

IT Governance

**Associate Vice Chancellor for IT and
Chief Information Officer**

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Why IT Governance?

The University of California, Berkeley is complex in both its organization and its technology, requiring that competing information technology (IT) needs be carefully evaluated to ensure the optimal use of limited resources. Information technology decisions makers must therefore balance:

- innovation vs. stability/reliability
- standardization vs. autonomy/experimentation
- accessibility vs. security/privacy
- consensus vs. efficiency in decision making
- centralized vs. distributed services
- proprietary vs. open source

Source: 2005 IT Guiding Principles

Why IT Governance?

In order to help UC Berkeley maximize its investment in information technology, we are proposing an IT governance model that is intended to:

- Improve the integration of IT strategic planning with campus strategic plans and objectives;
- Provide strategic direction and prioritization on critical IT issues and investments;
- Ensure that IT strategy delivers benefit and provides value;
- Establish IT policies that support campus-wide IT priorities;
- Strengthen partnership and alignment across the campus IT community; and
- Ensure existing resources are being prudently invested.

Why IT Governance?

IT Governance focuses on:

- IT Strategic Planning
- Policies
- Priorities
- Resolution of chronic Issues
- Setting an agenda within a constrained budget environment.

It's important to understand the distinction between “governance” and “management.”

IT Governance

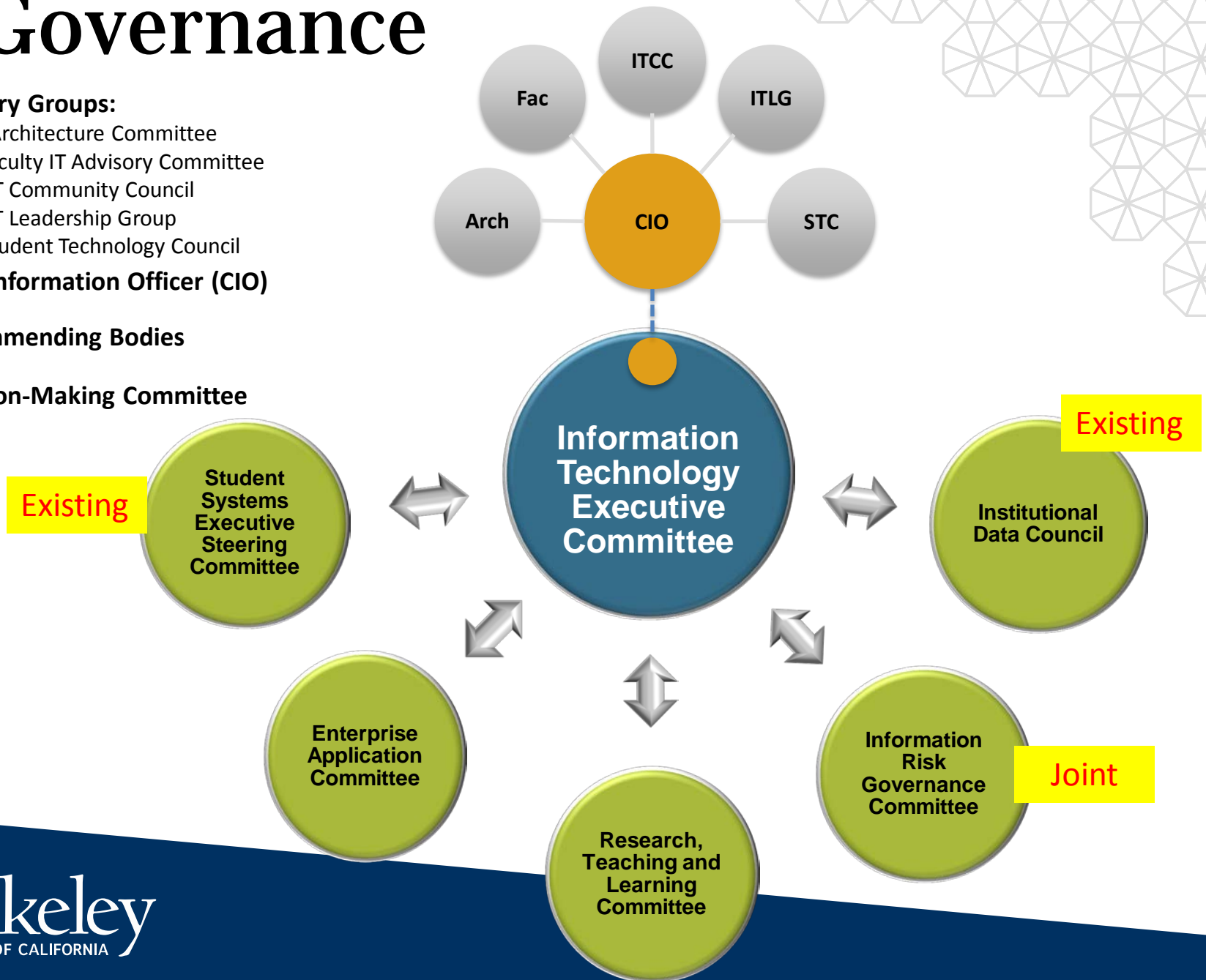
Advisory Groups:

- Arch – Architecture Committee
- Fac – Faculty IT Advisory Committee
- ITCC – IT Community Council
- ITLG – IT Leadership Group
- STC – Student Technology Council

Chief Information Officer (CIO)

Recommending Bodies

Decision-Making Committee



Information Technology Executive Committee (ITEC)



Charge

The ITEC oversees the campus IT governance structure for UC Berkeley, and supports Berkeley's teaching and research missions by reviewing, evaluating, and approving IT strategies, plans, policies and investments regarding the use of information technology.

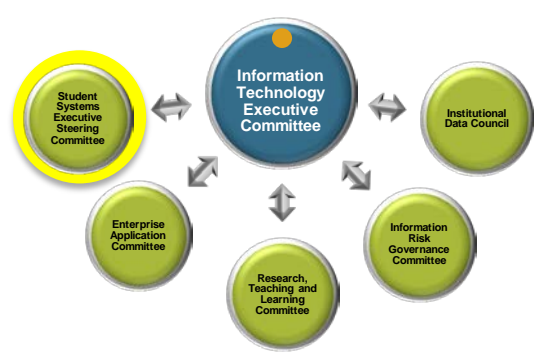
- Assess the campus IT needs for key cohorts, e.g., faculty, students, administrators and staff.
- Review key developments in information technology for potential impacts to, and adoption by, UC Berkeley.
- Assess critical opportunities and actions that will best position UCB to adopt strategic information technologies to support and advance its teaching, learning, research, and service missions.
- Appraise the breadth and scope of the Berkeley's information technology (IT) portfolio to prioritize appropriate investments in new capabilities to support the University's core missions, and to realize efficiencies and cost savings in its business operations.
- Make recommendations to the Chancellor about strategic plans, policies, and funding priorities for information technology at the University.

Members

- Chair (EVCP or VCAF)
 - Vice Chair (CIO)
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- VCAF
 - EVCP
 - CIO
 - VC Research
 - VC Student Affairs
 - VC University Relations
 - Chair or VC of Academic Senate
 - Campus Librarian
 - Campus CFO
 - Academic Deans (2-3)
 - VPTLAPF
 - VP Graduate Studies

Meeting frequency: 3 times/year

Student Systems Executive Steering Committee (SSESC)



Charge

The SSESC is charged with overseeing the implementation of a new student system and development of a comprehensive strategy for investing in, managing, and sustaining the Student Systems environment on the Berkeley campus.

Members are responsible for providing governance (setting priorities and identifying funding) for Student Systems investments; ensuring alignment with campus standards, architecture, and strategic goals; and developing, evolving and ensuring broad campus understanding about the Student Systems Roadmap.

We envision this committee will be combined with the Enterprise Applications Committee after the new student system is implemented.

Members

- Harry Le Grande, VC for Student Affairs - Chair
 - Larry Conrad, AVC for IT and CIO – Vice Chair
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- Claude Steele, EVC and Provost
 - John Wilton, VC for Administration and Finance
 - Catherine Koshland, VP Teaching, Learning, Academic Planning and Facilities
 - Andrew Szeri, VP for Graduate Studies and Dean of the Graduate Division
 - Rosemarie Rae, AVC and CFO
 - Max Gee, GA President
 - DeeJay Pepito, ASUC President
 - Phil Kaminsky, Academic Senate

Existing Committee

Enterprise Applications Committee



Charge

The Enterprise Applications Committee (EAC) is charged with maximizing UC Berkeley's investment in and the effectiveness of enterprise applications, recommending priorities, and ensuring technology projects are evaluated against the impact on the University's mission while supporting the University's strategic plan.

The EAC is tasked with securing understanding, agreement, and ownership between campus unit management and IT in order to make responsible decisions regarding University resources including reviewing and directing the development of cost/benefit analyses and developing structures for the prioritization of application initiatives and enhancements.

Members

- Member name, title - Chair
- Member name, title – Vice Chair

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- Research
 - Finance
 - HR
 - BAS
 - Facilities
 - IST – DCIO
 - U Relations
 - CAOs (2-3)
 - CSS
 - Internal Audit/Compliance

NOTE: SSEC may be rolled into this committee after the new student system is implemented. Make-up of the Committee will be reviewed at that time.

Research, Teaching and Learning Committee



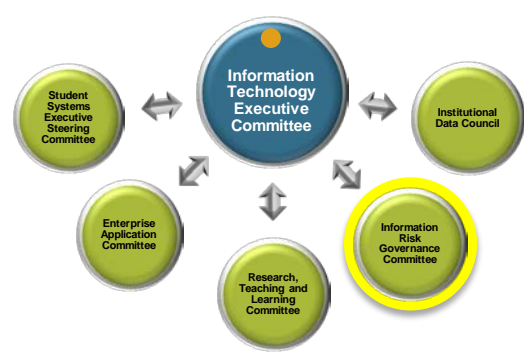
Charge

The Research, Teaching and Learning Committee supports UC Berkeley's teaching and learning and research missions by reviewing, evaluating, and recommending strategies, plans, and policies regarding Research and Academic Engagement (RAE) IT projects and services. The committee solicits input from key stakeholders and advisory groups across the campus to ensure that institutional needs are being met and decisions are in alignment with the campus strategic direction.

Members

- Member name, title - Chair
 - Member name, title – Vice Chair
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- VCR Office
 - Educational Technology Services
 - IST Research IT
 - Center for T&L
 - Acad. Senate Committee on Research (COR)
 - Acad. Senate Committee on Educational Policy (CEP)
 - Acad. Senate Committee on Teaching (COT)
 - Engineering
 - Bio Sciences
 - Social Sciences
 - Humanities
 - Natural Resources
 - Professional Schools (2)
 - Library
 - ASUC and GA (1 each)
 - Research Units (2)
 - BRCOE
 - L&S Mathematical and Sciences Division

Information Risk Governance Committee (IRGC)



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.

IRGC is authorized by the Compliance, Accountability, Risk and Ethics (CARE) committee to make information risk decisions on behalf of the campus, and serves as the escalation path to obtain the highest level of campus attention to privacy and security issues. IRGC is supported by and advised by CISPC-Tech, a campus representative group of information technology practitioners.

Members

- Campus Chief Information Security and Privacy Officers – Co-Chairs
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- VCAF (4): HR, BAS, CFO, IT
 - Equity and Inclusion (1)
 - Legal (1)
 - Provost: (2) Deans
 - Research (1)
 - Student Affairs: (2)
 - University Relations (1)
 - Academic Senate (3)
 - GA student (1)
 - ASUC student (1)

Existing Committee which will be part of both the IT governance and Compliance governance structures

Institutional Data Council



Charge

NOTE: no formal charge exists for the IDC. The following roles were articulated as part of the IDMG work:

- Advise the AVC-BRP about institutional data directions and priorities, including the alignment of other data-related efforts;
- Develop principles to guide the development, selection, and prioritization of solutions;
- Support the resolution of specific issues and questions related to the implementation of the IDMG recommendations at a comprehensive, campus-wide level; and
- Provide campus perspective on institutional data needs.

Members

- Rosemary Rae, AVC and CFO – Chair

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- Gibor Basri, VC, E&I
 - Scott Bidy, VC, University Relations
 - Cathy Koshland, VPTLAPF
 - Harry LeGrande, VC, Student Affairs
 - Jeannine Raymond, VC, HR
 - Delphine Regalia, AVC & Controller
 - Tyler Stovall, Dean, U/G Division, L&S
 - Andrew Szeri, Dean, Grad Division
 - Larry Conrad, AVC-IT & CFO
 - TBD, Exec. Dir., Office of Planning & Analysis

Existing Committee—will need to revisit membership and scope as part of a larger IT Governance Structure

IT Governance Questions

To what extent are these decision-making or input committees? What kinds of things come to the committees?

- The ITEC is a decision-making body
- The sub-committees make recommendations to the ITEC
- The ITEC is the final authority for IT decision-making for the campus
- Committee minutes will explicitly include formal assignments from each meeting

How do the decision-making/input processes intersect with budgetary decisions/processes?

- The normal budgetary process of the University will be followed
- However, the make-up of the ITEC is intended to ensure no decisions are made which cannot be funded

What is the relationship between these bodies and program/portfolio management bodies? (i.e., how are the projects and outcomes of the decisions/funding allocation by this committee overseen and measured?)

- The project and portfolio infrastructure in support of the governance model will be developed as part of the model's implementation.

IT Governance Questions



What is the process for selecting members?

- Membership is defined by each committee's charter
- The charters are approved by the EVCP and VCAF

How do these bodies interrelate?

- The chairs of the subcommittees will attend ITEC meetings as non-voting members
- The sub-committees make recommendations to the ITEC

What is the connection of these bodies to the overall institutional strategy/strategies?

- ITEC will approve the IT strategic plan which will be in support of institutional strategies

How are these bodies supported/staffed?

- OCIO will provide staff support for ITEC, as well as for the subcommittees, if desired by the chairs

How is broader campus feedback built into the model?

- Committee membership is selected to ensure participation by the broad set of campus constituencies
- In addition, feedback from the CIO's advisory groups are represented at ITEC by the CIO



Questions?