UMB 2022 – 2026 Strategic Plan

Implementation Guidance – Part 2

Gregory C. Spengler, MPA
Karen D. Matthews, DM, MPA
Jon Kucskar, JD

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Session Objectives

• Describe the Strategic Planning Implementation Management System (SPIMS) and role assignments
• Illustrate the goal creation and submission process in SPIMS
• Provide guidance on risk analysis and assignment
• Provide instruction on the Annual Implementation Plan (AIP)
• Review the UMB Strategic Plan Implementation Timeline
UMB Strategic Plan
THEME – A major area of focus for the University influenced by our mission, vision, and core values.

--Developed at the University Level--

STRATEGIC OBJECTIVE – A long-term organizational goal that puts a theme into context and brings it into sharper focus

--Developed at the University Level--

STRATEGIC OUTCOMES - The results the University expects to realize if it is successful in pursuing the strategic objectives.

--Developed at the University Level--

GOALS (SMART) – Strategies, approaches, milestones, or actions developed in plans by schools and administrative units to achieve the objective and outcomes

--Developed at the School/Unit Levels--
UMB Strategic Plan Components

Themes

1. Accountability and Integration of Core Values
2. Student Growth and Success
3. University Culture, Engagement, and Belonging
4. Innovation and Reimagination
5. Community Partnership and Collaboration
6. Global Engagement and Education
UMB Strategic Plan Components

Objectives and Outcomes

Strategic Objectives are long term organizational goals that put each theme into context and bring it into sharper focus. The Steering Committee and its working groups established one Objective per Theme.

Example (Theme 4 – Innovation and Reimagination):

UMB will foster an agile, creative, and risk-tolerant learning environment, boldly capitalizing on new opportunities, technologies, and the power of collaboration to discover meaningful solutions to the complex problems impacting UMB, its schools, its strategic partners, and communities.
Objectives and Outcomes

Strategic Outcomes are the results UMB expects to realize when successfully pursuing the Strategic Objective. The Steering Committee and its working groups established four or five Outcomes for each Theme, totaling 25 overall.

Example (Theme 4 – Innovation and Reimagination):

Outcome #1: UMB nurtures an environment of research and discovery that probes and answers challenging questions, openly shares knowledge, and improves the human condition.
UMB Strategic Plan Components

Strategic “SMART” Goals

A Strategic SMART Goal is a “measurable action or approach undertaken by a school or VP-led unit to achieve progress toward attaining a specific UMB Strategic Plan outcome”.

Beginning with the 2017 – 2021 Strategic Plan and continuing with the 2022 – 2026 Strategic Plan, UMB schools and VP-led administrative units have the responsibility to propose SMART goals aligned with the UMB Plan to collectively achieve the UMB Strategic Plan Outcomes.
UMB Strategic Plan Primary Units

UMB Plan

Schools

- CSL
- GS
- SOD
- SOM
- SON
- SOP
- SSW

VP-Led (Central Admin)

- Admin & Finance
- Provost Office/CITS/A&C/SA
- External Affairs
- Legal Counsel
- Philanthropy
- Research & Develop
Strategic Plan Alignment Facts

• Each *Primary Unit* to submit a Plan aligned to the comprehensive UMB Plan;
  – A Primary Unit can create subunit plans at its discretion, e.g., Human Resources Services is a subunit of the Primary Unit: Administration & Finance
    • Subunit plans align up and are made part of the Primary Unit’s plan

• Unlike the previous 5-Year UMB Strategic Plan, all *strategic* SMART Goals in the current plan have a 5-year duration
  – Supports the requirement for creating a long-term (~5 year) strategic goal vs. one year action goal
  – Avoids the confusion of start-date or end-date slippage during the implementation phase.
Alignment Facts

• Assign a goal to one theme and one outcome
  – If a goal seems to support more than one Theme and/or Outcome, it is too broad and should be split out into goals that support only one theme and outcome at a time

• There is no limit on the number of goals a Primary Unit can create and plan to achieve
  – The Provost anticipates a Primary Unit plan will contain strategic goal(s) in every theme

• Goals are essentially descriptive in nature and address all SMART goal elements, including considerations for how to measure progress
Alignment Facts

• Review at the Provost level is to resolve technical issues only (i.e., goals not conforming to SMART format).
• Goals are “owned” by the Primary Unit and do not require final approval, but technical review will occur as above;
• Goal risk-ranking requirement
• Annual Implementation Plan obligation
SMART Goal Writing Guidance
What is a Strategic SMART Goal at UMB?

_Specific_ - Defines a clear, specific goal aligned to a Theme and Strategic Outcome

_Measurable_ - Progress can be tracked

_Achievable_ - Can realistically be attained

_Relevant_ - Aligned with organization’s mission

_Time-Bound anchored_ – End date: June 30, 2026
**SMART Goals – Another View**

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<tr>
<td>Specific</td>
<td>Measurable</td>
<td>Attainable</td>
<td>Realistic</td>
<td>Time-bound</td>
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<tr>
<td>What do we really want to accomplish or do?</td>
<td>How will we know when we’ve achieved it?</td>
<td>Do we have the power to accomplish it?</td>
<td>Is it logical to assume we can achieve it?</td>
<td>When exactly do we want to accomplish it?</td>
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Strategic SMART Goal Example

**Theme 2**: Student Growth and Success

**Objective**: UMB will design and implement collaborative, inclusive, respectful, and accessible academic learning environments that equitably support and develop students to become exemplary professionals and purposeful contributors to society.

**Outcome 2.4**: UMB engages students and fosters their passions and skills to prepare them for meaningful self-reflection and ethical careers in alignment with the University’s core values.
Proposed Unit Goal (e.g., Provost Office- HS/HSL):

- Create a knowledge culture supportive of social entrepreneurship and innovation by developing responsive and anticipative services and programming designed to support collaborative engagement and research activity among faculty and students.
- Metrics*: #programs created, # and types of resources in collections, #participants, # new collaborations, student satisfaction survey results.

*Remember to establish concrete criteria for measuring progress toward achieving the unit SMART goal.
Strategic SMART Goal Examples

• “Reduce the server hardware and data storage equipment footprint on campus to achieve cost savings, efficiencies, and benefits associated with cloud-based technologies.”
  – Metrics: $Cost-savings achieved; #Servers reduced

• Develop and enhance collegial and long-lasting relationships among the school community, and expand engagement with valued partners and stakeholders by focusing programming on the school’s rich diversity of backgrounds and expertise.
  – Metrics: #programs provided, # of attendees, #new projects
The Strategic Planning Implementation Management System (SPIIMS)
Strategic Plan Implementation Management System

• A new tracking system (SPIMS) accessed through the single-sign-on UMB portal has been developed by CITS to accommodate SMART goal creation, approval, and progress reporting;

• One or two levels of organization are available:
  • School / Unit wide – All goals and progress reporting are entered for one entity (e.g. School of Dentistry);
  • Sub-Unit – Goals and progress reporting are entered for a department or sub-unit within a School or VP area (e.g., Emergency Management within Administration and Finance).

• Each Primary Unit assigns a Strategic Plan Liaison;
  – Main contact on behalf of unit;
  – The liaison holds any of the three levels of access (e.g., administrator, contributor, or viewer)
SPIIMS Roles

• SPIIMS accommodates three types of role holders for each school / unit or sub-unit:
  - **Administrator**: Can enter, edit, and approve goals, and also enter risks, progress and annual reports for the unit assigned
  - **Contributor**: Can enter goals, risks, progress, and annual reports but cannot approve on behalf of the unit assigned
  - **Viewer**: Can view goals, risks, progress, and annual plans for the unit assigned.
SPIMS Roles (cont.)

• Every school/unit and sub-unit need to have at least one Administrator assigned
• Contributors and Viewers are optional
• Users can be assigned to multiple schools/units and/or sub-units and can be assigned different roles for each
• Users can only view goals if they are assigned a role for that school/unit or sub-unit
• Administrators and Contributors can request additional users for their area through SPIMS
### Goals

Click on Goal Title to view details and update progress. Use the search to find others.
System admins can modify approved goals by clicking on the status.

<table>
<thead>
<tr>
<th>Number</th>
<th>Goal Title</th>
<th>Theme</th>
<th>School/Area</th>
<th>Department</th>
<th>Status</th>
<th>Reviewed?</th>
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<tbody>
<tr>
<td>1</td>
<td>Preparation of Dentistry Students</td>
<td>Student Growth and Success</td>
<td>School of Law</td>
<td>All Units</td>
<td>Approved</td>
<td>Y</td>
</tr>
<tr>
<td>3</td>
<td>Update Classroom Technology</td>
<td>Student Growth and Success</td>
<td>School of Dentistry</td>
<td>All Units</td>
<td>Approved</td>
<td></td>
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</table>

Showing 1 to 2 of 2 entries

Goals below still need Risks/Barriers defined. Click on the Goal Title to Define Risks

<table>
<thead>
<tr>
<th>Number</th>
<th>Goal Title</th>
<th>Theme</th>
<th>School/Area</th>
<th>Department</th>
<th>Status</th>
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<tbody>
<tr>
<td>2</td>
<td>Advance Oral and General Health</td>
<td>Innovation and Reimagination</td>
<td>School of Dentistry</td>
<td>All Units</td>
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<tr>
<td>4</td>
<td>Law Fellowship Program Expansion</td>
<td>Community Partnership and Collaboration</td>
<td>School of Law</td>
<td>All Units</td>
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<tr>
<td>5</td>
<td>MB - New Test Goal - 1 - After Fix</td>
<td>Accountability and Integration of Core Values</td>
<td>School of Dentistry</td>
<td>All Units</td>
<td>Approved</td>
</tr>
</tbody>
</table>

Showing 1 to 3 of 3 entries

**Search:**
SPIMS – Add Goal
SPIIMS – Add Goal (Select Theme)
SPIMS – Add Goal (Select Outcome)
SPIMS – Add Goal (Title / Description / Keywords)

**Theme:** 2: Student Growth and Success

**Objective:** UMB will design and implement collaborative, inclusive, respectful, and accessible academic learning environments that equitably support and develop students to become exemplary professionals and purposeful contributors to society.

**Outcome:** 3: UMB enhances student learning and innovation through creative and effective teaching methods developed through collaborative and agile faculty development initiatives.

**School/Organization:**
- School of Pharmacy

**Department:**
- All Units

**Goal Title:**
- Develop students and empower them to contribute meaningfully to campus and community life

**Goal Description:**
- 1000 maximum characters Goal Description

**Progress Measurement Criteria:**
- 1000 maximum characters Progress Measurement Criteria

**Keywords:**
- Select any Keywords that are appropriate:
  - Academic
  - Accreditation
  - Administrative / Administration
  - Alumni / Life Long Learning
  - Assessment / Evaluation
  - Baltimore / Local
  - Collaboration
  - Community
  - Culture
  - Diversity / Equity / Inclusion
  - Efficiency / Effectiveness
  - Empowerment

**Character Limit:** 200 characters

**Select all that apply**
### SPIMS – Add Goal (Submit / Save as Draft)

**Select all that apply**

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<th>Category</th>
<th>Options</th>
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<tbody>
<tr>
<td>Collaboration</td>
<td>Diversity / Equity / Inclusion</td>
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<td>Culture</td>
<td>Empowerment</td>
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<td>Efficiency / Effectiveness</td>
<td>Faculty</td>
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<td>Engagement</td>
<td>Fundraising / Philanthropy</td>
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<td>Innovative / Innovation</td>
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<td>Infrastructure</td>
<td>Inter-Pro-Scientific / Clinical / Research</td>
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<td>Learning / Instruction</td>
<td>Leadership / Management</td>
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<td>Multi-Disciplinary</td>
<td>Maryland / State-Wide</td>
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<td>Partnership / Partnering</td>
<td>Organizational Development</td>
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<td>Public &amp; Private / Tech Transfer</td>
<td>Patient-Centered Care</td>
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<td>Public Service</td>
<td>Public Health / Population Health</td>
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<td>Regulations / Regulatory</td>
<td>Recruitment</td>
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<td>Reporting</td>
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<td>Safety / Well-Being</td>
<td>Research - Translational</td>
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<td>Scholarship</td>
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<td>Students</td>
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<td>Training / Development</td>
<td>Technology / Equipment</td>
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<td>Values / Core Values</td>
<td>University System of Maryland</td>
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**Optional**

- **Comments**: 
- **Save As Draft?**
  - Yes - Save as Draft
  - No - Submit

**Submit**
Goal Submission and Approval

• Once created, Goals can be submitted or saved as draft
• Draft goals can continue to be edited in future SPIMS sessions until submitted and will appear as In Progress to Administrator
• Once submitted, Goals will appear in Pending Goals queue for Administrator to review and designate as Approved, Changes Needed, or Denied.
• If Changes Needed is selected, Administrator can provide comments visible to Contributor so they can revise Goal
• Once Approved, the next step is for Risk(s) to be assigned to the Goal by the Contributor or Administrator
Implementing UMB Goals

Enterprise Risk Management
New for this plan – Enterprise Risk Management. Once goals are finalized in system, schools and units will describe the primary and secondary risks that might prevent goal attainment. This information will inform ongoing risk calibration and vigilance strategies coordinated across UMB.

Annual Implementation Plan (AIP)
New for this plan - Unit to provide the proposed action(s) to advance the SMART goal during the upcoming fiscal year

Progress Reporting
Tracking system will facilitate periodic tracking of Goal progress, with definable time windows for narrative updates to be entered into system, including selecting pre-defined completion percentages
Enterprise Risk Management (ERM)

• **ERM definition**: an ongoing process to embed, sustain, and support a culture of responsible risk-taking and opportunity identification across UMB.

• After goals are submitted and reviewed, schools and units will self-assign Risk Categories for a primary and, if applicable, a secondary risk. For each Risk Category, the school or unit will identify likely reasons why a goal might NOT be achieved and what could be done, if anything, to address them.
ERM Risk Categories

- Change in External Market Conditions or Competition from External Sources
- Compliance with Laws, Regulations, and Policies
- Equity, Diversity, and Inclusion
- Funding and Budget
- Health and Safety
- Incorporating Data, Analytics, and New Technology
- Infrastructure and Physical Facilities: Maintenance and Modernization
- Operational and Administrative Processes
- Organizational Culture and Structure
- Partnerships
- Reputation of UMB, School, or Program
- Student Enrollment and Engagement
- Workforce: Attract, Retain, and Support Employees (Faculty and Staff)
Enterprise Risk Management

Each identified risk will be assigned values on a five-point scale for the following factors (based on USM guidance):

• **Risk Impact** – The extent to which a risk or opportunity might affect an organization, which may include financial, reputational, legal, health, and safety impacts.

• **Risk Vulnerability** – The susceptibility of an organization to a risk; specifically, the likelihood that an event will occur combined with the degree to which an event is detectible given current automated and management oversight.

• **Risk Velocity** – The time it takes between the occurrence of an event and when an organization first feels its effects.
Annual Implementation Plan

• Required at the start of each fiscal year
  – Provide at least one task or activity to advance the goal during the year;
  – SMART (with the T = the fiscal year-end)
  – Review assigned Risk Categories, and either confirm or revise

• Provides progress at designated times throughout the year (e.g., four times) – Note: Progress is related to the overall status of the goal
  – Status
  – Narrative response, when requested
AIP Action

Proposed Unit Goal (e.g., Provost Office- HS/HSL):

• Create a knowledge culture supportive of social entrepreneurship and innovation by developing responsive and anticipative services and programming designed to support collaborative engagement and research activity among faculty and students. Measure of progress to include tracking: #programs created, #participants, # new collaborations, student satisfaction

Annual Implementation Plan (FY23)

• Develop a Collection Advisory Task Force to get faculty input on library collection items to increase awareness of social innovation.
• Implement a social innovation suite of services offering consultations and instruction.
AIP Action

• **Develop** and enhance collegial and long-lasting relationships among the school community, and **expand engagement** with valued partners and stakeholders by focusing programming on the school’s rich diversity of backgrounds and expertise.
  
  – Metrics: #programs provided, # of attendees, #new projects

FY23

• “Develop and implement at least one educational session for the SOP community on DEI initiatives.” (To be repeated annually)
Implementation and Reporting

Periodic Campus Reporting:

• The Provost Office will provide updates (The UMB Dashboard) periodically
• Communicate successes and challenges to internal and external constituencies.
Proposed Timeline and Deliverables
UMB Strategic Plan Implementation Timeline

Through March 31, 2022

• Additional information sessions for Goal Creation in SPIMS, Enterprise Risk, and Annual Implementation Plan submission
• SPIMS Piloting by HS/HSL
• Training sessions for SPIMS (to be scheduled)
• Goal creation, submission, and approval in SPIMS by Schools and VP-led Units
• Technical review by IESPA staff and resolution of any issues
UMB Strategic Plan Implementation Timeline

March – April 30, 2022
• Assignment of primary and secondary Risk Categories to each goal by Schools and VP-led Units

July 2022
• Annual Implementation Plan (AIP) for FY 2023 for each goal prepared and submitted by Schools and VP-led Units. The AIP is a narrative summary of activities planned for the upcoming year to advance Goal attainment. Not subject to approval by President or Provost.
• Initial progress reporting for July 1, 2021, through June 30, 2022
UMB Strategic Plan Implementation Timeline

Quarterly – Starting October 1, 2022
• Dashboard indication of Annual Implementation Plan progress

August 2023
• Year End Progress Update:
  – Narrative discussion of actual Annual Implementation Plan activity for the previous year
  – Indication of Goal attainment completion percentage as of FY 2023 year-end
  – Serves as the basis of the annual report prepared and provided to UMB campus and stakeholders
Indications of Goal Attainment

• Not yet started (0%)
• Preliminarily Underway (1%-24%)
• Substantially Underway (25%-49%)
• Significant Progress (50%-74%)
• Nearing Completion (75%-99%)
• Completed/Milestone Achieved (100%)
• Cancelled (0%)
• Progress not reported
For More Information

Office of Institutional Effectiveness, Strategic Planning, and Assessment

www.umaryland.edu/iespa

UMB 2022 – 2026 Strategic Plan

www.umaryland.edu/about-umb/strategic-plan

Enterprise Risk Management

https://www.umaryland.edu/about-umb/offices/enterprise-risk-management/