Information & Technology Governance
Executive Committee Meeting

January 22, 2024

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Agenda

Time	Topic	Presenter(s)
10:00	Welcome and Opening Remarks	Andreas Bohman Sarah Norris Hall
10:10	Information & Technology Governance: Status, Purpose, and Structure	Piet Niederhausen
10:25 10:35	Governance Authority and Decision Making Look Ahead: 2024 Q1 Themes	Andreas Bohman Piet Niederhausen
10:50	Thank you	Andreas Bohman Sarah Norris Hall

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Welcome I&T Executive Committee

Co-Chairs:

> **Andreas Bohman,** UW CIO and VP for UW-IT
> **Sarah Norris Hall,** Senior Vice President and CFO

Members

> **Lou Cariello**, Vice President, UW Facilities
> **Anind Dey**, Dean, The Information School
> **Sheila Edwards Lange**, Chancellor, UW Tacoma
> **Kristin Esterberg**, Chancellor, UW Bothell
> **Mary Gresch**, Senior Vice President, University Advancement
> **Mindy Kornberg**, Vice President, UW Human Resources
> **Fredrick Nafukho**, Vice Provost for Academic Personnel, Office of Academic Personnel
> **Simon Neame**, Dean of University Libraries
> **Eric Neil**, Chief Information Officer, UW Medicine
> **Mari Ostendorf**, Vice Provost for Research, Office of Research
> **Phil Reid**, Vice Provost for Academic and Student Affairs, Professor of Chemistry
> **Brad Simmons**, President of UW Medicine Hospitals & Clinics and Vice President for Medical Affairs
> **Denzil J. Suite**, Vice President for Student Life, Office for Student Life
> **Joy Williamson-Lott**, Dean, The Graduate School

Opening Remarks

I&T Governance: Status, Purpose, and Structure

Status of Information & Technology Governance

Spring - Summer 2023

» I&T Governance model developed by IT Governance Working Group with input from legacy IT governance groups

» I&T Governance model endorsed by legacy IT Strategy Board

Autumn Quarter 2023

» I&T Governance model presented to Cabinet

» Charge letter endorsed by UW President

» Launch of Enterprise Technology and Research Cyberinfrastructure domains

January 2024

» **Final approval of Charge letter from UW President and Provost**

» Launch of Information Security & Privacy domain

» First meeting of I&T Executive Committee

Acknowledgements

We thank the many groups and individuals who contributed to the governance model and whose ideas and incorporated in these materials:

> IT Strategy Board meetings in October & December 2022 and February, May, and August 2023

> IT Service Investment Board meetings in November 2022 and January & May 2023

> IT Service Management Board meetings in December 2022 and January & April 2023

> IT Governance Working Group meetings in March - August 2023, working group drafts, and interviews with the individual members

> Direction from UW CIO and VP for UW-IT Andreas Bohman

> UW Medicine's experience with its IT Governance Partnership

> Participants in the formation of HR & Finance Workday Governance in 2023

> Governance models at other institutions including UCLA, UCSD, and Yale University

Purpose of Information & Technology Governance

Enable **transformation** and **innovation** at the UW through **strategic investment** in information and technology

Grow **value** from information & technology

Manage **risk** in uses of information & technology

Make shared **decisions** efficiently and fairly

- Obtain benefits from shared direction and standardization
- Balance near- and long-term costs, benefits, and risks
- Be responsible to each other and to the whole UW

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Govern Information and Technology

Information

- Data management
- Information security
- Privacy

Technology

- Technology services & solutions
- Technical standards

In practice, these are related and depend on each other.

Information *and* Technology

- Help people solve UW challenges with information and technology,
- From idea to outcome,
- Based on shared priorities and strategies for increasing value and managing risk.

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Empowering Directive Governance

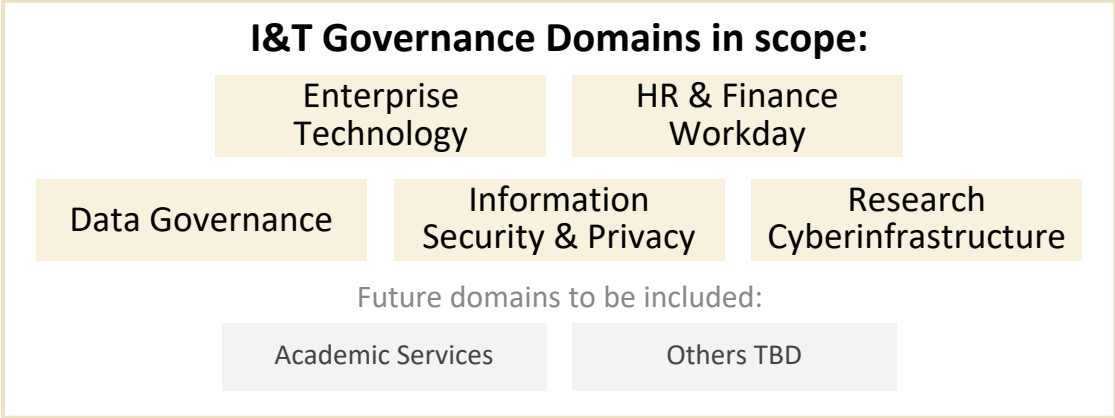| Past IT Governance		Future I&T Governance
Advisory	**+**	**Directive**

» **Decide** shared services

» **Prioritize** goals, strategies, and funding

» **Prevent** undue risk and waste

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Information & Technology Governance Structure

Information & Technology Executive Committee

I&T Governance Domains in scope:

Enterprise Technology	HR & Finance Workday

Data Governance	Information Security & Privacy	Research Cyberinfrastructure

Future domains to be included:

Academic Services	Others TBD

I&T Chairs	Governance Support	Governance Processes

In collaboration with related groups in UW Medicine, UW Bothell, UW Tacoma, Faculty Senate, and academic & administrative governance

Shared executive leadership drives and aligns goals & strategies, prioritizes initiatives & funding, and endorses standards

Governance domains connect people, evaluate ideas & proposals, recommend strategies & standards, prioritize resources & ongoing changes, and monitor results

» Can include multiple standing or temporary groups

The initial structure and scope of the domains will be determined in the Chartering phase
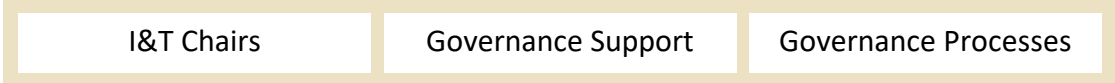
Supporting functions coordinate and streamline intake and resolution

Representation throughout includes I&T providers and consumers across the UW

Updated 11/15/23

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Timeline for I&T Governance Groups

Group/Domain	Autumn 2023	Winter 2024	Spring 2024
Executive Committee	**Launch**	Operate & improve	
Enterprise Technology	**Launch**	"	
Information Security & Privacy	**Launch**	"	
Research Cyberinfrastructure	**Launch**	"	
HR & Finance Workday	Operate	Assess & plan *	Operate & improve
Data Governance	Operate	Assess & plan *	Operate & improve
Academic Services		Scope & plan *	
I&T Chairs		**Launch**	Operate & improve

* Working with stakeholders in each domain, recommend new or changed governance structures to the Executive Committee for review in Spring 2024.

Transitions from Legacy Governance Groups

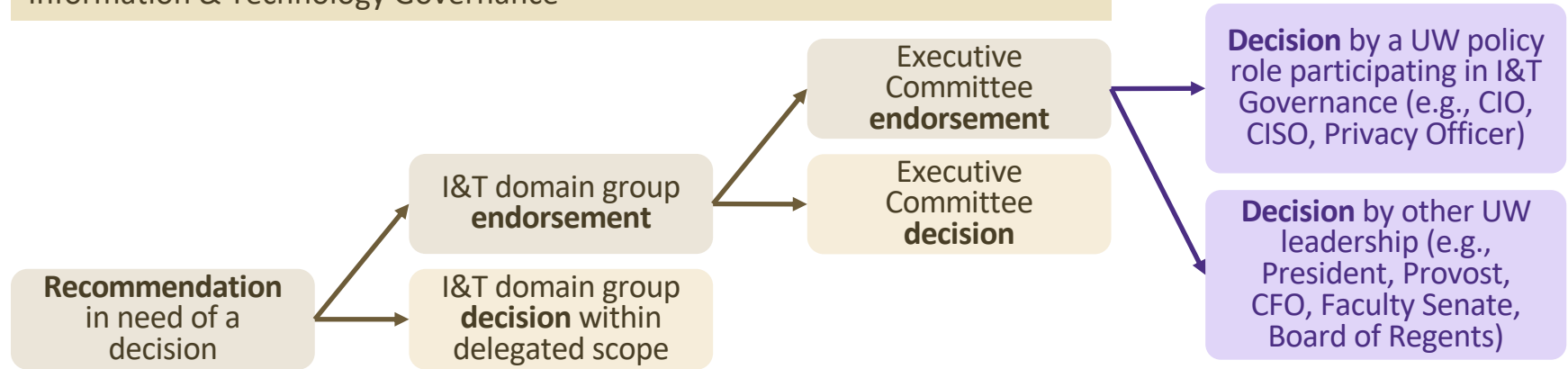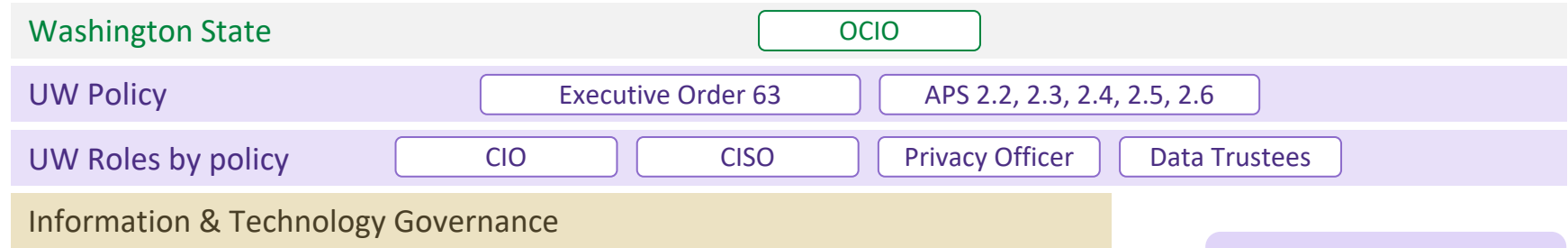| Legacy governance groups	Transitions
IT Strategy Board	Transitioned to the I&T Executive Committee in January 2024
IT Service Investment Board • TRF Advisory Committee	Met in 2023 Q4 to finalize TRF recommendations, then pause until the future TRF process is known
IT Service Management Board	Transitioned to the I&T Enterprise Technology domain in December 2023
Security Advisory Board and **UW Privacy Steering Committee**	Transitioned into the I&T Information Security and Privacy domain in January 2024
HR & Finance Workday Governance	Transition planning to begin in 2024 Q1
UW Data Governance	Transition planning to begin in 2024 Q1

Governance Authority and Decision Making

Critical Success Factors: Commitments

❏ **UW CIO** commits to **empower governance** with selected delegated authority (under Executive Order 63 and relevant UW APS).

❏ **UW-IT** commits to be governed by and participate actively in the work and decisions of this governance model, and to support its operation.

❏ **UW executives** commit to **jointly defining shared goals, strategies, and standards** for information & technology, and carrying them out in their organizations.

❏ **UW units** commit to review of proposed information & technology projects that meet defined thresholds for impact and risk.

❏ **Governance groups** commit to work together to carry out defined roles, responsibilities and handoffs.

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Sources of authority and decision flow

Washington State	OCIO	
UW Policy	Executive Order 63	APS 2.2, 2.3, 2.4, 2.5, 2.6
UW Roles by policy	CIO	CISO	Privacy Officer	Data Trustees

Information & Technology Governance

Recommendation in need of a decision
→ I&T domain group **endorsement** → Executive Committee **endorsement** → **Decision** by a UW policy role participating in I&T Governance (e.g., CIO, CISO, Privacy Officer)
→ I&T domain group **decision** within delegated scope → Executive Committee **decision**

Decision by other UW leadership (e.g., President, Provost, CFO, Faculty Senate, Board of Regents)
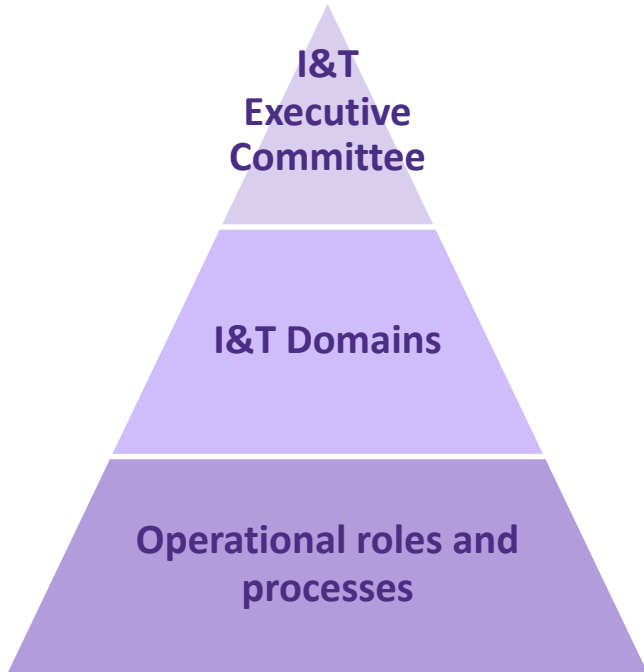
- I&T Governance does not alter the scope of authority or responsibility of roles defined by UW Policy or Executive Order (e.g., CIO, CISO, etc.)
- Such roles lend their authority to governance recommendations within their scope, by requesting and endorsing recommendations

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Levels of Information & Technology Governance

I&T Executive Committee
- Set strategic priorities
- Prioritize investments and recommend to CIO, Provost, others
- *Fewer, more far-reaching decisions*

I&T Domains
- Recommend and execute on strategic priorities
- Prioritize existing resources within a defined scope
- Escalate opportunities for investment
- Recommend and apply standards

Operational roles and processes
- Day-to-day business prioritization/approval of information & technology resources/changes within a defined scope
- *Many smaller decisions*

Examples

I&T
Executive
Committee

I&T Domains

Operational roles and processes
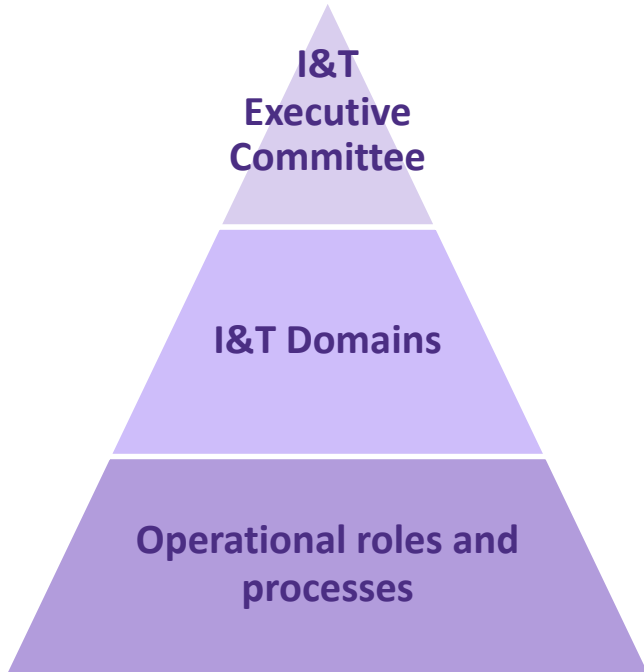
- I&T Executive Committee: Contribute to and endorse a strategic plan including goals for shared services

- Enterprise Technology Domain: Recommend specific shared services to contain or retire; recommend new shared services

- Workday Business Owners: Prioritize requests for Workday changes to be completed by technical teams

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Don't Boil the Ocean!

The scope of I&T Governance is intentionally broad, and governance groups will need to **focus** to succeed and **iterate** on goals.

Hundreds of information and technology decisions made across the UW every day
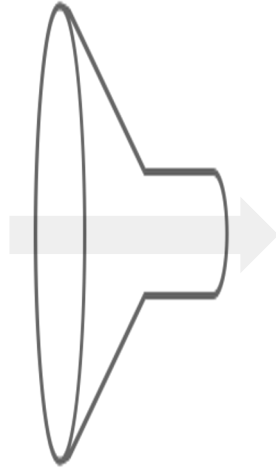
Focus governance decision making:

Align on selected goals and strategies

Define and drive the most key initiatives and services

Review and monitor a subset of proposed changes based on defined thresholds (high impact or risk)

Look Ahead: 2024 Q1 Themes

2024 Q1 Themes

> **UW-IT Strategic Planning**
  – *In progress:* Funding model analysis
    > Update on TRF for FY25
  – *Starting:* Strategic planning

> **Current I&T Governance Recommendations**

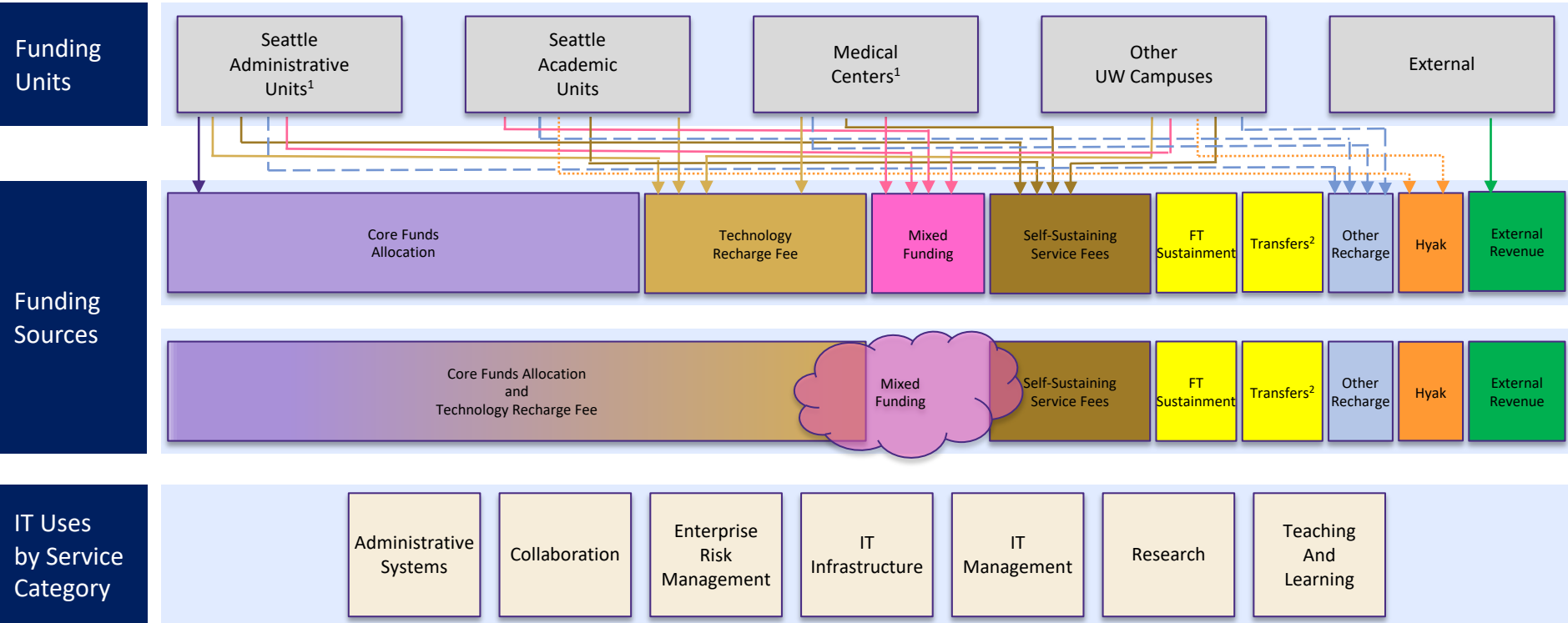> **Workday Sustainment**
  – Workday Coordination Services (WCS)

UW-IT Strategic Planning

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Project Scope & Approach

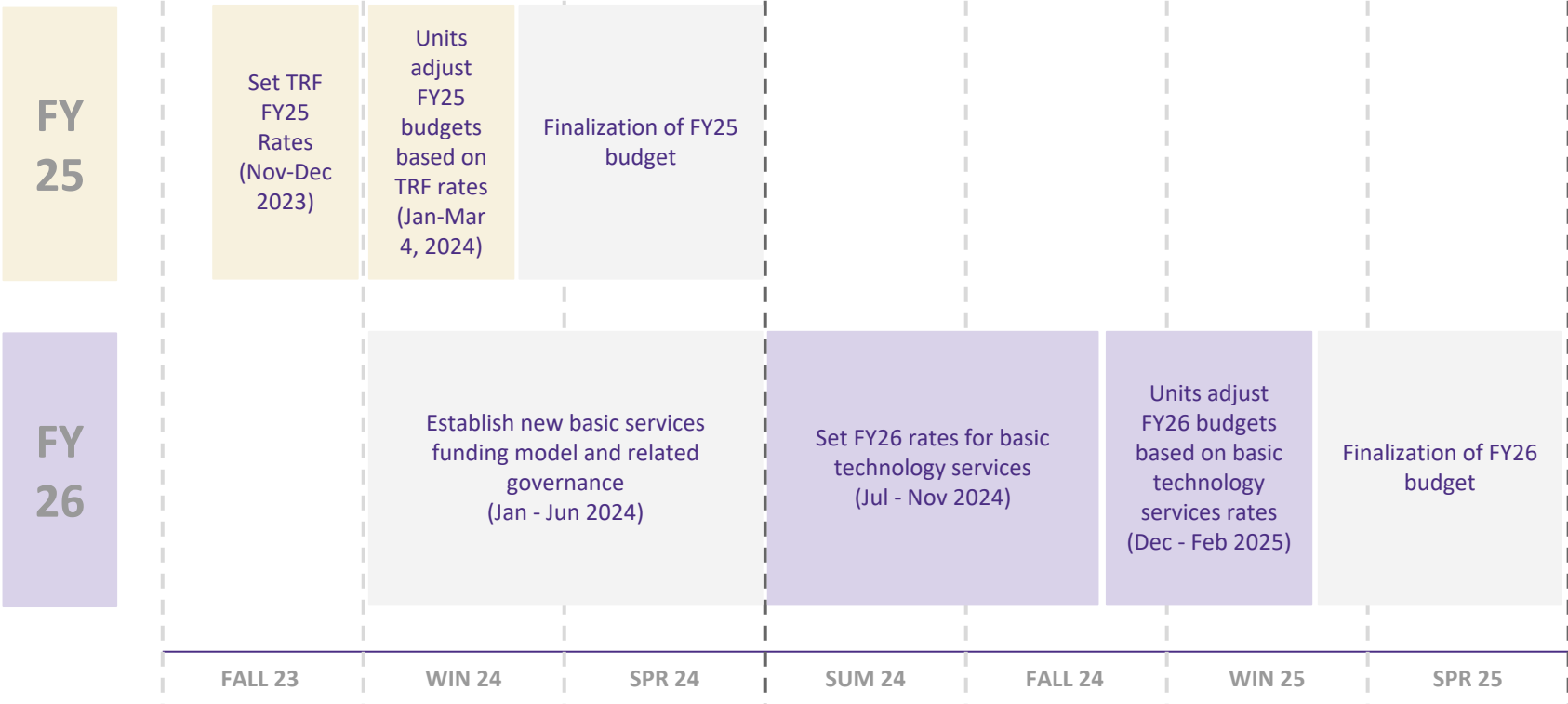| Phase 0: Planning	Phase 1: Current State Analysis	Phase 2: Future Back and Formulate Priorities	Phase 3: Develop and Socialize Framework	Phase 4: Finalize Plan and Prepare for Execution
▪ Review data request materials ▪ Identify stakeholders ▪ Establish project governance and workplan ▪ MarComm Strategy & Planning	▪ Budget and fund flow analysis ▪ Develop options for evolving model ▪ Review documents and data ▪ Collect interview themes and observations ▪ Complete environmental scan & SWOT analysis	▪ Develop universe of strategic options ▪ Collect hypotheses on investment areas ▪ Create metrics, evaluation rubric	▪ Draft plan documentation ▪ Develop socialization plans and support material	▪ Finalize plans ▪ Deliver executive summary

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Example Output: UW-IT FY23 Funds Flow Map

Funding Units

| Seattle Administrative Units[1] | Seattle Academic Units | Medical Centers[1] | Other UW Campuses | External |

Funding Sources

Core Funds Allocation | Technology Recharge Fee | Mixed Funding | Self-Sustaining Service Fees | FT Sustainment | Transfers[2] | Other Recharge | Hyak | External Revenue

Core Funds Allocation and Technology Recharge Fee | Mixed Funding | Self-Sustaining Service Fees | FT Sustainment | Transfers[2] | Other Recharge | Hyak | External Revenue

IT Uses by Service Category

Administrative Systems | Collaboration | Enterprise Risk Management | IT Infrastructure | IT Management | Research | Teaching And Learning

Footnotes: **1**: For purposes of this visual, Seattle Administrative Units category is comprised of A) All Institutional Infrastructure units with the exception of Medical Centers; B) Instructional & Student Support units; and C) Research & Innovation units. **2**: "Transfers" refers to all transfers other than those related to FT Sustainment.

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Look Ahead: FY25 & FY26 High-level Timeline

FY 25

| Set TRF FY25 Rates (Nov-Dec 2023) | Units adjust FY25 budgets based on TRF rates (Jan-Mar 4, 2024) | Finalization of FY25 budget |

FY 26

| Establish new basic services funding model and related governance (Jan - Jun 2024) | Set FY26 rates for basic technology services (Jul - Nov 2024) | Units adjust FY26 budgets based on basic technology services rates (Dec - Feb 2025) | Finalization of FY26 budget |

FALL 23 | WIN 24 | SPR 24 | SUM 24 | FALL 24 | WIN 25 | SPR 25

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Strategic Planning and Governance Engagement

> Huron has started interviews for input from leaders at the UW, State of Washington, peer institutions, and corporate partners

> Governance groups will be engaged for input starting 2024 Q1

> Governance group will have opportunities to review drafts

> This work we are doing together lays the groundwork for a future and shared information and technology strategy for the University of Washington

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Current I&T Governance Recommendations

Status of Current I&T Governance Recommendations

The 2023 Service Management Board (SMB) Report included 4 areas of recommendations:

➢ Husky TV: Recommend that UW-IT gather more data on student usage and content delivery preferences to determine if the Husky TV service is still necessary and useful

- UW-IT Service Owner working with HFS on retirement strategy, factoring in their need for common area TV service

➢ Google Apps / Microsoft Office 365: Recommend that UW-IT reduce reliance on the UW Google service by working to increase departmental adoption of UW Office 365

- UW-IT Service Owner seeking additional input on which Google apps to not enable

➢ U Drive: Recommend a review of the various storage offerings with an eye to simplifying and consolidating them for better user experience and reduced administrative cost

- UW-IT Service Owner taking this into account for future architecture/ provisioning

➢ Conferencing Services: Recommend that Conferencing Services be placed in containment status, continuing to operate but not accepting new customers

- UW-IT Service Owner reviewing usage and financial impact

Workday Sustainment: Workday Coordination Services (WCS)
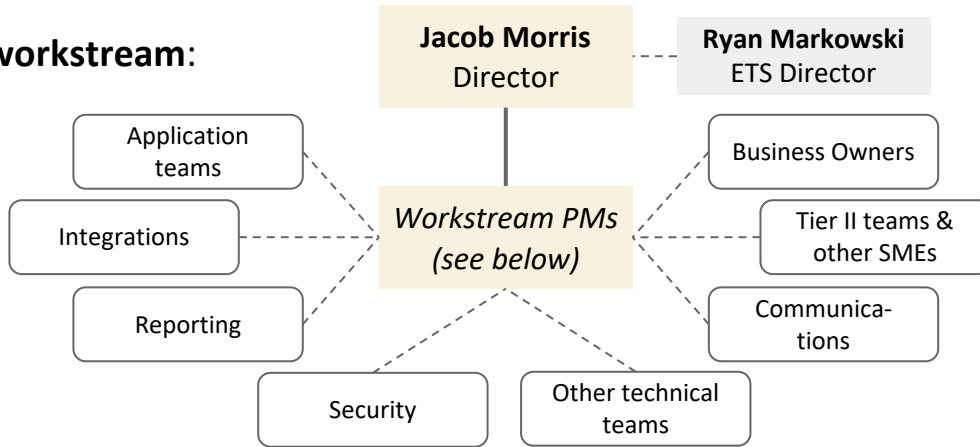
Purpose & Goals of Workday Coordination Services

> With the end of ETS, **minimize impact** on people and work in ETS process areas
  - Continuity of ETS work and meetings
  - Overlap in leadership in January

> Establish operational and **long term central coordination** of Workday in UW-IT
  - Across all process areas in HR and Finance

> Empower **Business Owners** to set business priorities in all process areas
  - Continue meeting structures that engage Business Owners
  - Improve coordination of cross-functional issues

> Provide **transparency** of decision making and changes to requesters, Business Owners, governance groups, and Shared Environments

> Later, enable a shared **quarterly planning** cycle across HR & Finance

Coordination Roles

Per workstream:

Jacob Morris — Director

Ryan Markowski — ETS Director

- Application teams
- Integrations
- Reporting
- Security
- Other technical teams

Workstream PMs (see below)

- Business Owners
- Tier II teams & other SMEs
- Communications

Workstreams	Process Areas	PM in UW-IT
Grants	Grant Award to Close*	Jessica Green
Procurement & Supply Chain	Procure to Pay & Supply Chain*	Anne Conery
Banking & Settlement	Manage Cash & Fin Assets* | Customer Req to Pay	Juan Mascarello, Ashley Forsythe
Core Finance	Record to Report* | Plan & Manage the Business | Assets | Projects	
HCM, Compensation & Payroll	HCM | Compensation | Payroll	Greg Koester, Jim Srnec
Benefits	Benefits	

* Process area previously in ETS

Across workstreams:

Roles in multiple Sustainment organizations to enable:

- Content Management
- Outreach and Engagement
- Training

Updated 1/21/2024

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Your priorities for future agendas?

> (to be completed in meeting)

Thank You

Appendix

I&T Executive Committee representation

- Co-Chairs:
  - UW CIO and VP for UW-IT: **Andreas Bohman**
  - Senior Vice President and CFO : **Sarah Norris Hall**
- UW colleges & schools, represented by:
  - **Anind Dey**, Dean, The Information School
  - **Joy Williamson-Lott**, Dean, The Graduate School
- Central administration of technology, data, and support for academic affairs, represented by:
  - **Phil Reid**, Vice Provost for Academic and Student Affairs, Professor of Chemistry
  - **Simon Neame**, Dean of University Libraries
- Central administration of research and support for researchers, represented by:
  - **Mari Ostendorf**, Vice Provost for Research, Office of Research
- Central administration of finance and HR, represented by:
  - **Brian McCartan**, Vice President for Finance, UW Finance
  - **Fredrick Nafukho**, Vice Provost for Academic Personnel, Office of Academic Personnel
  - **Mindy Kornberg**, Vice President, UW Human Resources

- Other UW central business units, represented by:
  - **Denzil J. Suite**, Vice President for Student Life, Office for Student Life
  - **Lou Cariello**, Vice President, UW Facilities
  - **Mary Gresch**, Senior Vice President, University Advancement
- UW Medicine operations, represented by:
  - **Brad Simmons**, President of UW Medicine Hospitals & Clinics and Vice President for Medical Affairs
- UW Medicine ITS, represented by:
  - **Eric Neil**, Chief Information Officer, UW Medicine
- UW Bothell, represented by:
  - **Kristin Esterberg**, Chancellor, UW Bothell
- UW Tacoma, represented by:
  - **Sheila Edwards Lange**, Chancellor, UW Tacoma
- Faculty Senate representative to be selected in collaboration with the Chair of the Faculty Senate

Technology Recharge Fee (TRF) FY25 rates

> Under a recommendation by the IT Service Investment Board, and approved by the Provost, there will be a **4 percent increase to the TRF rates for FY25**, as follows:

  o $72.30 per month per capita for all academic and administrative units, a 4 percent increase. (The current rate is $69.52).

  o $64.73 per month per capita for the UW Medical Centers, a 4 percent increase. (The current rate is $62.24).

> These rates primarily address the cost of merit increases, which impact service costs. UW-IT will utilize the projected FY25 fund balance to mitigate unknown increases, including vendor pricing. The rate recommendation strikes a balance between addressing known increases and keeping the fund balance as close to University guidelines as possible.

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