AGENDA

> Call to order
> Welcome and introductions
> Governance Board update
> UW-IT financial landscape
> Technology Recharge Fee annual review
> ERM and IT
> UWFT Combined Quarterly Report and IT Project Portfolio Review
> Wrap up
Governance Board Update – IT Strategy Board

Aaron Powell
Vice President for UW-IT and CIO
QUESTIONS
UW-IT Financial Landscape

Bill Ferris
Chief Financial Officer, UW-IT
FY21 > FY23 Financial Challenges

> Unprecedented Increases – Software & Security $1.1M +
  – Microsoft, ProofPoint (Anti-Spam), Canvas, DocuSign, Zoom, etc.

> Investments in Technology Infrastructure - $1M+
  – Network Refresh – Wired and Wi-Fi, Intrusion Protection System

> Student Administrative Systems - $1.6M
  – Replacing temp funding for MyPlan, UGA, and FAMS

> 4.6% Perm GOF Reduction in FY21 - $1.6M, + other inflationary increases
## UW-IT FY22 Budget

### Revenue

<table>
<thead>
<tr>
<th>Source</th>
<th>(Millions)</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>GOF/DOF (Perm &amp; Temp)</td>
<td>$ 50.6</td>
<td>48%</td>
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<tr>
<td>Technology Recharge Fee</td>
<td>23.4</td>
<td>22%</td>
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<tr>
<td>Self-Sustaining Revenue</td>
<td>28.4</td>
<td>27%</td>
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<tr>
<td>Temp Use of Reserves (Incl SS)</td>
<td>3.4</td>
<td>3%</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>$ 105.8</strong></td>
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</table>

### Expenses

| Category                             | $ 109.4 |

### Permanent Funding Gap

- **-$3.6**
  
  *Increases to -$4.4M by FY 25*

### Operating Reserves (Non-Self Sustaining)

- **Beginning Balance 7/1/2021** $ 14.8

Without action, the Perm Funding Gap and Temp Commitments will deplete reserves by end of FY24
Long Term Budget Planning - Addressing the Gap

Internal Reductions

- Reduce 8-10 FTE (Vacancies) to address funding for Student Admin Systems

Technology Recharge Fee

- Recommend incremental increases over 4 years to address escalating costs for Enterprise Software licensing

Use of UW-IT Reserves

- FY22-FY24 as a bridge to a balanced budget
- Temp investments for Google Workplace & Infrastructure Refresh
- Continue to maintain an emergency reserve
Emerging Challenges and Risks

> **Software**
  - Google Workplace for Education - $1.8M over 4 Yrs
  - Licensing for non-paid populations (ex. Affiliates)

> **Risk and Compliance**
  - Cybersecurity threats
  - Campus IT Contract and Vendor Advising

> **Infrastructure**
  - Tech Refresh – Wired, Wi-Fi, Data Center
  - Cost Increases – (20% chip increases)

> **Staff Retention & Recruiting**
  - Competitive Market Salaries

> **Finance Transformation**
  - Operating model support and campus system remediations
QUESTIONS
Technology Recharge Fee Review

Bill Ferris
Chief Financial Officer, UW-IT
TRF Advisory Committee Members

> Bill Ferris, UW Information Technology, Co-Chair*
> Linda Rose Nelson, College of Arts & Sciences, Co-Chair*
> Vicki Anderson-Ellis, School of Social Work
> Maureen (Mo) Broom, UW Medicine*
> Jason Campbell, Planning & Budgeting*
> Kelly Campbell, School of Pharmacy
> Bill Fritz, UW Tacoma
> David C. Green, School of Medicine*
> Vincent Lau, UW Finance
> Amy Stutesman, UW Bothell*
> Barbara Wingerson, UW Facilities

*Also serving on the IT Service Investment Board
Maintain current TRF rate methodology through FY23 & FY24

> Current model is out of date and requires workarounds
  > Future impact of FT, including new Foundational Data Model (FDM) and ongoing operating costs related to integrations

> Defer major TRF revamp until year after implementation of FT
  > Larger committee – reconfigure model/methodology
  > Include impact of FT on cost of services
  > Incorporate new service costing model – major changes to FDM may have impact on how UW-IT does cost accounting

> Medical Centers directly funds additional 2 FTE to support impact of integration of NW Hospital, UWP, and UWNC
Addressing the Gap

Internal Reductions

> Reduce 10-14 FTE (Vacancies) to address funding for Student Admin Systems

Technology Recharge Fee

> Recommend incremental increases over 4 years to address escalating costs for Enterprise Software licensing

Use of UW-IT Reserves

> FY22-FY24 as a bridge to a balanced budget
> Temp investments for Google Workplace & Infrastructure Refresh
> Continue to maintain an emergency reserve
Reviewed Alternative TRF Rates

Recommend 3.5% Increase for FY 23

<table>
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<tr>
<th>Contributing to Annual Operating Budget Gap</th>
<th>Biennium 21</th>
<th>Biennium 23</th>
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<tr>
<td></td>
<td>FY22 Plan</td>
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<td>Microsoft Campus License Agreement</td>
<td>522,505</td>
<td>693,705</td>
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<td>ProofPoint - Email Security (License &amp; TAM)</td>
<td>895,875</td>
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<td>Zoom Campus License</td>
<td>150,000</td>
<td>157,500</td>
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<tr>
<td>Net - TRF 2% Incr in FY22 for MCLA</td>
<td>(452,758)</td>
<td>(452,758)</td>
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<tr>
<td>Subtotal</td>
<td>1,115,622</td>
<td>1,294,322</td>
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</table>

4/3/2 V1
Increase TRF 4.0% FY23, 3% FY24, 2% FY25
Net
(1,115,622) (358,758) 181,634 405,239

3.5/3/2 V2
Increase TRF 3.5% FY23, 3% FY24, 2% FY25
Net
(1,115,622) (475,704) 61,180 282,376

3/3/2 V3
Increase TRF 3% FY23, 3% FY24, 2% FY25
Net
(1,115,622) (592,649) (59,274) 159,513

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<th></th>
<th>Current</th>
<th>3%</th>
<th>3.5%</th>
<th>4%</th>
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<td>Medicine</td>
<td>$53.22</td>
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<td>Campus</td>
<td>$59.44</td>
<td>$61.22</td>
<td>$61.52</td>
<td>$61.82</td>
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**Recommendation for TRF Rate FY 2023**

> A 3.5% increase
  - Results in overall net of $800K/year
  - Helps address a significant increase in enterprise software license costs

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<thead>
<tr>
<th>TRF Monthly Rate Comparison</th>
<th>FY 2022 TRF Rate</th>
<th>FY 2023 3.5% Increase</th>
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<td>Medical Centers Employee*</td>
<td>53.22</td>
<td>55.08</td>
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<td>Campuses Employee</td>
<td>59.44</td>
<td>62.52</td>
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*UW Medical Centers continues to fund 2 FTE for NWH/UWP/UWNC
TRF Rate History

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<th></th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
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<th>FY18</th>
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<th>FY20</th>
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<td>$53.43</td>
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<td>$52.20</td>
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<td>$57.28</td>
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<td>$58.28</td>
<td>$59.44</td>
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<td>% Change</td>
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<td>1.8%</td>
<td>1%</td>
<td>0%</td>
<td>2%</td>
<td>0.5%</td>
<td>1.3%</td>
<td>2%</td>
<td>0%</td>
<td>0%</td>
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</table>

- TRF supplements existing GOF/DOF resources to provide Basic Services
- Medical Centers are excluded from GOF/DOF subsidy and billed separately for Network & Telecom, resulting in an effective rate ~$85/month
- The initial TRF coincided with a $20/month reduction of the Dial Tone rate, a $6M annual savings to University units
QUESTIONS
Action Requested:

Endorsement of TRF Advisory Committee Recommendation
ERM and IT

Joel Tobin
Director, Enterprise Risk Management & Coordinated Compliance

Jane Yung
Executive Compliance and Risk Officer, Compliance and Risk Services

Rebekah Skiver Thompson
Associate Vice President and Chief Information Security Officer, UW-IT
ERM Program Project Development

Cyber/information security
For the IT Security Investment Board
- Supports advancement of UW mission and values
- Aligns with UW culture and organizational practices
- Employs a management-driven approach and a bias for action
- Acknowledges higher education best practices
- Prioritizes program assessment, with a focus on continuous improvement and maturity
- Engages executive and governance-level leadership and University stakeholders
- Facilitates and coordinates risk reduction and mitigation
2021 Risk Register

- ADA compliance/equal access
- Campus and U District safety and security*
- Changes to/pressures on revenue streams*
- Condition of facilities/deferred maintenance

**Tier 1**

- Cyber/information security
  - Emergency/disaster preparedness*
  - Financial connections/dependencies between the academic and healthcare enterprises*
  - Societal and campus climate
  - Student and employee wellness*
  - Transformation of University financial reporting and data systems

*Effects of the COVID-19 pandemic often cited or relevant
Heat map: visualization of top risks
ERM Program projects timeline

- Board of Regents presentation: ERM Program launched
  - February 2021

- ERM Program develops projects with co-leaders and subject matter experts
  - January—July 2021

- ERM Executive Group reviews and approves project plans
  - July 28, 2021

- Project plan discovery and development
  - August—November 2021

- Projects, plans and deliverables presented to the Board of Regents Governance Committee and Audit Advisory Committee
  - January or February 2022

- Projects continue to completion, with periodic reporting to ERM Executive Group and Board of Regents
  - March 2022 & beyond
ERM Program projects: Cyber/information security

- Cyber insurance
- Communications plan for significant security breach/ransomware event
- Business continuity plan for significant disruption of IT services
- IT security compliance mandates related to research grants and contracts
- IT vendor risk management and procurement Practices
- Common collaboration practices and their security protocols
QUESTIONS
UWFT Combined Quarterly Report and IT Project Portfolio Executive Summary

Erik Lundberg
Assistant Vice President, Research Computing & Strategy, UW-IT
# UW FT Combined Program

## Executive Summary - 9/30/2021

<table>
<thead>
<tr>
<th>Project</th>
<th>Sponsors &amp; Leaders</th>
<th>Program Area</th>
<th>Overall Risk &amp; Project Health</th>
<th>Budget Rating</th>
<th>Schedule Rating</th>
<th>Scope Rating</th>
<th>Resource Rating</th>
<th>Issues Rating</th>
<th>Actual Cost</th>
<th>Budget</th>
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<td>Mark Richard</td>
<td>UW</td>
<td>(A)</td>
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### Enterprise Systems Remediation

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<th>Project</th>
<th>Sponsors</th>
<th>Program Area</th>
<th>Overall Risk &amp; Project Health</th>
<th>Budget Rating</th>
<th>Schedule Rating</th>
<th>Scope Rating</th>
<th>Resource Rating</th>
<th>Issues Rating</th>
<th>Actual Cost</th>
<th>Budget</th>
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<td>Rob McDade</td>
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<td></td>
<td></td>
<td>$3,574,804</td>
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</table>

### Departmental Systems Remediation (Campuses, Schools, Colleges, Departments, Auxiliaries)

- **Unit Readiness**: Overall readiness of academic, medicine and administrative units
  
  The Systems Design Support (SDS) program has completed all sessions for Group 1 systems and has begun the process with Group 2. They are also running separate groups for key systems that need special support.

- **Side System Remediation**: Overall status outside the Core Impl. Program and Collab Partners
  
  The TCM team is tracking progress as systems are remediated (e.g., plans, dates, current-future state mappings). Group 1 systems are somewhat behind on these deliverables and the team is following up.

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**Notes:**

- **(A)** Program schedule and budget extensions were approved by the Board of Regents in September, 2021. The total cost and budget for the project include the initial Readiness project ($23M). Also included in the central budget are Contingency, Reserves and Executive Director funds; and underspending within sub-projects will be moved to Reserves in the central budget on a monthly basis.

- **(B)** Total Budget allocation to sub-projects will not be shown going forward, since they vary month-to-month, due to central budget management practices.
<table>
<thead>
<tr>
<th>Project</th>
<th>Sponsor</th>
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<th>Overall Risk &amp; Project Health</th>
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<td>Destination: One</td>
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<td>Clinical Trials Management System</td>
<td>John Slattery</td>
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<td>UWM Data Analytics Warehouse</td>
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**14 projects**

**Total Actual Cost:** $332,300,000  
**Total Budget:** $540,300,000

**Notes:**
(A) BoR approved extensions to the schedule and budget for the UW FT Program in September, 2021.
<table>
<thead>
<tr>
<th>Program Operations</th>
<th>Executive Leadership</th>
<th>Major Projects Interdependencies Assessment</th>
<th>Note: ISC and UW-IT resources are tracked within the major projects’ budgets</th>
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</thead>
</table>
| Integrated Service Center | Ann Anderson | - Covid Vaccination Verification – Tracking vaccine verification in Workday, with verifications by Academic partners, HR partners, and I-9 Coordinators. Onboarded Huron consultant. Go-live was late Sep, 2021.  
- Merit 2021 – Develop and implement Merit Salary Increases in Workday for FY2. All data has been loaded. Corrections and changes are in process. Expected completion Sep, 2021.  
- Open Enrollment for 2022 – End-to-End testing late Sep - early Oct. Includes New limited FSA Plan offering for employees in HSA (previously unavailable).  
- 2021 FSA/DCAP Events – Adding additional election opportunities for employees without a qualifying event.  
- House Bill 2689 (Adding part time employees to state civil service) – (YELLOW, due to staffing) – Working on Jan 2021 requirements. Jan 2022 requirements remain undefined. July 2022 requirements remain undefined. The COVID Vaccination Verification effort continues to add configuration work requiring reprioritization. Actively recruiting, but new staff is likely weeks away.  
- Multiyear Clinical Faculty – The faculty senate has open legislation to create a new multi-year clinical faculty appointment. Current go-live date is Jan 2, 2022. Office of Academic Personnel is doing the bulk of the work and ISC staff will implement in Workday Production.  
- HCA Dual Enrollment PEBB/SEBB Changes for 2022 – UW employees will be prevented from dual enrollment in PEBB and SEBB coverage, and will be able to decline dental insurance if they are enrolled in SEBB. Will be made available for Open Enrollment for 2022.  
- Long Term Disability (LTD) Plans Redesign for 2022 – The state of WA is requiring redesign of the UW’s basic and optional LTD plans, adding new plans and retiring existing plans effective January 1, 2022. There will be enrollment opportunity Nov-Dec, 2021 for employees to elect the new plans or opt out. | |
| UW-IT | Aaron Powell | - Vaccination Validation Tracking – All-hands-on-deck to implement the governor’s mandate, with several UW-IT teams working closely with campus leadership. EH&S, Hall Health, UW HR and others. Top focus besides that is supporting the campus’ return to in-person operations. Overall, start of quarter is going smoothly so far.  
- UWFT – Resourcing and retention appears as a major go-live risk. Testing timeline, especially end-to-end testing appears too condensed to provide certainty about robust UW operations at go-live. Lack of progress in key functional areas such as reporting creates further risk.  
- ADV CRM – The main project is managing schedule, risks and work appropriately. UW-IT work is on track.  
- MyChem – UW-IT development work to rebuild UW’s chemical asset inventory application is complete. Business partner requested second go-live delay to December 2021, due to lack of bandwidth. Key risk is losing the UW-IT technical resource responsible for the work.  
- Title IX – Several UW-IT teams are working on tracking compliance with Title IX training mandate. Reporting is live to track compliance with training requirement for employees. Tracking for student population expected next month. | |
### *Oversight Level Key*

1. Overseen by UW management and staff.
   Requires OCIO approval and reporting if over delegated authority.

2. OCIO approval required and regular project reporting.
   Quality Assurance (QA) reporting required, maybe internal or external.
   OCIO may recommend project to be full Technology Services Board (TSB) oversight.

3. High severity and/or high risk, subject to full TSB oversight, which includes TSB approval, written reports to the TSB, periodic status reports to the TSB by the agency director and staff, and submission of other reports as directed by the TSB. External QA reporting required.

Note for UW Medicine: project oversight levels 2 & 3 report to UW management.

### **Project Health Key**

- **Green**: Project is on time, on budget, and within defined scope, with minimal issues.
  - Overall Risk Rating where 5-10 is Green

- **Yellow**: Changes to scope, budget, or resources have placed project at some risk. Project has the potential for delays, cost or scope changes.
  - Overall Risk Rating where 11-17 is Yellow

- **Red**: Major changes to scope, budget or resources have placed project at critical risk. One or more of the following must change in order to proceed: project schedule, resources, budget, scope.
  - Overall Risk Rating where 18-25 is Red

### ***IT Project Risk Ratings***

#### Current Risk Rating

- **Budget, Schedule, Scope**
  - 1 = Performing better than project plan; ahead by 5% or more (Schedule and Scope only)
  - 2 = Performance is on plan
  - 3 = Behind plan, but within 5% of original targets. For Budget, over or under spending within 5% of plan.
  - 4 = Behind plan between 6% to 10% and likely to use/use contingency. For Budget, over or under spending by 6-10%, and likely to use/using contingency.
  - 5 = Greater than 10% behind plan. For Budget, over or under spending by > 10%, and more than half of contingency is projected to be used.

- **Resources**
  - 1 = In place, or high likelihood of being available as specified in the Resourcing Plan.
  - 2 = There are some minor gaps in resourcing, but can be overcome with minor alterations of the Resourcing Plan, with no significant impact on schedule, budget or deliverables.
  - 3 = Somewhat in place, or struggling to perform, with moderate risk to schedule, budget or deliverables.
  - 4 = There are gaps in resourcing, with moderately high risk to schedule, budget or deliverables. Mitigation plans in place, or will be soon.
  - 5 = Not in place, or low likelihood of being available per the Resource Plan. Significant impact on schedule, budget, or deliverables, without mitigation plans in place.

- **Issues, Risks, & Project Dependencies**
  - 1 = No risks or issues identified at this time
  - 2 = Some identified but minor, no impacts anticipated
  - 3 = Some that could impact the project are being managed, with minimal impact anticipated
  - 4 = Significant risks/issues/other factors identified but not yet managed
  - 5 = Risks/issues being managed but will have significant impact (greater than 10%) on project budget, schedule and/or scope

**NOTE: Change in BUDGET criteria for Sept 2021**

Wrap Up
QUESTIONS AND DISCUSSION