

IT Governance @ UC Berkeley

July 30, 2015

What is IT Governance?

IT Governance is a set of committees and processes intended to facilitate collaboration among campus leadership in the prioritization, funding, design and use of IT to ensure cost effective support of UC Berkeley's teaching, learning, research and administrative strategic priorities.

Why IT Governance Now?

- Over the last five years, the campus has faced, and continues to face, unprecedented fiscal challenges.
- Each domain area – research, teaching and learning, administration/operational excellence – faces unique external pressures and internal needs, many of which require technology to address.
- Demand for new or expanded IT services has exceeded the campus ‘ capacity (both financially and in terms of human resource/SME bandwidth) to deliver all that is desired or even needed – *making tradeoffs essential*.
- The rate of evolution and democratization of technology impacts business/IT strategy and policy.
- The ubiquitous digitization of assets, and the growing risks associated with the storage of electronic data, requires careful management.
- UC Berkeley is significantly behind our peers on a number of technology fronts, requiring the ongoing prioritization of the things we are currently doing against the things we could do to ensure we keep pace with our competitors.

History of IT Governance at UC Berkeley



Chancellor's Cabinet approves e-Berkeley Initiative to encourage broad-based innovation.

Goal: Make as many campus services available as possible over the Web.

Led by CFO



Academic Senate recommends undertaking a separate campus-wide IT planning process.

EVCP Paul Gray asks Ken Goldberg (Chair, COMP) and Jack McCredie (AVC-IT & CIO) to create an IT strategic plan.



2-year IT strategic planning process results in IT guiding principles & ID of critical IT issues.

IT Self-Study on Gov, Funding and Structure results in split of CIO/DCIO roles, creation of an IT Governance body.



CTC funds 70+ projects, including bSpace, Jazzee, Quali Coeus, Campus Security Assessment Program, BNHM programs, BFS9, eProtocol, APBears, Student Systems, ETS Operations.



IT Bank created, funded with \$5.6M/year.



OE IT Governance project kicks off; paused due to CIO leadership change.

2000

2002

2003

2005

2006

2007

2011

2012

2014

Strategic Academic Plan completed.

IT not included.



Campus Technology Council (CTC) kicked off.



OE IT Governance Project proposed and funded.

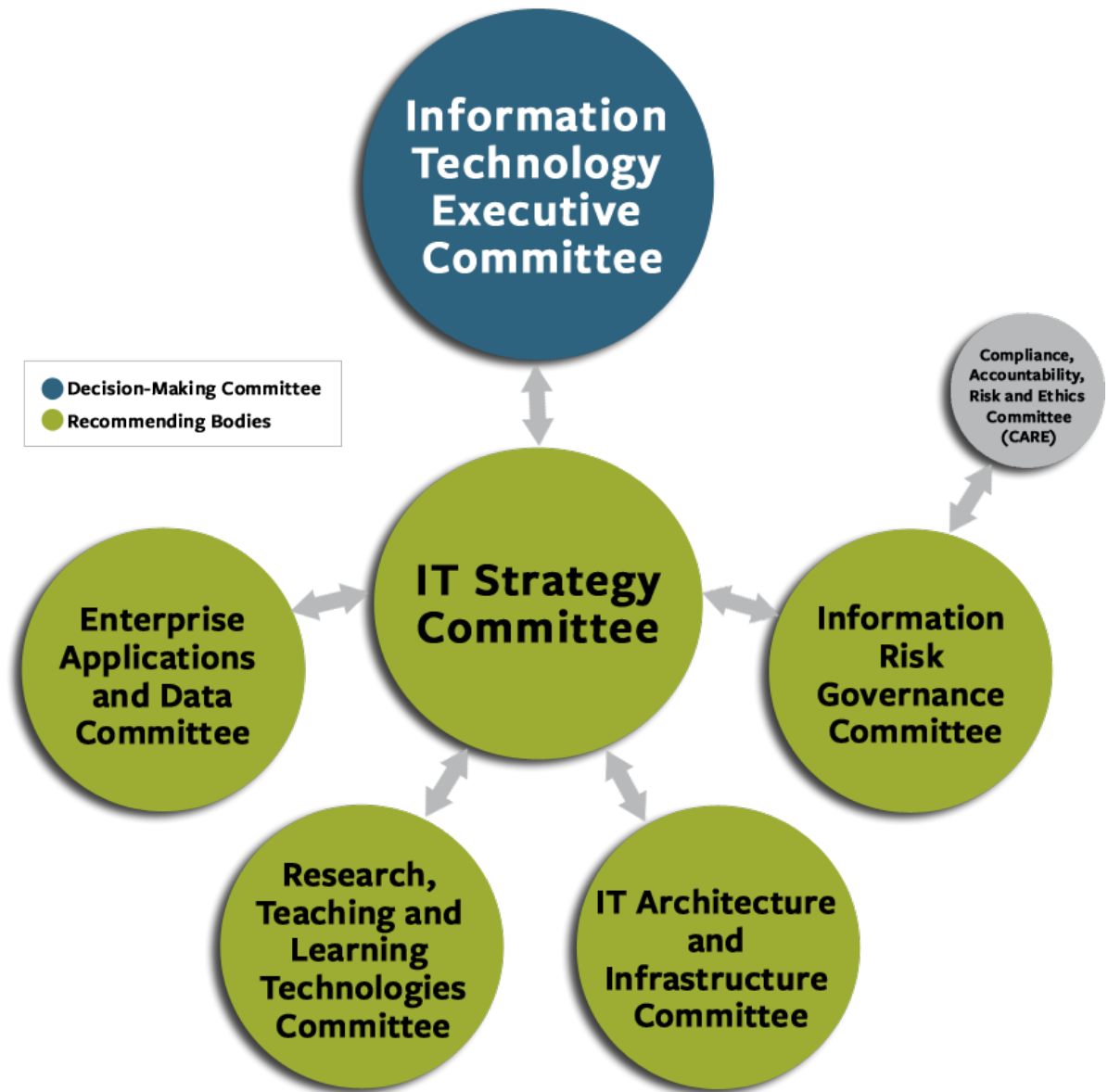
CTC put on hiatus.



New IT Governance model developed and kicked off.



The Model



Information Technology Executive Committee (ITEC)



Charge

The ITEC supports Berkeley's teaching, research, and service missions through sponsorship of the campus IT governance structure. ITEC serves as the final authority for approving strategies, plans, policies, and investments regarding the use of information technology at UC Berkeley. The Committee is charged with:

- Ensuring that major investments in information technology are aligned with campus strategic plans and goals.
- Reviewing the breadth and scope of UC Berkeley's information technology (IT) portfolio to make decisions about reallocations and/or investments in new capabilities in support of the University's core missions.
- Approving strategic plans, policies, and funding priorities for information technology at the University.

Full description of charge and committee information at: technology.berkeley.edu/ITEC

Members

Committee membership is designed to be representative of the most senior campus executive leadership.

Voting Members

- **Claude Steele, Executive Vice Chancellor and Provost, Co-Chair**
- **John Wilton, Vice Chancellor, Administration and Finance, Co-Chair**
- Andrew Szeri, Vice Provost, Strategic Academic and Facilities Planning
- Larry Conrad, Associate Vice Chancellor-IT and Chief Information Officer

Meeting Frequency

Three per academic year or as needed.

IT Strategy Committee (ITSC)



Charge

The ITSC provides direct oversight of the campus IT governance structure for UC Berkeley, and supports Berkeley's teaching, research, and service missions by reviewing and evaluating strategies, plans, policies, and investments regarding the use of information technology (IT) and making recommendations for action. Examples of what the Committee is charged with include:

- Understanding the critical IT needs for faculty, researchers, students and staff.
- Appraising the breadth and scope of Berkeley's IT portfolio to prioritize reallocations and/or investments in new capabilities to support the University's core missions, to facilitate broad understanding of and reduce duplication in the portfolio, and to identify potential for efficiencies and cost savings in Berkeley's business operations.

Full description of charge and committee information at: technology.berkeley.edu/ITSC

Members

ITSC membership is designed to be representative of campus executive leadership.

Voting Members

- **Andrew Szeri, Vice Provost, Strategic Academic and Facilities Planning, Chair**
- **Larry Conrad, AVC-IT and CIO, Vice Chair**
- Co-Chairs, Teaching & Learning and Research Governance Committee
 - Vice Provost for Undergraduate Education – Cathy Koshland
 - Interim Vice Chancellor for Research – Chris McKee
- Chair, Enterprise Application and Data Committee – Rosemarie Rae, AVC and CFO
- Chair, IT Architecture and Infrastructure Committee – Lyle Nevels, Deputy CIO
- Co-Chairs, Information Risk Governance Committee (one vote)
 - Chief Information Security Officer – Paul Rivers
 - Campus Privacy Officer – Lisa Ho
- Harry Le Grande, VC Student Affairs
- Tom Leonard, University Librarian
- Ben Hermalin, Chair, Berkeley Academic Senate
- Cathryn Carson, Academic Senate CAPRA committee representative
- Henry Brady, Dean, Graduate School of Public Policy
- Douglas Clark, Dean, College of Chemistry
- Irene Kim, AVC Advancement, University Relations
- TBD, Graduate Assembly President
- ASUC president or designate

Meeting Frequency

Twice per semester or as needed

Enterprise Applications and Data Committee (EADC)



Charge

The EADC is charged with overseeing UC Berkeley's investment in and ensuring the effectiveness of enterprise applications and institutional data management planning. Responsibilities include but are not limited to:

- Assessing the campus enterprise application and institutional data needs for key cohorts, i.e., faculty, researchers, students and staff.
- Reviewing key developments in information technology for potential impacts to, and adoption by, UC Berkeley.
- Assuring that potential enterprise and institutional data systems projects are evaluated against the impact on the University's mission and strategic goals and objectives.

Full description of charge and committee information at: technology.berkeley.edu/EADC

Members

EADC membership is designed to be representative of campus functional administrative leadership and key campus stakeholder groups.

Voting Members

- **Rosemarie Rae, AVC and CFO, Chair**
- **Patrick Schlesinger, AVC, Research Administration and Compliance, Vice Chair**
- Jeannine Raymond, AVC, Human Resources
- Laurel Halsey, University Health Services Administrative Director
- Amber Machamer, Executive Director, Office of Planning and Analysis
- Rosemary Kim, Executive Director, Advancement Operations
- Andrew Goldblatt, Risk Manager
- Peggy Huston, Chief Operating Officer, Campus Shared Services
- Suzanne Sutton, Assistant Dean, College of Chemistry
- Heidi Wagner, Assistant Dean, School of Social Welfare

Non-Voting Members

- Lyle Nevels, Deputy CIO, IST

Meeting Frequency

Twice per semester or as needed

Research, Teaching and Learning Technologies Committee (RTLTC)



Charge

The RTLTC supports UC Berkeley's teaching and learning and research missions by reviewing, evaluating, and recommending strategies, plans, and policies regarding IT projects and services that support teaching and learning for and research by faculty and students. The committee solicits input from key stakeholders and constituencies across the campus to ensure that institutional needs are being met and policies and services offered are in alignment with the campus strategic direction.

Full description of charge and committee information at: technology.berkeley.edu/RTLTC

Members

RTLTC membership is designed to be representative of campus research and teaching functions.

Voting Members

- Chris McKee, Interim Vice Chancellor for Research, Co-Chair
- Cathy Koshland, Vice Chancellor for Undergraduate Education, Co-Chair
- Francesco Borrelli, Academic Senate Graduate Council
- Kimmen Sjolander, Academic Senate Committee on Research (COR)
- Martin Lettau, Academic Senate Committees on Educational Policy (CEP)
- Todd Fitch, Economic Analysis and Policy Group, Haas School of Business
- Tony Cascardi, Council of Humanities Social Science Deans (CoHSSD)
- Jeff Bokor, Council of Science and Engineering Deans (CoSED)
- Alexandra Saum-Pascual, Department of Spanish and Portuguese
- Beth Dupuis, Associate University Librarian for Educational Initiatives and User Services
- Costas Spanos, Director, CITRIS
- David Trinkle, Director, Berkeley Research Development Office
- Cathryn Carson, Associate Professor, Department of History
- Bob Jacobsen, Dean of Undergraduate Studies, College of Letters and Science
- TBD, Academic Senate Committee on Teaching (COT)
- TBD, Associated Students of the University of California (ASUC)
- TBD, Graduate Assembly (GA)

Non-Voting Members

- David Greenbaum, Director, Research Information Technologies, OCIO
- Jenn Stringer, Associate CIO, Academic Engagement, Director of Educational Technology Services
- Scott Shireman, CIO, University Extension

Meeting Frequency

Twice per semester or as needed



IT Architecture and Infrastructure Committee (ITAIC)

Charge

The ITAIC provides input on foundational IT services such as the data and voice network, email, calendar and productivity tools, as well as IT infrastructure services provided at scale, such as database, data center colocation, servers, storage and backup, and more.

Full description of charge and committee information at: technology.berkeley.edu/ITAIC

Members

ITAIC membership is designed to be representative of campus IT leadership.

Voting Members

- **Lyle Nevels, Deputy CIO, Chair**
- **Patricia Donnelly, School of Law, Vice Chair**
- Eric Fraser, College of Engineering
- Brian Waechter, College of letters and Science
- Kevin Cornish, School of Business
- Paul Robles, Student Affairs
- Erik Mitchell, Library
- Neil Maxwell, Research Administration and Compliance
- JR Schulden, Information Services and Technology
- David Fullmer, School of Social Welfare
- Jenn Stringer, Educational Technology Services
- Jerry Yerardi, Campus Shared Services IT
- Angela Dai, Student Technology Council

Non-Voting

- Bill Allison, Director, Architecture Platforms and Integration
- Russ Connacher, Business Architect, IST
- Ben Gross, Manager Endpoint Engineering and Infrastructure, IST-Client Services

Meeting Frequency

Twice per semester or as needed



Information Risk Governance Committee (IRGC)*

Members

Committee membership is designed to be fully representative of the campus.

Voting Members

- **Paul Rivers, Chief Information Security Officer, Co-Chair**
- **Lisa Ho, Campus Privacy Officer, Co-Chair**
- Patrick Schlesinger, Assistant Vice Chancellor, Research Administration and Compliance
- Liz Halimah, Chief of Staff, Equity & Inclusion
- Rosemary Kim, Executive Director, University Relations
- Jeannine Raymond, Assistant Vice Chancellor, Human Resources
- Grace Crvarich, Chief Operating Officer, Real Estate
- Rosemarie Rae, Associate Vice Chancellor, Chief Financial Officer
- Annalee Saxenian, Dean and Professor, School of Information
- Diana Wu, Dean and Executive Director, UC Berkeley Extension
- Steve Sutton, Assistant Vice Chancellor, Student Affairs - RSSP
- Walter Wong, University Registrar, Student Affairs - Admissions & Enrollment
- Chris Patti, Chief Campus Counsel, Legal Affairs
- Paul Schwartz, Professor of Law, Academic Senate
- Ruzena Bajcsy, Director, CITRIS, Academic Senate
- Carl Shapiro, Professor, Haas School of Business, Academic Senate
- Arka Bhattacharya, Graduate Student in Engineering, Graduate Assembly
- TBD Undergraduate Student Representative, ASUC
- Nils Gilman, Associate Chancellor and Chief of Staff

Non-Voting Members

- Hans Gude, Director, Enterprise Risk Services
- Wanda Lynn Riley, Chief Audit Executive, Internal Audit
- TBD, IT Policy Manager
- Subject matter experts may be invited by the IRGC co-chairs to speak on specific topics as required
- IRGC co-chairs will recruit members for CISPC from the campus, acknowledging the recommendations of each IRGC appointee.

Charge

The IRGC provides the campus framework for institutional governance of information risk. Information risk includes, but is not limited to, the broad categories of:

- **Autonomy Privacy** – ability of individuals to conduct activities without observation;
- **Information Security** – protection of all information and information infrastructure;
- **Information Privacy** – appropriate protection, use, and dissemination of information about individuals; and
- **Balancing Process** – for the sometimes-conflicting interests of Autonomy Privacy and Information Security.

Full description of charge and committee information at: technology.berkeley.edu/IRGC

Meeting Frequency Monthly or as needed

*This committee will be part of both the IT governance and Compliance governance structures.

What we will do: Examples

- Review proposals for new systems or services (e.g., a new Travel and Entertainment system; the replacement of BAIRS) and prioritize funding recommendations.
- Make recommendations about services to retire (e.g., review IST services portfolio to help decide how to address deficit situation) or to expand.
- Provide input on proposed new campus IT-related policies (e.g., a new Project Management policy).
- Explore domain specific IT needs (e.g., review the results of the RAE benchmarking analysis; identify architectural standards for campus systems, etc.).

IT Governance will not...

- Make IT investment decisions about unique departmental needs;
- Make decisions about IT issues and investments that don't meet the articulated criteria (slides 14-15);
- Include the management of IT.

Topics/Criteria for Committee Review

Project / Service Proposals: Review/prioritize/recommend new initiatives or projects meeting the following criteria (**proposed**):

- *Impact:* more than one control unit/division/college.
- *Expense:*
 - *Project:* \$300K or higher OR
 - *Operational (ongoing):* \$200K/year or higher OR
 - *Five year TCO:* \$1M or higher
- *Reputational risk:* Significant potential for damaging campus reputation.
- *External mandate:* Required to comply with laws and/or system-wide policies or directives (e.g., UCPath).
- *Reduction of duplication:* Opportunities to significantly reduce duplication of systems, data and/or expense.
- *Potential for broader benefit:* Projects initiated by one department that could also benefit many, or the entire campus.

Topics/Criteria for Committee Review (cont'd)

Strategies and Goals: Review/approve campus IT goals/plans in the area of Administration, Research, Teaching & Learning, and IT Infrastructure.

Emerging Issues: Inform/discuss new issues (e.g., strategic needs, campus security risks, infrastructure challenges, service duplication, etc.).

Policies: Review and provide input to new policies or amendments to existing ones.

Service Abatement: Review/prioritize/recommend services to be retired or decremented under the following conditions (**proposed**):

- *Impact:* more than one control unit/division/college.
- *Abatement project expense:* \$300K or higher.
- *Abatement project timeline:* 6 months or more.
- *Abatement savings:* \$200K or higher.
- NOTE: EADC members expressed interest in seeing anything that we could stop doing, regardless of cost.

A successful IT Governance model will:

- Align IT strategy with campus strategic priorities.
- Ensure IT infrastructure supports critical campus needs.
- Transform business processes by leveraging effective IT solutions.
- Scale IT solutions where appropriate.
- Reduce duplication of IT services across the campus.
- Differentiate IT solutions, as needed.
- Balance business and IT related risks.
- Enable effective decision-making that optimizes IT investments campus-wide.
- Establish appropriate policies to support desired behavior and outcomes in the use of IT.
- Encourage the development of the IT workforce (e.g., training standards)
- Regulate the pace of change related to introduction of new technologies and systems.

A successful IT Governance model will: (cont'd)

- Enable campus to manage administrative operations more efficiently and effectively.
- Support the effective and secure use of data, including access, integration and management.
- Evaluate and quantify the results of IT governance decisions through effective portfolio management.