals for the employment of Black, Hispanic and Native American faculty and staff. It also included goals to ensure full representation of women among faculties and to eliminate the underrepresentation of women student degree recipients in science and technology by the year 2000. The other two policy decisions related to goals and strategies for increasing access to educational programs for minority students and disabled students.

The policy decisions associated with the plan appear to have been individually considered as part of the review of the planning document at the time. The decisions were generally one-time actions that do not meet the standards for an RPD. Approaches for monitoring and establishing goals for hiring women, minorities, and the disabled will be more appropriately considered under processes established under the authority of RPD 17-4, as revised by this proposal.

RELATED REGENT POLICY DOCUMENTS AND APPLICABLE LAWS

- Regent Policy Document 14-2, “Sexual Violence and Sexual Harassment”
- Regent Policy Document 14-3, “Equal Opportunities in Education: Elimination of Discrimination Based on Gender”
- Regent Policy Document 14-6, “Discrimination, Harassment, and Retaliation”
- Regent Policy Document 14-10, “Nondiscrimination on Basis of Disability”

⁶ UW System Board of Regents. (1986). *Planning the Future: Report of the Regents on the Future of the University of Wisconsin System*. Madison: UW System Board of Regents. Retrieved November 17, 2020, from https://www.wisconsin.edu/regents/download/policy_attachment/planningTheFuture.pdf

- Executive Order 11246-Equal Employment Opportunity (41 CFR 60)
- Age Discrimination Employment Act of 1967 (29 USC 621-634, 29 CFR 1627)
- Age Discrimination Act of 1975 (42 USC 6101,34 CFR 110)
- Americans with Disabilities Act of 1990 (42 USC 12101-12213, 29 CFR 1630, 28 CFR 35 and 36, 29 CFR 1640)
- Civil Rights Act of 1991 (Public Law No. 102-166)
- Equal Employment of Veterans (38 USC 4211-4215, 41 CFR 60-250)
- Equal Pay Act of 1963 (29 USC 206(d), 29 CFR 1620-1621, 29 CFR 1604)
- Genetic Information Non-Discrimination Act of 2008 (Public Law No. 110-233, 29 CFR 1635)
- Immigration and Nationality Act (8 USC 1101-1106, 8 CFR 214 and 274a, 20 CFR 655, 29 CFR 501)
- Lilly Ledbetter Fair Pay Act of 2009 (Public Law No. 111-2)
- Pregnancy Discrimination Act of 1973 (Public Law No. 95-155)
- Rehabilitation Act of 1973 (Public Law No. 93-112)
- Title VI and VII of the Civil Rights Act of 1964 (38 USC 4301-4335, 5CFR 353)
- Title IX of the Education Amendments of 1972
- Uniformed Services Employment and Reemployment Rights Act (USERRA) (38 USC 4301-4335, 5 CFR 353)
- Vietnam Era Veterans' Readjustment Assistance Act of 1974 (VEVRAA) (38 USC 4212, 41 CFR 60-300)
- Wisconsin Fair Employment Law (Section 111.31, Wis. Stats., and Ch. DWD 218, Wis. Admin. Code)

See Also: UW System Administrative Policies

- SYS 220, *Affirmative Action Data Collection (formerly G41)*
- SYS 1201, *Affirmative Action Data (formerly EEO 1)*
- SYS 1202, *Equal Employment Opportunity (formerly EEO 2)*
- SYS 1203, *Employment of Veterans*

ATTACHMENTS

- A) RPD 17-4, "Equal Opportunity and Affirmative Action in Employment"-Proposed
- B) RPD 17-4, "Equal Employment Opportunities"-Current
- C) RPD 17-2, "Establishment of Equal Opportunity Employment Offices"-Current
- D) RPD 17-8, "Equal Opportunities in Education and Employment"-Current

17-4 EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION IN EMPLOYMENT OPPORTUNITIES (Formerly 75-5) - Proposed

Scope

This policy applies to equal opportunity and affirmative action in employment, including student employment, within the UW System, and vendors and contractors with whom UW System engages. Equal employment opportunity requirements apply to recruitment, hiring, promotion, job assignments, demotion, transfer, discharge, pay, fringe benefits, job training, classification, referral, working conditions, and other aspects of employment. This policy identifies practices for promoting workforce diversity, including efforts to meet legal requirements that require institutions to recruit and retain qualified women, underrepresented and underserved individuals, individuals with disabilities, and protected veterans in faculty, administrative and staff positions in which they are underrepresented.

Purpose

This policy establishes the UW System Board of Regents' expectations, consistent with the law, for providing equal employment opportunities and programming and planning within the UW System. It is intended to create inclusivity, foster tolerance, encourage individuals to reach their potential, and to ensure the University's compliance with state and federal laws and regulations.

Policy Statement

The University of Wisconsin System is an Equal Opportunity and Affirmative Action employer. It is the policy of the University of Wisconsin System to adopt and support measures designed to prevent and eliminate discrimination against employees and prospective employees of the University of Wisconsin System on the basis of race, color, creed, religion, age, sex (as defined in state and federal law), sexual orientation, national origin, ancestry, disability, pregnancy, marital or parental status, genetic information, arrest record, conviction record, military service, veteran status, use or nonuse of lawful products off the employer's premises during non-working hours, political affiliation, declining to attend a meeting or participate in any communication about religious matters or political matters, honesty testing, or any other category protected by law. The University of Wisconsin System does not condone or tolerate discrimination.

It is, and continues to be, the policy of the University of Wisconsin System to adopt and support measures designed to prevent and eliminate discrimination against employees

~~and prospective employees of the University of Wisconsin System on the basis of race, color, religion, sex, gender identity or expression, national origin, age, or physical handicap.~~

~~As a part~~In support of this policy ~~and in accordance with federal law,~~ the University of Wisconsin System is committed to the implementation of ~~affirmative action~~ employment programs to recruit, employ, and promote qualified women and individuals belonging to underrepresented and underserved populations, minorities, individuals with disabilities, and veterans and disabled veterans as defined in state and federal law. UW System administrators, staff, and the ~~University faculties~~ faculty at each institution shall continue to take such steps as may be necessary to accelerate the final elimination of any and all vestiges of discrimination ~~because of race, color, religion, sex, gender identity or expression, national origin, age, or physical handicap~~ that may still exist in the employment policies, practices, and ~~for~~ procedures of the University of Wisconsin System.

~~II. Guidelines for Policy Implementation:~~

~~A. Basic Requirements – Each institution/unit shall:~~

- ~~1. Each institution should~~shall have an affirmative action ~~director~~officer with an adequate budget and support staff commensurate with institutional needs. -The affirmative action director/officer should be a resource and support person for affirmative action advisory committees and other institutional groups legitimately concerned with affirmative action. Affirmative action directors should address the needs of both classified and unclassified personnel.

~~Examine periodically all employment policies, practices, and procedures dealing with recruiting, interviewing, testing, screening, selection, placement, classification, evaluation, transfer, promotion, training, compensation, fringe benefits, layoffs, and terminations for discrimination on the basis of race, color, religion, sex, gender identity or expression, national origin, age, or physical handicap and take remedial action to correct such discrimination if found to exist.~~

- ~~2. Each institution shall~~ maintain a written affirmative action plan for the recruitment, employment, and promotion of women and ~~minorities~~individuals belonging to underrepresented and underserved populations; individuals with disabilities, as required under Executive Order 11246, as amended; individuals with disabilities as required under Section 503 of the Rehabilitation Act of 1973, as amended; and veterans and disabled veterans as defined in federal and state law.

~~The content and frequency of developing any affirmation action plan shall be in conformance with the law and, except for UW-Madison, with UW System Administration human resources equal opportunity policies. UW-Madison shall comply with the law~~

~~and equal opportunity policies as adopted by UW-Madison under the authority provided by s. 36.115(3), Wis. Stats, to establish a separate personnel system. and monitor both hiring and termination for non-discrimination in accordance with System affirmative action guidelines and federal and state laws. Make the plan readily available for reference in campus libraries and affirmative action offices. Make summaries of affirmative action plans available upon request or through campus publications. Update the plan as necessary to keep it current. Prepare affirmative action reports for distribution at least once a year. The report should include an analysis of progress made together with any specific corrective action necessary to meet expected goals and objectives of the institution's affirmative action plan.~~

~~3. As part of the institution's efforts to promote workforce diversity, institutions shall periodically examine periodically all employment policies, practices, and procedures dealing with recruiting, interviewing, testing, screening, selection, placement, classification, evaluation, transfer, promotion, training, compensation, fringe benefits, layoffs, and terminations to determine whether such actions show evidence of for discrimination. on the basis of race, color, religion, sex, gender identity or expression, national origin, age, or physical handicap and Institutions shall take remedial action to correct such discrimination is if found to exist.~~

~~3. 4. Each institution shall Eestablish and maintain an affirmative action committee (or committees, as appropriate) composed of faculty, academic staff, classified-university staff employees, and students to advise the administration on efforts to promote workforce diversity-affirmative action needs and concerns, and to assist affirmative action directors in designing and implementing programs. -Committee members should have a genuine interest in affirmative action-workforce diversity and represent the concerns of women, individuals belonging to underrepresented and underserved populationsminorities, veterans, and handicapped personsindividuals with disabilities.~~

~~45. Institutions shall Eestablish and publish effective grievance procedures, consistent with the provisions of RPD 14-6, "Discrimination, Harassment, and Retaliation," for addressing discrimination complaints.~~

~~56.6. Institutions shall include an assessment of efforts to-Performance evaluations of institutional administrators shall include an assessment of their attention to and support workforce diversity in the performance evaluation of institutional administrators.~~

~~6. Each institution should have an affirmative action director with adequate budget and support staff commensurate with institutional needs. The affirmative action director should be a resource and support person for affirmative action advisory committees and other institutional groups legitimately concerned with affirmative action.~~

~~Affirmative action directors should address the needs of both classified and unclassified personnel.~~

7. ~~Consistent with the law and best practice, institutions shall disseminate~~ Affirmative action and equal employment opportunity policies should be widely disseminated in the university community so that everyone, including students, will be apprised of such policies. the UW System's commitment and responsibilities for ensuring equal opportunity in employment.
8. ~~The System President shall present to the Board of Regents an annual affirmative action report assessing institutional progress toward affirmative action goals and compliance with Regents policies.~~

Oversight, Roles, and Responsibilities

Each Chancellor shall be responsible for establishing and maintaining institutional efforts to promote equal opportunities in employment and for developing programs to promote workforce diversity as required by law and this policy.

UW System Administration shall establish policies and procedures for UW institutions, except UW-Madison, for promoting equal opportunity in employment and for preparing plans to promote workforce diversity in accordance-compliance with the law and this policy.

UW-Madison shall establish policies and procedures for promoting equal opportunity in employment and for preparing plans to promote workforce diversity in accordance-compliance with the law and this policy.

Related Regent Policy Documents and Applicable Law

- Regent Policy Document 14-2, "Sexual Violence and Sexual Harassment"
- Regent Policy Document 14-3, "Equal Opportunities in Education: Elimination of Discrimination Based on Gender"
- Regent Policy Document 14-6, "Discrimination, Harassment, and Retaliation"
- Regent Policy Document 14-10, "Nondiscrimination on Basis of Disability"
- Executive Order 11246-Equal Employment Opportunity (41 CFR 60)
- Age Discrimination Employment Act of 1967 (29 USC 621-634, 29 CFR 1627)
- Age Discrimination Act of 1975 (42 USC 6101, 34 CFR 110)
- Americans with Disabilities Act of 1990 (42 USC 12101-12213, 29 CFR 1630, 28 CFR 35 and 36, 29 CFR 1640)
- Civil Rights Act of 1991 (Public Law No. 102-166)
- Equal Employment of Veterans (38 USC 4211-4215, 41 CFR 60-250)
- Equal Pay Act of 1963 (29 USC 206(d), 29 CFR 1620-1621, 29 CFR 1604)
- Executive order 11246, as amended

- Genetic Information Non-Discrimination Act of 2008 (Public Law No. 110-233, 29 CFR 1635)
- Immigration and Nationality Act (8 USC 1101-1106, 8 CFR 214 and 274a, 20 CFR 655, 29 CFR 501)
- Lilly Ledbetter Fair Pay Act of 2009 (Public Law No. 111-2)
- Pregnancy Discrimination Act of 1978 (Public Law No. 95-155)
- Rehabilitation Act of 1973 (Public Law No. 93-112)
- Title VI and VII of the Civil Rights Act of 1964 (38 USC 4301-4335, 5CFR 353)
- Title IX of the Education Amendments of 1972
- Uniformed Services Employment and Reemployment Rights Act (USERRA) (38 USC 4301-4335, 5 CFR 353)
- Vietnam Era Veterans' Readjustment Assistance Act of 1974 (VEVRAA) (38 USC 4212, 41 CFR 60-300)
- Wisconsin Fair Employment Law (Section 111.31, Wis. Stats., and Ch. DWD 218, Wis. Admin. Code)

See Also:

SYS 220, Affirmative Action Data Collection (formerly G41)

SYS 1201, Affirmative Action Data (formerly EEO 1)

SYS 1202, Equal Employment Opportunity (formerly EEO 2)

SYS 1203, Employment of Veterans

~~8. Affirmative action and equal employment opportunity policies should be widely disseminated in the university community so that everyone—including students—will be apprised of such policies.~~

~~B. The Affirmative Action Plan – The Plan shall contain, as a minimum, the following components:~~

~~1. A current policy reflecting the institution's commitment to affirmative action and equal employment opportunity.~~

~~a. A description of who is responsible for the implementation and monitoring of the affirmative action plan, including the specific responsibilities of the affirmative action director, institutional administrators, deans, department chairpersons, and line supervisors.~~

~~3. A description of the procedures established for monitoring the plan and for measuring program effectiveness.~~

- ~~4. A description of the affirmative action procedures to be followed in the recruitment, employment, and promotion of women and minorities.~~
- ~~5. A profile of the number and percent of women and minority employees by department, rank, and/or classification.~~
- ~~6. The identification of under representation of women and minorities by department, rank, and/or classification, both classified and unclassified. ("Under representation" is defined as having fewer women and/or minorities in a particular department, rank, or classification than would be reasonably expected by their availability.)~~
- ~~7. Identification of availability data sources used for measuring under representation.~~
- ~~8. The establishment of realistic goals and timetables relative to expected accretion potentials for overcoming the underutilization of women and minorities.~~
- ~~9. A review of promotional patterns to determine if the rate of advancement for women and minorities as a group has been equal to that of other employees as a group.~~
- ~~10. An account of the procedures by which employee salary equity is measured and maintained.~~
- ~~11. A statement of the procedures followed for addressing discrimination complaints.~~
- ~~12. A commitment to conduct training and professional development programs to aid in the promotion and career advancement of women, minorities, and handicapped persons.~~
- ~~13. A commitment to carry out community outreach programs sponsored by the institution with the aim of increasing educational and employment opportunities for women, minorities, and handicapped persons.~~

History: Res. 1051 adopted 08/15/1975, amended by Res. 8963, 02/11/2005. (With 1982 amendments from 82-4.) Res. 1051, adopted 08/15/1975, created RPD 75-5. Res. 2581, adopted 05/07/1982 and codified as RPD 82-4, amended RPD 75-5. Res. 8963, adopted 02/11/2005, amended RPD 75-5, subsequently renumbered RPD 17-4.

17-4 EQUAL EMPLOYMENT OPPORTUNITIES (Formerly 75-5)—Current Policy

Policy Statement:

It is, and continues to be, the policy of the University of Wisconsin System to adopt and support measures designed to prevent and eliminate discrimination against employees and prospective employees of the University of Wisconsin System on the basis of race, color, religion, sex, gender identity or expression, national origin, age, or physical handicap.

As a part of this policy, the University of Wisconsin System is committed to the implementation of affirmative action employment programs to recruit, employ, and promote qualified women and minorities. System administrators and the University faculties shall continue to take such steps as may be necessary to accelerate the final elimination of any and all vestiges of discrimination because of race, color, religion, sex, gender identity or expression, national origin, age, or physical handicap that may still exist in the employment policies, practices and/or procedures of the University of Wisconsin System.

II. Guidelines for Policy Implementation:

A. Basic Requirements – Each institution/unit shall:

1. Examine periodically all employment policies, practices, and procedures dealing with recruiting, interviewing, testing, screening, selection, placement, classification, evaluation, transfer, promotion, training, compensation, fringe benefits, layoffs, and terminations for discrimination on the basis of race, color, religion, sex, gender identity or expression, national origin, age, or physical handicap and take remedial action to correct such discrimination if found to exist.
2. Maintain a written affirmative action plan for the recruitment, employment, and promotion of women and minorities and monitor both hiring and termination for non-discrimination in accordance with System affirmative action guidelines and federal and state laws. Make the plan readily available for reference in campus libraries and affirmative action offices. Make summaries of affirmative action plans available upon request or through campus publications. Update the plan as necessary to keep it current. Prepare affirmative action reports for distribution at least once a year. The report should include an analysis of progress made together with any specific corrective action necessary to meet expected goals and objectives of the institution's affirmative action plan.

3. Establish and maintain an affirmative action committee (or committees, as appropriate) composed of faculty, academic staff, classified employees, and students to advise the administration on affirmative action needs and concerns, and to assist affirmative action directors in designing and implementing programs. Committee members should have a genuine interest in affirmative action and represent the concerns of women, minorities and handicapped persons.
 4. Establish and publish effective grievance procedures for addressing discrimination complaints.
 5. Performance evaluations of institutional administrators shall include an assessment of their attention to and support of affirmative action.
 6. Each institution should have an affirmative action director with adequate budget and support staff commensurate with institutional needs. The affirmative action director should be a resource and support person for affirmative action advisory committees and other institutional groups legitimately concerned with affirmative action. Affirmative action directors should address the needs of both classified and unclassified personnel.
 7. The System President shall present to the Board of Regents an annual affirmative action report assessing institutional progress toward affirmative action goals and compliance with Regents policies.
 8. Affirmative action and equal employment opportunity policies should be widely disseminated in the university community so that everyone – including students--will be apprised of such policies.
- B. The Affirmative Action Plan – The Plan shall contain, as a minimum, the following components:
1. A current policy reflecting the institution's commitment to affirmative action and equal employment opportunity.
 2. A description of who is responsible for the implementation and monitoring of the affirmative action plan, including the specific responsibilities of the affirmative action director, institutional administrators, deans, department chairpersons, and line supervisors.
 3. A description of the procedures established for monitoring the plan and for measuring program effectiveness.

4. A description of the affirmative action procedures to be followed in the recruitment, employment, and promotion of women and minorities.
5. A profile of the number and percent of women and minority employees by department, rank, and/or classification.
6. The identification of under representation of women and minorities by department, rank, and/or classification, both classified and unclassified. ("Under representation" is defined as having fewer women and/or minorities in a particular department, rank, or classification than would be reasonably expected by their availability.)
7. Identification of availability-data sources used for measuring under representation.
8. The establishment of realistic goals and timetables relative to expected accretion potentials for overcoming the underutilization of women and minorities.
9. A review of promotional patterns to determine if the rate of advancement for women and minorities as a group has been equal to that of other employees as a group.
10. An account of the procedures by which employee salary equity is measured and maintained.
11. A statement of the procedures followed for addressing discrimination complaints.
12. A commitment to conduct training and professional development programs to aid in the promotion and career advancement of women, minorities, and handicapped persons.
13. A commitment to carry out community outreach programs sponsored by the institution with the aim of increasing educational and employment opportunities for women, minorities, and handicapped persons.

History: Res. 1051 adopted 8/15/75, amended by Res. 8963, 2/05. (With 1982 amendments from 82-4.)

17-2 *ESTABLISHMENT OF EQUAL OPPORTUNITY EMPLOYMENT OFFICES (Formerly 72-9)—
Current Policy*

The Board of Regents adopted at the June 1972 meeting, policy goals and objectives for an affirmative action effort for minority and disadvantaged students as recommended by its ad hoc committee, which broadly considered the term "affirmative action" to include the University System as educator, employer, and purchaser of goods and services.

In general terms, the goals adopted are commitments to use the resources of the University to meet the educational needs of minorities and educationally disadvantaged students. The goals adopted look toward: (1) effectively serving the needs of minority and educationally disadvantaged students through improved and expanded educational programs and supportive services such as financial aids, counseling, and tutoring; and (2) development of an effort that will assure equal opportunity in all aspects of recruitment and employment consistent with state and federal statutes and executive orders and procedures by which the University System will actively seek to increase the number of minority employees at all levels. The Regent goals and objectives will be implemented through a two-phased approach as follows.

The first phase will involve establishing the organization and staffing and assigning the responsibilities within both Central Administration and the Unit Chancellor's office for the equal opportunity employment efforts and the educational and supportive services programming for minority and disadvantaged students.

The second phase will be concerned with the refinement of the goals and objectives, establishment of the programs and procedures, and development of the financial resources necessary to meet the needs of minority and educationally disadvantaged students and to assure a positive equal opportunity program. Input will come from students, faculty, and administrators within the many Units of the University with the office of the Vice President of Academic Affairs responsible for establishing System priorities in the educational program areas, and the System Equal Opportunity Office responsible for the employment areas. Phase II development is contingent upon the organization and staffing in Phase I, making it imperative that the University proceed immediately to implement Phase I. As Phase I and II are developed, they will be reported to the Board of Regents. Subsequent, periodic progress reports will be made at approximately six-month intervals.

To carry out the first Phase, which will establish the organization and assign the responsibilities, it is proposed that: (1) an Equal Opportunity Employment Office be established in the Office of the President to be responsible for providing leadership and coordination in employment of minorities, (2) the Vice President for Academic Affairs be

assigned responsibilities for providing leadership and coordination in the development and supervision of educational and supportive programs for minority students and adequate staff be provided in his/her office to carry out these responsibilities, (3) an Equal Opportunity Employment Office be established at each campus in the Office of the Chancellor, and (4) the Chief Academic Officer of each campus be assigned responsibilities for developing and improving educational and supportive programs for minority students and adequate staff be provided in his/her office to carry out these responsibilities.

Phase I – Organizational:

A. Affirmative Action (Employment):

1. SYSTEM ADMINISTRATION:

Establish an Office of Equal Employment Opportunity in the Office of the President, with a Director responsible to the President who shall have the responsibility for working with the Vice Presidents, Chancellors, and campus Equal Employment Opportunity Offices, in coordination and assisting affirmative action programs for the employment of minorities. This office will be responsible for:

- (a) Assisting the President in the reviewing of affirmative action plans, including goals and timetables, of each of the campuses;
- (b) Assisting in and promoting the development of training programs to provide opportunity for personnel to upgrade their qualifications;
- (c) Representing the University as a coordinator in working with compliance review teams;
- (d) Developing compliance review procedures to ensure that goods and services purchased by the University of Wisconsin System are not procured from vendors who are discriminatory in their hiring and employment practices;
- (e) Coordinating efforts for implementation of campus affirmative action;
- (f) Assisting in and promoting the development of procedures for the handling of grievances;
- (g) Providing leadership and technical assistance to campus affirmative action staffs;
- (h) Analyzing and developing periodic reports to the President, Board of Regents, Governor and federal agencies on the status and progress of minority employment; and
- (i) Assist in the development of policies and practices to accommodate the requirements of civil service personnel and programs to the requirements of the affirmative action programs.

2. Universities: Establish an Equal Employment Opportunity Office in the chancellor's office with the responsibility for working with the vice chancellor, deans and department chairman of that campus in:
 - (a) Developing affirmative action programs for the employment of minorities,
 - (b) Representing the campus in working with the System Office of Equal Employment and with compliance review teams, and
 - (c) Monitoring and evaluating affirmative action programs on his/her campus.

B. Educational Programming:

1. System Administration: The Vice President for Academic Affairs is assigned the responsibility for working with the vice presidents and chancellors to insure that expanded opportunity be created for minorities in areas of program development and cultural opportunities and to coordinate and assist in the evaluation and development of all educational programming in this area. An additional Associate Vice President for Academic Affairs shall be established so these activities may be assured the equivalent of full time attention at this level. The selection process with Regent involvement for the position of the Associate Vice President shall be instituted after a Vice President for Academic Affairs is appointed. Such other staff as may be necessary for the office shall be provided to carry out the following responsibilities:
 - (a) Developing improved and/or expanded special financial aid, counseling, and tutorial/remedial efforts jointly with campus counterparts;
 - (b) Providing leadership in improving and expanding opportunities for minorities in the areas of cultural development;
 - (c) Establishing System priorities and Long-Range Goals and Objectives and review and analysis procedures.
2. Universities: The chief academic officer shall be charged with the responsibility for coordinating supervising the development of educational programs for minorities and educationally disadvantaged on his campus and for monitoring and evaluating all ongoing programs to assure relevancy and effectiveness. S/he shall coordinate these activities with his/her system wide counterparts and with the Office of the Associate Vice President of Academic Affairs.

Phase II – Planning, Program Development, Review and Analysis:

A. Affirmative Action (Employment):

1. System Administration and Units: Develop a database that can be used for establishment of employment goals, comparison purposes, to monitor effectiveness, and to measure movement toward the goals.
 - (a) Develop basic information about the University workforce including information about each employee, analysis of employee turnover, comparative salary information, job status, hours worked, etc.;

- (b) Identify job classifications and organizational units in which minority groups are not employed or underutilized;
 - (c) Identify patterns of differences in pay, status, type of appointment, etc.;
 - (d) Identify the availability of promotable minorities within the University;
 - (e) Develop estimates of the availability of minorities within the recruiting area for particular job categories;
 - (f) Develop projections of future personnel requirements;
 - (g) Develop and reevaluate periodically employment goals for the hiring of minorities at least in proportion to their availability in the recruitment areas and set appropriate timetables to achieve such goals;
 - (h) Review personnel policies, practices and procedures to assure they promote the consideration and hiring of minorities;
 - (i) Monitor employment practices and recruitment results to see that progress is made toward the goals;
 - (j) Develop programs to support affirmative action such as training programs, complaint procedures, etc.
2. Universities: Establish an Equal Employment Opportunity Office in the chancellor's office with the responsibility for working with the vice chancellor, deans, and department chairperson of that campus in:
- (a) Developing affirmative action programs for the employment of minorities,
 - (b) Representing the campus in working with the System Office of Equal Employment and with compliance review teams,
 - (c) Monitoring and evaluating affirmative action programs on his/her campus.

B. Educational Planning:

System Administration and Units: Responsible planning dictates that the following steps be taken in order to implement in the fall of 1973 a coordinated, objective, and educationally-sound academic plan.

1. Develop long-range programs goals and objectives (5 years) within the broad framework of the Regent directive.
2. Develop specific short-range or immediate goals and objectives (2 years).
3. Inventory all existing programs.
4. Develop procedures and criteria (quantitative and qualitative) for systematic evaluation of all programs related to minority and disadvantaged.
5. Develop procedures for an automatic review of all programs at the end of the second year of operation.

6. Establish System priorities and Unit missions to meet the educational, socio-cultural, and financial aids needed.
7. Meld effective current programs with proposed new program needs into the first year (1973-74) of a System approach to educational programming for minority and disadvantaged students, and phase out, and/or eliminate, ineffective programs.
8. Provide for a progress report to the Board of Regents with a comprehensive analysis of the System total effort to be made and reported to the Board by July of 1973, and annually thereafter.

History: Res. 235 adopted 7/14/72. (See also Policies 17-5, 17-6, & 17-7)

17-8 EQUAL OPPORTUNITIES IN EDUCATION AND EMPLOYMENT (Formerly 86-5)—Current Policy

This policy provides direction for equal educational and employment opportunities for women and minorities. The full document from the Report of the Regent Study Group on the Future of the University of Wisconsin System may be obtained from the Office of the Secretary of the Board of Regents.

History: Res. 3688 adopted 12/5/86.

July 8, 2021

**UW SYSTEM PRESENTATION ON UW TAX-SHELTERED ANNUITY
403(b) PROGRAM**

REQUESTED ACTION

No action is required; this item is for information only.

SUMMARY

UW System's Office of Trust Funds administers the UW Tax-Sheltered Annuity (TSA) 403(b) Program, a voluntary, supplemental retirement savings program through which employees can invest a portion of income for retirement on either a pre-tax basis, an after-tax basis (Roth), or a combination of both.

Officials from the Office of Trust Funds will provide a brief presentation on the program's history and an overview of upcoming program enhancements.

Presenters

- Charles Saunders, Executive Director, UWSA Office of Trust Funds
- Rose Stephenson, UW TSA 403(b) Plan Administrator, UWSA Office of Trust Funds