

IT GOVERNANCE DESIGN WORKSHOP

UNIVERSITY OF RHODE ISLAND

MARCH 10, 2015

UPDATED: MARCH 30,2015

MEETING OBJECTIVES

Review a recommended IT governance structure

Test, refine and clarify recommendations using example decisions

Identify critical success factors for implementation

IT GOVERNANCE – IN PRACTICE

Role	Responsibility
Create Alignment	<ul style="list-style-type: none">•Link investments to strategic priorities•Prioritize within and across IT portfolios•Manage the division of responsibilities•Balance risk and return
Build Acceptance	<ul style="list-style-type: none">•Sponsor projects•Enable change management strategies•Develop policy•Promote IT strategies
Foster Accountability	<ul style="list-style-type: none">•Establish required service levels•Measure IT service performance•Provide feedback on IT services and solutions•Evaluate outcomes of major projects

COMPONENTS OF GOVERNANCE

- **Principles** to convey intent and frame governance appropriately
- **Structure** of advisory and decision-making groups
 - **Role descriptions** –scope, authority and planned membership
- Defined **linkages** to University planning and resource allocation processes
- Description of required **supporting processes**

EXECUTIVE SUMMARY

- **Embrace principles** to use governance to find ways to **get more done, better inform** the community of what is happening and why, and **advocate for opportunities** to use technology to further important goals.
- **Appoint a senior, constituent led, IT leadership committee** to identify strategic opportunities, set significant priorities, guide service improvements, manage decentralization, and promote the effective use of technology.
- Incorporate existing IT committees into **domain specific advisory councils** to develop strategies, advise service providers, and prioritize moderate sized initiatives.
- **Use ad-hoc communities** to research common needs, open up communications, and engage IT and non-IT stakeholders.
- Implement **transparent, accessible means to propose projects, communicate priorities, and share the reasoning** behind decisions.
- **Enable ITS leaders to advise governance, improve processes and practices** to define needs, select solutions, manage projects and assign resources.
- **Tightly link IT governance to University decision-making** and governance through overlapping membership, clear avenues for recommendations, and regular engagement.

PRINCIPLES

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Purpose:

- Communicate the intent of the governance structure to stakeholders
- Signal how governance structures and processes will operate
- Guide future decision-making
- Build trust

PROPOSED PRINCIPLES

- **Transparency** - Decision-making process and outcomes will be well defined and broadly communicated.
- **Engagement** – Decision-making processes will be inclusive of many and focus on university-wide IT.
- **Responsiveness**- Governance committees and IT organizations will work together to find ways to meet needs and remove barriers to progress.
- **Leadership**- Governance will encourage, seed and advocate for new investments that are important to the University's future..

PROPOSED PRINCIPLES

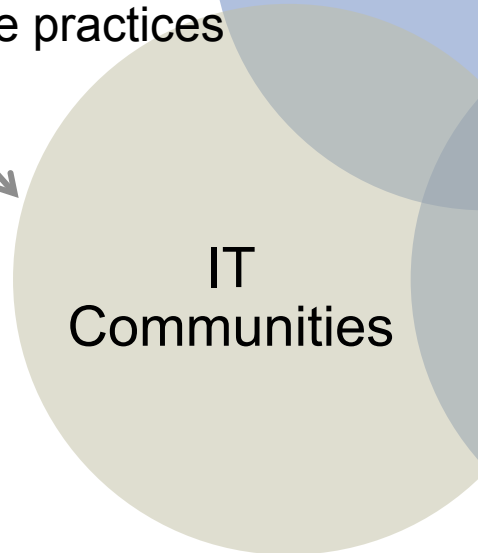
- ***Innovation*** – Governance will seed new ideas, promote effective practices and collaborate with IT leaders to explore new uses of technology.
- ***Accountability*** – Governance will value, measure and promote the effective and secure use of technology and the continual improvement of services. We will lead by example.
- ***Partnership*** – The effective management and use of the University's information technology requires a collaborative effort among IT organizations, administrative and academic departments.

STRUCTURE

STRUCTURE

Ad-hoc groups

Facilitate communication
Generate ideas
Develop effective practices



IT Strategic
Planning &
Governance
Committee

IT
Communities

Advisory
Councils

New group with broad representation
Overarching perspective
Sponsor difficult changes
Prioritize strategic investments
Link IT to University decision-making

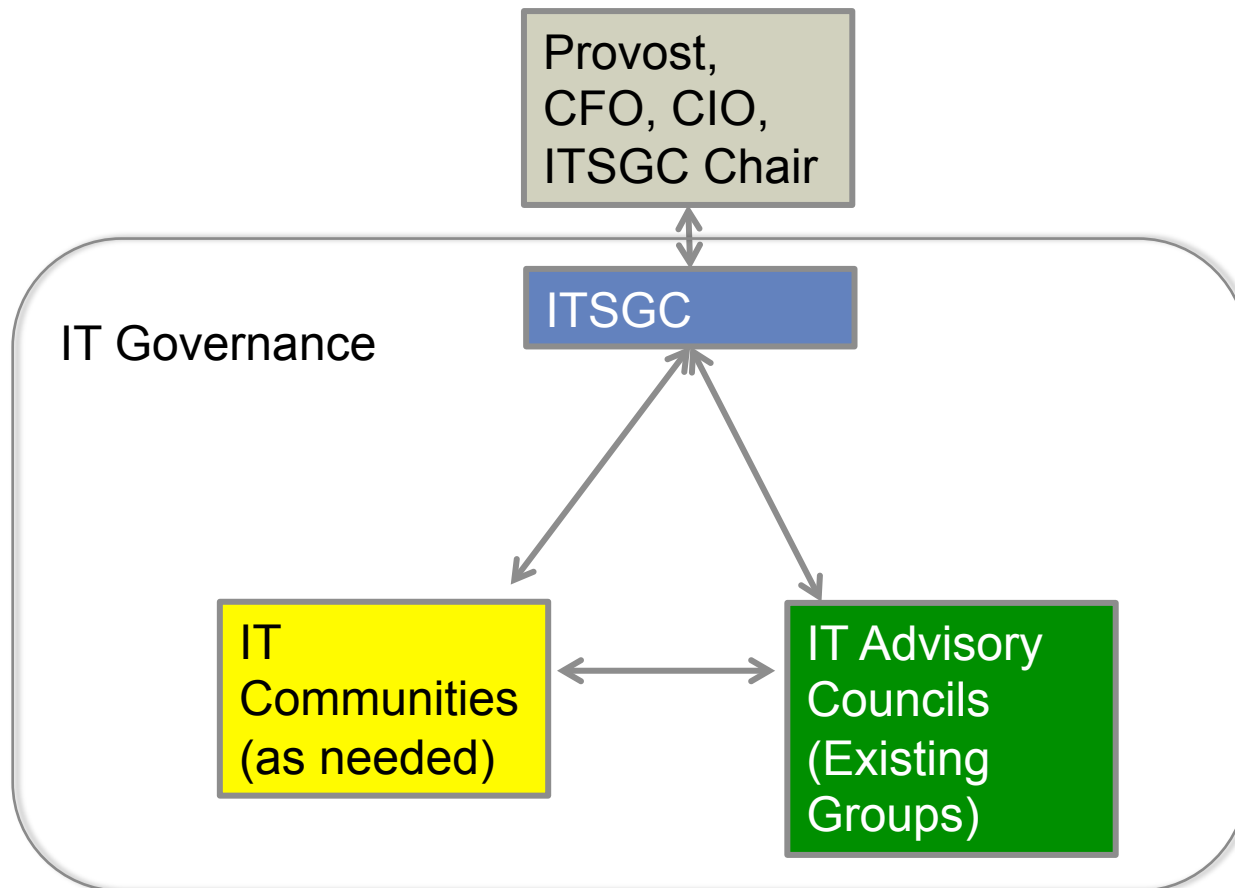


Standing groups drawn from **existing** committees.
Organized by IT portfolio
Prioritize moderate-sized initiatives
Advise on services and service levels

STRUCTURE

Structure	Role	Representation
IT Strategic Planning and Governance Committee (ITSGC)	<ul style="list-style-type: none"> • Recommend strategic priorities to senior University leadership • Resolve resource conflicts referred by Advisory councils • Coordinate the development of strategy • Recommend and implement IT policies and standard practices • Oversee an overall portfolio of projects and direct rebalancing as necessary • Manage centralization and decentralization of services 	Faculty Deans Senior leaders of service and support areas ITS Leadership
Advisory Councils	<ul style="list-style-type: none"> • Plan the future of specific technology domains • Prioritize with ITS moderate sized projects and initiatives • Represent constituents' needs and concerns to IT service providers 	Administrative service leaders Faculty representatives ITS service leaders
IT Communities	<ul style="list-style-type: none"> • Facilitate communication • Bring together stakeholders around a particular topic or technology to design and promote effective services 	Ad-hoc groups of faculty, students, staff assembled by topic Engages all IT staffs

STRUCTURE IN CONTEXT



STRUCTURE

Advisory Councils – standing groups that incorporate existing committees into a collaborative structure organized around technology or services portfolio tied ITSGC

- Teaching and Learning – drawn from existing Joint Committees for classroom technology and online learning and CITICCN
- Research – drawn from existing faculty advisory committee
- Student Services and Success – drawn from existing PeopleSoft advisory committee
- Administration and Operations – drawn from existing PeopleSoft advisory committee
- Information Security – President’s Committee on Information Security

Communities - formed and disbanded as needed based off of projects, initiatives or needs for temporary coordination around an issue (possible initial list)

- Analytics
- User support and personal computing devices
- Google Apps for Education

Opportunity to engage departmental and ITS staff members in collaborative work

ROLES AND RIGHTS

IT LEADERSHIP COMMITTEE

Proposed Representation

CITICCN, Deans, CIO, Major Service Units (e.g., Enrollment Management, Finance, Research), representative from advisory councils such as web policy council, President's Information Security Committee

Meeting Frequency

Bi-monthly including extended planning retreat

Responsibility

- Sponsor/guide long-range IT planning
- Assess IT effectiveness
- Understand risk and support mitigation strategies
- Sponsor policy development
- Identify IT investment priorities and opportunities to use technology to further strategic goals
- Maintain an effective balance of distributed and shared IT services
- Promote effective and efficient IT services that meet constituents' requirements

Decision-Rights

- **Review and approve a semi-annual IT project portfolio**
- **Recommend major new investments** in technology to SBPC and Senior Leadership
- **Approve IT policies** (subject to Faculty and Senior Administration Review)
- **Approve University IT services and funding mechanisms** (subject to Executive Oversight review)
- **Approve major changes to services** and service levels

IT ADVISORY COUNCILS

Membership

Overlapping membership with ITSGC.
Existing committees combine, restructure or operate as comprised as they assume the role of advisory council to ITSGC,

Meeting Frequency

Every 6 to 8 weeks

Responsibility

- Recommend strategic direction for technology domain
- Influence the direction and development of services.
- Align IT investments and projects with functional unit or college goals and priorities
- Coordinate initiatives with similar objectives across functional areas or colleges
- Establish and manage an annual work plan for ITS and functional/college resources
- Solicit feedback from and support efforts to communicate with stakeholders in the technology domain.

Decision-Rights

- **Approve an annual work plan** for systems and process improvement projects
- **Approve re-prioritization** of existing workload when new needs arise
- **Approve strategies to resolve resource conflicts** between functional and technical units collaborating on IT projects
- **Recommend to ITSGC major initiatives** to enhance or replace existing services or introduce new capabilities that are too large to accomplish within the annual work plan.
- Identify and **recommend to ITSGC and Senior Administration strategies to remove barriers** to effective implementation of IT strategies and policies or the effective adoption of University IT services.

IT ADVISORY COUNCILS

Council	Scope
Teaching and Learning	Online learning technology and support, classroom technology, LMS, and other broadly used academic technology
Research	High performance computing, research networks, collaboration tools, data capture, transport, analysis, storage and archiving. Research application development and research computing support services.
Student Services and Success	Student information systems and processes, advising, career services, student affairs, student and alumni communication and engagement. Includes learning analytics.

* - Consider adding a position of Associate Director for Research Computing

IT ADVISORY COUNCILS

Council	Scope
Administration and Operations	Processes and technologies that support pre and post award research, financial management, procurement, human resources, facilities, and auxiliary enterprise operations. Includes management information and analytics.
Information Security	Policies, practices and strategies to detect and mitigate security and privacy risks.

IT COMMUNITIES

Communities are reviewed and revised annually by ITSGC and CIO.

Membership

Varies by topic. Community leaders appointed by CIO in consultation with ITSGC; members participate based on interest. Many participants drawn from UTN community

Meeting Frequency

Varies – based on topic and task

Responsibility

- Provide feedback on services and technology.
- Research emerging needs and potential solutions.
- Coordinate pilots of change.
- Foster information sharing, communication and discovery of effective practices.
- Provide feedback to Advisory Councils and ITS service leaders on potential priorities, service changes and policy changes.
- Support efforts to communicate the status of IT services, strategies and initiatives.

Decision-Rights

- Advisory only.

OTHER DECISION RIGHTS

Faculty

- **Select technologies** specific to **conduct of research**
- **Select and determine use of technologies specific to a discipline, curricular objective or teaching approach**

Non-IT leaders

- **Determine** in consultation with ITS leaders the **best solution** (technology or service to meet requirements).
- **Approve the timing of a project** to minimize any disruption to University services.
- **Change processes and structures** to take advantage of technology.
- **Establish** rules and protocols for the **appropriate access and use of data**.

OTHER DECISION RIGHTS

CIO (or designee)

- ***Determine best use of ITS budgets and resources*** to meet the goals and complete the projects approved by ITSGC and Advisory Councils.
- ***Recommend investments required to maintain the University's technology infrastructure.*** Inform the ITSGC, Provost and CFO of the optimal timing of replacement and maintenance projects.
- **Direct the implementation of IT policies and security practices and stop any action or initiative that violates policy or creates an unacceptable security risk.**
- **Temporarily stop and refer to relevant IT governance committee for review any technology initiative, procurement or decision that violates established policy, has a detrimental impact on an approved project or strategy being pursued by another part of the University or introduces significant inefficiencies.**

APPLYING GOVERNANCE

Decision	Consulted	Decides
Small change to an existing ITS system or service (less than \$15,000 or 100 hours)	ITS leadership to review for potential conflicts with other work requests.	<ul style="list-style-type: none"> • Prioritized and scheduled by ITS Service Leader and Requestor
Moderate sized project (less than \$25,000 or 250 hours)	<p>Relevant Advisory Council</p> <p>ITS Leadership to review conflicts with other work requests and consistency with architecture and security standards.</p>	<ul style="list-style-type: none"> • Advisory Council – approves and prioritizes as part of annual plan or approves for consistency with strategy if an off-cycle requests.
Major project for new system, service or substantial change to an existing service. (greater than \$25,000 or 250 hours)	<p>Relevant Advisory Council</p> <p>ITS Leadership to review conflicts with other projects, resource requirements, compliance with security and architecture standards.</p>	<ul style="list-style-type: none"> • ITSGC approves and prioritizes. • Provost and CFO approve and prioritize very large projects or projects requiring new funding allocations.

APPLYING GOVERNANCE

Decision	Consulted	Decides
Establishment of a broad policy or required practice (e.g., information security or data governance)	Developed by ITS leadership in consultation with subject matter experts in ITS or stakeholder units All impacted advisory councils CITICCN Dean's Council Distributed IT leaders via UTN or an IT community	<ul style="list-style-type: none"> • ITSGC approves the recommendation. • As appropriate, recommendation is discussed and ratified by Faculty Senate and Senior Leadership Team. • Exceptions are approved by the CIO in consultation with ITSGC.
Change to a service level or design of a service	Relevant advisory council or IT community (minor). ITSGC (major)	<ul style="list-style-type: none"> • ITS leader with responsibility for the service (minor). • CIO (major)
Designation of a university-wide service	ITS leadership Distributed IT leaders via UTN or an IT community CITICCN Deans' Council Senior Leadership	<ul style="list-style-type: none"> • ITSGC approves the recommendation. • Provost, CFO and CIO ratify recommendation. • Exceptions are approved by the CIO in consultation with ITSGC.

LINKING IT GOVERNANCE TO UNIVERSITY STRUCTURES

LINKING TO UNIVERSITY STRUCTURES

University Governance	Method of Linking	Responsibility
SBPC	Present annual IT investment priorities that emerge from ITSGC led planning and priority setting.	ITSGC Chair and CIO
Senior Leadership Team	Quarterly updates on status of implementation of IT strategic plan, portfolio of IT initiatives and service metrics. As –needed requests to review policy recommendations and risk assessments.	Provost and CFO with ITSGC Chair, CIO, & Advisory Council Chairs
Deans' Council	Participation of at least one dean on ITSGC. Quarterly updates on status of implementation of IT strategic plan, portfolio of IT initiatives and service metrics. As –needed requests to review policy recommendations and recommendations to adopt university services.	CIO with ITSGC Chair and Advisory Council Chairs
Faculty Senate	Regular briefings for CITICCN on IT strategies, service changes and project portfolio. CITICCN members serve on ITSGC and Advisory Councils.	CITICCN rep on ITSGC, ITSGC Chair and CIO

ENABLING CAPABILITIES

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Project Portfolio – to communicate recently completed, in-process and requested projects.

Project Proposal Process – to propose and facilitate the analysis and prioritization of new initiatives.

Project Management Processes – to increase efficiency and capacity by taking more consistent and structured approaches to assessing requirements, identifying solutions, estimating resource needs, and executing projects.

Resource Management – to evaluate, plan and communicate the IT capacity to take on new work.

ENABLING CAPABILITIES – EARLY ACTIONS

Actions required of ITSGC

- Request from the CIO a plan for developing and implementing an integrated project portfolio management process that includes consistent approaches to describing project requests, estimating one-time and recurring project costs and reporting to the ITSGC a portfolio of requested, approved and in-process projects.
- Limit requests for new projects and service changes to enable resources to be allocated to creating the enabling infrastructure.
- Lead and support change management efforts to promote and ultimately require adoption of project proposal and review processes.

Actions required of the CIO

- Develop a plan to implement an integrated and holistic project proposal, estimating, prioritization and management process.
- Designate an individual to lead the process of developing and implementing the integrated project planning, prioritization and review processes.
- Establish a project management office to support governance and coordinate project planning and analysis.
- Develop a staffing and professional development plan to increase ITS skills in project analysis, project planning and project management.

ENABLING CAPABILITIES

Capability	Now	12 months	18 to 24 months
Portfolio	<ul style="list-style-type: none"> • Create a web site of active and requested ITS projects*. • Provide monthly project portfolio reports to ITSGC that forecast start and end dates for projects. • Develop a five year technology maintenance and replacement forecast. 	<ul style="list-style-type: none"> • Compile a shared list of non-ITS projects*. • Align the portfolio with strategic planning goals. • ITSGC and CIO begin to review portfolio for strategic balance. 	<ul style="list-style-type: none"> • Unify all IT projects in single portfolio • Approve projects to specific time horizons
Proposal Process	<ul style="list-style-type: none"> • Introduce a simple project request form* that describes scope, expected benefits, one-time and recurring costs • Implement required security and architecture reviews for all IT purchases & cloud services. • Differentiate service and maintenance requests from projects. 	<ul style="list-style-type: none"> • Introduce a two stage review process for large projects (justification and design). • Accompany review process with a more detailed project request and estimating process. • Create ITS project analyst support service. 	<ul style="list-style-type: none"> • Expand ITS project analyst capacity.

* Projects of a scale requiring advisory council input or greater.

ENABLING CAPABILITIES

Capability	Now	12 months	18 to 24 months
Project Management	<ul style="list-style-type: none"> Establish a consistent, required process to define requirements and review solution options. Identify existing internal best practices and tools and begin to establish a standard project management approach. 	<ul style="list-style-type: none"> Establish a project management office to support project planning, portfolio management and project execution. ITSGC begins to conduct regular reviews of high visibility/complexity strategic projects. 	<ul style="list-style-type: none"> Establish consistent project planning and management tools. Train ITS staff in project management methods and tools. Provide project management resources university-wide.
Resource Management	<ul style="list-style-type: none"> Begin tracking assignment of staff to projects and forecasting availability. 	<ul style="list-style-type: none"> Evaluate staffing and skill mix against anticipated priorities and strategies. Track allocation of staff time to maintenance, support, and projects. Implement competency based professional development plans. 	<ul style="list-style-type: none"> Provide ITSGC with resource forecasts by skill set, project and time period. Engage distributed IT staff in University-wide projects. Develop 3rd party relationships to provide flexible ways to increase capacity.