

**Diversity, Equity and Inclusion Strategic Plan  
Five-Year Strategic Objectives, Measures, and FY2021  
Actions**

**I. Diversity Equity and Inclusion Strategic Plan: Overview**

*Goals: Diversity, Equity, and Inclusion:*

**Diversity:** We commit to increasing diversity, which is expressed in myriad forms, including race and ethnicity, gender and gender identity, sexual orientation, socio-economic status, language, culture, national origin, religious commitments, age, (dis)ability status, and political perspective.

**Equity:** We commit to working actively to challenge and respond to bias, harassment, and discrimination. We are committed to a policy of equal opportunity for all persons and do not discriminate on the basis of race, color, national origin, age, marital status, sex, sexual orientation, gender identity, gender expression, disability, religion, height, weight, or veteran status.

**Inclusion:** We commit to pursuing deliberate efforts to ensure that our campus is a place where differences are welcomed, different perspectives are respectfully heard and where every individual feels a sense of belonging and inclusion. We know that by building a critical mass of diverse groups on campus and creating a vibrant climate of inclusiveness, we can more effectively leverage the resources of diversity to advance our collective capabilities.

**Rationale:** Mission, Vision, and Values of Audit Services

**II. Planning Process Used**

*Planning Lead(s):* Paul Millis, Shelley Curry, and Tina Foley

Planning Team: Jeff Moelich, Paul Millis, Tina Foley, Shelley Curry

*Planning Process Summary*

- Processes used to collect data include consultation with University of Michigan Communications Office, a skills assessment survey, and a several brief internal surveys to collect suggestions on equity and inclusion issues and gain input on plan content.
- Sources of data include U-M Communications report, climate survey data, the DEI Survey data, input from Audit Services employees, and meetings and discussions with other planning leads.
- Processes used to analyze data include data trending, graphing, benchmarking, and review of input.

- Actions taken include meeting with other planning leads, expansion of the previous year's activities and goals, communication generating activities, and discussions with and a feedback survey conducted by U-M Communications Office.

### III. Data and Analysis: Key Findings

#### *Summary of Data*

Audit Services is a service unit that provides audit and advisory services to all campuses at University of Michigan.

We found that:

- More than 75% of the audit team agreed that:
  - They are satisfied with their current position, understand job responsibilities and how their work contributes to the mission, vision, values, and goals of the department and university
  - Department conducts business in an ethical manner
  - Department actively supports a culture that promotes health and well-being
  - Department is a place where staff may comfortably raise personal or family obligations
  - Team members are treated with respect
  - Supervisors support work/life balance
  - Supervisors encourage team work, care about quality improvement, holds staff equally accountable, and have realistic expectations
  - Staff respect their supervisor's abilities
  - Are satisfied with the amount of recognition received
  - Equity in job assignments and training opportunity are the major issues in the department
  - Staff want clarification of the promotion process and requirements
  - Communication in the department is improving
  - Some of us think the department manual is too complex and that department policies are not always evenly enforced.
  - There is confusion in the university community on Audit Services reporting line and how our work is conducted
  - Some members of the university have a negative impression of auditors
  - Two people (10%) left the department for new opportunities in the past 12 months and another has announced plans to retire during FY 2021. None of the open positions will be filled until the hiring freeze is lifted.

- The COVID-19 pandemic presented some major changes in how we work but the work is being accomplished and the team communication and support, though different, is still strong

### *Key Findings, Themes and Recommendations*

1. Continue to incorporate the concerns of team members about departmental equity into Audit Services' year five plan.
2. Increase and broaden efforts to emphasize and increase awareness about the value of diversity, equity, and inclusion in the workplace.
3. Provide a systematic approach to help people learn how to demonstrate respect for one another through education and experiences that deepen knowledge, enhance competency, and create an environment that is diverse, equitable, and inclusive.
4. Provide a more accessible workplace.
5. Review and refresh departmental communications and redesign the Audit Services website to clarify Audit Services role and responsibilities in the university community.
6. Develop and share ideas and tools for training opportunities, health and wellbeing resources, and team experiences that promote diversity, equity, and inclusion in the current work from home model and to help compensate for the change in departmental resources for training.

## **IV. Strategic Objectives, Measures of Success and Action Plans**

*Incorporate the concerns of team members about departmental equity into Audit Services' year five plan.*

*All strategic objectives and related actions will be pursued in accordance with the law and university policy.*

### **Discussion**

This plan covers all Audit Services team members and strives to improve their interactions with each other, audit clients, and all other members of the university community. The strategic objectives needed to further the university-wide goals of diversity, equity, and inclusion are aggregated into four domains determined by the university. Each of these strategic objectives is accompanied by descriptions of single and multiple year actions Audit Services will take to accomplish those objectives and a method to measure success that will be tracked over time. Additional detail on assignments, timelines, and accountabilities are described in the sections below.

A summary of year four achievements includes:

- Consulted with University of Michigan Communications Office to redevelop the department's website to promote a better image of the department.

- The evaluation process was updated and the new process is now in use. The team has provided positive feedback on the new process.
- 100% of Audit Services employees completed the required sexual harassment training.
- Continued efforts at improving departmental communications through the use of team-building and innovative communication methods
- Included guests and presentations at team meeting from other university areas
  - Elizabeth Seney spoke about Title IX
  - Michael Imperiale, Associate Vice President for Research - Research Policy and Compliance
  - Tom Perna, CPR refresher class
  - Kevin Hegarty, Executive Vice President and Chief Financial Office
  - Tom Lehker, University Ombuds
  - Doug Cox, Data Security Analyst Senior provided a PCI Overview
  - Lorraine Currie, Director Enterprise Strategic Risk Management
  - Matt Desick, Assistant Director of HSIP and Card Programs
- Completed implementation of the new structure for the SPG web site to make it more ADA compliant
- Held an open house attended by 200+ people from around the university to introduce the new department name and offices.
- Remind Audit Services team members that they're considered "responsible employees" for purposes of sexual misconduct reporting during a team meeting discussion.
- The Audit Services department members have all provided input and worked to make our plan successful.

### Introduction

The Audit Services plan covers staff and the members of the university community with whom we work. The strategic objectives needed to further the university-wide goals of diversity, equity, and inclusion have been aggregated into four domains determined by the university. Each of these strategic objectives is accompanied by success measures that will be tracked over time, as well as descriptions of single and multiple year actions we will take to accomplish those objectives.

For additional detail on assignments, timelines and accountabilities, see Section VI. All strategic objectives and related actions will be pursued in accordance with the law and university policy.

## IV. Recruitment, Retention, and Development

*Constituency:* All Applicants for Audit Services positions

### Staff

*Five-Year Strategic Objective 1:*

- Promote equity in staff training and hiring (**when hiring freeze is lifted**)

*Measures of Success (for Objective 1):*

- Improved feedback from Audit Services team regarding equity issues

*FY21 Actions:*

- Continue to review and consistently apply the process for requesting and approval of professional training opportunities
- Continue to incorporate our commitment to diversity, equity, and inclusion to the process for choosing guest auditors by considering an individual's commitment to diversity, equity, and inclusion in the selection process
- Continue to explore ways to add a more positive feeling about auditing at the university as part of new employee orientation and in bi-monthly team meetings.  
We plan to:
  - Discuss value added work done by auditors
  - Discuss changes effected by audit findings that have a positive influence on the university
  - Openly sharing recognition by audit clients in response to audit and committee work
- Because of the COVID-19 pandemic and the associated budget cuts, training expenses are temporarily suspended. We continue to support and encourage training and development in year five i.e., by making work time available to participate in online training courses, webinars.
- The Audit Services department manual was rewritten to clarify the process to request training. We will share the new process with team members to receive feedback and make any desirable adjustments.
- A list of no-cost training opportunities is under development.

*Primary DE&I Goal:* Diversity and Inclusion

*Constituency:* All Audit Services employees

*Five-Year Strategic Objective 2*

- Equity in work load

*Measures of Success:* Improved team job satisfaction

*Actions:*

- **Continue to** review departmental policies and clarify the essential requirements and define methods to foster consistent enforcement
- Use the information gathered in the department professional skills assessment for individual development plans, team events, and lunch and learns presentations.
- Review and consistently apply the requirements and approval process for work from home days
  - Because of the COVID-19 pandemic, all employees are currently working from home. The preparation for the occasional work from home process assisted with that transition.

*Primary DEI Goal: Equity*

*Five-Year Strategic Objective 3*

- Improved awareness of reasons for inclusion through training and learning opportunities for Audit Services personnel

*Measures of Success:* Reduction of staff turnover and improved project management, auditing performance, and job satisfaction

*Actions:*

- **Explore options to do an on-line** Difficult Conversations class.
- Plan departmental events to promote comradery
- Reinforce ways of reporting misconduct other than the Hotline and reinforce message with periodic emails to the department
- Encourage the addition of pronoun preference to the Audit Services webpage and team member's signature lines for email
- Schedule Staff Ombudsperson as a speaker at a team meeting

*Primary DE&I Goal: Inclusion*

## IV. Education and Scholarship

**Constituency:** All Audit Services employees

*Five-Year Strategic Objective 1*

- Improve cultural sensitivity demonstrated by auditors and audit management

*Measures of Success:* Continued and/or improved client and staff satisfaction surveys and improved interoffice communications and relationships

*Actions:*

- Schedule monthly discussions of diversity, equity, and inclusion actions and goals in team meetings
- Schedule monthly presentations at team meetings from other university units to learn more about the university and how Audit Services can assist in achieving the unit goals
- Encourage team members to include DEI seminars and classes as part of their individual development plans.
- Assemble a list of resources for DEI education and will share it with the team.
- Invite the audit team doing an audit on mandatory reporters to share the results of their findings with the team
- Develop a list of resources at the university that promote and support mental and physical health and share with Audit Services team members.

*Primary DE&I Goal:* Equity

*Five-Year Strategic Objective 2*

- Educate our community on sexual harassment and misconduct prevention in an effort to promote a safe and supportive environment for all members to work, learn, and thrive.

*Measures of Success:* Level of participation in training and completion of values statement

Action Item

- Completion of an additional sexual harassment training by all Audit Services team members
  - Discuss relevance of training to audit work at team meetings
- Develop and socialize unit-specific value statements that align and reinforce the forthcoming university level values that promote culture and climate change consistent with both the Diversity, Equity & Inclusion, and Sexual and Gender-Based Misconduct Prevention work that is already underway.

*Primary DE&I Goal:* Equity

*Other applicable domain:* Promoting an equitable and inclusive community, dealing equitably with others in the university communities

## IV. Promoting an Equitable and Inclusive Community

**Unit Overall**

*Constituency:* Staff and audit clients

*Five-Year Strategic Objective 1*

Enhance relationships with the constituencies with whom Audit Services interacts

*Measures of Success:* Favorable results from the team section of the client satisfaction survey, increased communication with audit constituencies, continued requests for assistance and/or participation

*Actions:*

- Use the new report formats to simplify reporting and encourage audit client input
- Review other departmental communications for clarity and tone.
- Redesign Audit Services website to incorporate client feedback and to increase client knowledge of and comfort with the audit process

*Primary DE&I Goal:* Inclusion

## IV. Service

### Overall

*Constituency:* Staff and visitors to Audit Services offices and web site

*Five-Year Strategic Objective 1*

- Sustain accessibility of physical office resources
- Redesign the Audit Services web site to provide client-centered for content and provide image captions to make it ADA compliant.
- Use the new report formats to simplify reporting and encourage audit client input

*Measures of Success:*

- Successful implementation of changes suggested by Michigan Creative
- Feedback will be gathered from the ITS Digital Accessibility Analyst

*Actions:*

- Work with Michigan Creative to improve content and accessibility of Audit Services' web site

*Primary DE&I Goal:* Inclusion

Other applicable domain: promoting an equitable and inclusive community

## V. Goal-related Metrics – School, college or unit measures tracked over time

### **University-wide Metrics:**

With regard to the three goals of the Strategic Plan, the university will track and publish overall metrics relating to the three goals. Items under discussion for these university-wide, goal-related metrics:

- Diversity: makeup of freshman class, diversity of faculty at all levels, diversity of staff, diversity of workforce overall, diversity of students overall, completion



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rates for all students at all levels.

- Equity: # reported incidents, reports on adverse impacts.
- Inclusion: results on UM climate measures of faculty, staff, and students.

### Unit Metrics:

- Diversity
  - Backgrounds of workforce
  - Make up of supervisor cohort
- Equity
  - Demographics of pool of employees promoted in past year
  - Demographics within salary bands of employees
- Inclusion
  - Number of participants in skill and cultural training opportunities
  - Climate survey results

## VI. Pathway for Conflict Resolution

To provide the Audit Services team additional tools to address workplace conflicts, we plan to continue to include presentations on university resources for conflict resolution at team meetings and monthly Lunch and Learns. So new employees begin with the information necessary to resolve conflicts, information on the university Hotline, the staff ombudsperson, and other university resources for conflict resolution and reporting misconduct are included in the new employee orientation process.

## VII. Action Planning Tables with Details and Accountabilities

### VI. A. Recruitment, Retention, and Development

Key Constituency	Strategic Objective	Measures of Success	Detailed Actions Planned (measurable, specific)	Group/ persons accountable	Resources needed (if applicable)
All Applicants for Audit Services positions	Promote equity in staff training and hiring (when hiring freeze is lifted)	Improved feedback from Audit Services team regarding equity issues	<p>Continue to review and consistently apply the process for requesting and approval of professional training opportunities</p> <p>Continue to incorporate our commitment to diversity, equity, and inclusion to the process for choosing guest auditors by considering an individual's commitment to diversity, equity, and inclusion in the selection process</p> <p>Continue to explore ways to add a more positive feeling about auditing at the university as part of new</p>	Audit Services Management Team	NA

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Key Constituency	Strategic Objective	Measures of Success	Detailed Actions Planned (measurable, specific)	Group/ persons accountable	Resources needed (if applicable)
			<p>employee orientation and in bi-monthly team meetings. We plan to:</p> <ul style="list-style-type: none"> <li>• Discuss value added work done by auditors</li> <li>• Discuss changes effected by audit findings that have a positive influence on the university</li> <li>• Openly sharing recognition by audit clients in response to audit and committee work</li> </ul> <p>Because of the COVID-19 pandemic and the associated budget cuts, training expenses are temporarily suspended. We continue to support and encourage training and development in year five i.e., by making work time available to participate in online training courses, webinars.</p> <p>The Audit Services department manual was rewritten to clarify the process to request training. We will share the new process with team members to receive feedback and make any desirable adjustments.</p> <p>A list of no-cost training opportunities is under development.</p>		
All Audit Services employees	Equity in work load	Improved team job satisfaction	<p>Continue to review departmental policies and clarify the essential requirements and define methods to foster consistent enforcement</p> <p>Use the information gathered in the department professional skills assessment for individual development plans, team events, and lunch and learns presentations.</p> <p>Review and consistently apply the requirements and</p>	Audit Services Management Team	NA



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Key Constituency	Strategic Objective	Measures of Success	Detailed Actions Planned (measurable, specific)	Group/ persons accountable	Resources needed (if applicable)
			approval process for work from home days  Because of the COVID-19 pandemic, all employees are currently working from home. The preparation for the occasional work from home process assisted with that transition.		
All Audit Services employees	Improved awareness of reasons for inclusion through training and learning opportunities for Audit Services personnel	Reduction of staff turnover and improved project management, auditing performance, and job satisfaction	Explore options to do an on-line Difficult Conversations class.  Plan departmental events to promote comradery  Reinforce ways of reporting misconduct other than the Hotline and reinforce message with periodic emails to the department  Encourage the addition of pronoun preference to the Audit Services webpage and team member's signature lines for email  Schedule Staff Ombudsperson as a speaker at a team meeting	Paul Millis Tina Foley Shelley Curry	NA

## VI. B. Education and Scholarship

Key Constituency	Strategic Objective	Measures of Success	Detailed Actions Planned (measurable, specific)	Group/ persons accountable	Resources needed (if applicable)
All Audit Services employees	Improve cultural sensitivity demonstrated by auditors and audit management	Continued and/or improved client and staff satisfaction surveys and improved interoffice communications and relationships	Schedule monthly discussions of diversity, equity, and inclusion actions and goals in team meetings  Schedule monthly presentations at team meetings from other university units to learn more about the university and how Audit Services can assist in achieving the unit goals  Encourage team members to include DEI seminars and classes as part of their individual development plans.	Paul Millis Tina Foley Shelley Curry	NA

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			<p>Assemble a list of resources for DEI education and will share it with the team.</p> <p>Invite the audit team doing an audit on mandatory reporters to share the results of their findings with the team</p> <p>Develop a list of resources at the university that promote and support mental and physical health and share with Audit Services team members.</p>		
All Audit Services employees	<p>Educate our community on sexual harassment and misconduct prevention in an effort to promote a safe and supportive environment for all members to work, learn, and thrive.</p> <p>Support central efforts to educate faculty, staff, and students on the forthcoming University of Michigan Policy on Sexual and Gender-Based Misconduct Prevention ("umbrella policy").</p>	Level of participation in training	<p>Completion of an additional sexual harassment training by all Audit Services team members</p> <p>Discuss relevance of training to audit work at team meetings</p> <p>Support central efforts to educate faculty, staff, and students on the forthcoming University of Michigan Policy on Sexual and Gender-Based Misconduct Prevention ("umbrella policy").</p> <p>Develop and socialize unit-specific value statements that align and reinforce the forthcoming university level values that promote culture and climate change consistent with both the Diversity, Equity &amp; Inclusion, and Sexual and Gender-Based Misconduct Prevention work that is already underway.</p>	Paul Millis Tina Foley Shelley Curry	NA

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## VI. C. Promoting an Equitable and Inclusive Community

Key Constituency	Strategic Objective	Measures of Success	Detailed Actions Planned (measurable, specific)	Group/ persons accountable	Resources needed (if applicable)
Staff and audit clients	Enhance relationships with the constituencies with whom Audit Services interacts	Favorable results from the team section of the client satisfaction survey, increased communication with audit constituencies, continued requests for assistance and/or participation	Use the new report formats to simplify reporting and encourage audit client input  Review other departmental communications for clarity and tone.  Redesign Audit Services website to incorporate client feedback and to increase client knowledge of and comfort with the audit process	Paul Millis Tina Foley Shelley Curry	NA

## VI. D. Service

Key Constituency	Strategic Objective	Measures of Success	Detailed Actions Planned (measurable, specific)	Group/ persons accountable	Resources needed (if applicable)
Staff and visitors to Audit Services offices and web site	Sustain accessibility of physical office resources  Redesign the Audit Services web site to provide client-centered for content and provide image captions to make it ADA compliant.  Use the new report formats to simplify reporting and encourage audit client input.	Successful implementation of changes suggested by Michigan Creative  Feedback will be gathered from the ITS Digital Accessibility Analyst	Work with Michigan Creative to improve content and accessibility of Audit Services' web site	Paul Millis Tina Foley Shelley Curry	NA

### VII. Plans for Supporting, Tracking and Updating the Strategic Plan

The Audit Services Diversity, Equity, and Inclusion Strategic Plan Project Manager (Paul Millis) is the key contact for stewardship of the plan in fiscal year 2020. The DEI team in tracking and supporting the plan implementation will assist him.

This team will conduct a review of the plan in fall 2021; gather feedback and additional ideas to be implemented throughout the year. Periodic status reports on progress will be presented at Audit Services' team meetings. A final evaluation of Year Four success measures, accomplishments against the plan as well as Year Five recommendations will be presented to Audit Services in the August team meeting.