



IT Governance Planning Report

August 1, 2016



UNIVERSITY
of ALASKA

Many Traditions One Alaska

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Executive Summary

University of Alaska leaders participated in the IT Governance Planning Workshop sponsored by the Office of Information Technology on June 29-30, 2016 with the goal of enhancing the IT governance model. This report reviews the workshop objectives and methodologies, working session overviews, and recommended next steps in implementing the IT governance structure.

The findings and recommendations outlined in this *IT Governance Planning Report* serve as a complement to the delivered *IT Governance Planning PowerPoint Resource*. The consultant remains available to provide objective advisement and input as the IT Council (ITC) continues to implement their model.

Workshop Objectives and Methodology

The IT Governance Planning Service supports institutions to establish a working foundation for decision-making and management of technology in support of institutional goals. The objective of the planning engagement is to assess the current structure and identify governance needs, then develop the governance structure, charter, membership, roles and responsibilities, and committee guidelines. The purpose of the governance planning service is to support effective collaboration at all levels and on all matters related to technology. The goal of this approach is to provide the senior leadership of the institution with the best possible combination of advice and counsel on technology as a major success factor in achieving the institution's mission.

The **general agenda** for the Ellucian University workshop was:

- Wednesday, June 29
 - Introduction
 - Defining IT Governance Objectives
 - Understanding Key Themes for IT Governance
 - Aligning Governance with University of Alaska Values
 - Identifying the University of Alaska's IT Governance Structure and Model
 - Defining the Level 1 Team
 - The Level 1 Charter
 - Identifying Current Priorities for Level 2 and Level 3 Teams
- Thursday, June 30
 - Reviewing Level 1 IT Council
 - Defining the Level 2 Enterprise Systems Team
 - Discussing Communication Plan Components
 - Outlining Annual Process for Assessment
 - Considering Next Steps for Implementing Governance Model

The workshop was facilitated by Dr. Tim Coley, Principal Strategic Consultant for Ellucian, and Dr. Valerie Mead, Senior Services Architect for Ellucian. Appointees to the IT Governance Planning Team included:

Executive leadership

- Jim Johnsen, President
- Tom Case, Chancellor UAA
- Rick Caulfield, Chancellor UAS
- Mike Powers, Chancellor UAF
- Karl Kowalski, Chief IT Officer
- Jim Bates, Business Improvement Group, Inc.

University of Alaska Anchorage

- Vince Yelmene, IS Manager Matsu College
- Charlene Robertson, Accounting Services Manager

- Pat Shier, Chief Information Officer/Associate Vice Chancellor
- Cathy Ewing, Interim Director of Admissions
- James Sandoval, Fiscal Manager, College of Engineering
- Bill Spindle, Vice Chancellor of Administrative Services

University of Alaska Fairbanks

- Martha Mason, Exec Director User Services, UAF CIO
- Julie Queen, Director Office of Management and Budget
- Raaj Kurapati, Associate Vice Chancellor
- Mike Earnest, Registrar & Director of Enrollment Services
- Gwen Bryson, Manager Research Computing Services
- Gwen Gruenig, Associate Vice President for Institutional Research, Planning and Analysis

University of Alaska Southeast

- Dr. Karen Carey, Provost
- Dr. Priscilla Schulte, Ketchikan Campus Director
- Mona Yarnall, UAS Information Technology
- Michael Ciri, Vice Chancellor Administration/CIO
- Susie Feero, Assistant Professor, Information Systems

Faculty Alliance Appointments

- Cecile Lardon, Faculty Alliance Chair, Associate Prof Psychology
- David Fitzgerald, Professor, Information Systems and Decision Science, UAA
- David Marvel, Faculty Center for Teacher Education, UAS

Presidential Appointments

- Kelli McGee, Chief Human Resources Officer
- Saichi Oba, AVP Student Services
- Dan White, Vice President Academic Affairs and Research
- Michelle Rizk, Vice President Strategy, Planning and Budget
- Mary Gower, Director of Enrollment Services

Purpose and Characteristics of IT Governance

The **purpose of the planning process** is ultimately to define and implement IT governance for the University of Alaska that:

- Advances the management of technology in support of the institution's goals and strategic priorities with a student-centric focus
- Applies consistent and legitimate processes for decision-making
- Prioritizes the allocation of relevant resources for implementing technology projects and initiatives
- Promotes transparency, sharing information, building consensus, and collaboration among constituents
- Clarifies the governance structure, charter, membership, roles and responsibilities and committee guidelines

IT governance serves to clarify the decision rights and the accountability framework. The decision rights are not about specific decisions, but who has input, who makes decisions, and who sets priorities. The accountability framework addresses who is held accountable for decisions and how decisions are made and communicated.

A recent EDUCAUSE survey on IT governance lists several of the general drivers for a governance plan:

- Aligning IT goals with institutional goals
- Promoting institution-wide view of IT

- Resolving conflicting priorities
- Addressing increased demand for IT services
- Budget reductions and increasing costs
- Increasing efficiency in use of resources
- Responding to institutional culture: expectations for community input
- Increase transparency in decision making

We discussed the importance of the IT governance structure and procedures aligning with the University of Alaska mission and values.

- IT governance should ensure that technology promotes the institutional mission: *The University of Alaska inspires learning, and advances and disseminates knowledge through teaching, research, and public service, emphasizing the North and its diverse peoples.*
- IT governance should reflect the institutional values:
 - *Unity in promoting communication and collaboration*
 - *Accountability to our students, faculty, staff, alumni, and the diverse peoples of Alaska*
 - *Leadership for Alaska's people and institutions*
 - *Excellence in our programs and services*
 - *Accessibility for all Alaskans*
 - *Dedication to serving community needs*
 - *Stewardship of our resources*

The participants discussed why IT governance is needed at the University of Alaska. **Effective** governance will provide:

- Alignment
- Prioritization
- Realistic expectations
- Resource utilization
- Strategic investment
- Transparency
- Accountability
- Identification and reduction of risk
- Navigating opportunities, both internal and external
- Equity based on merit of idea
- Collaboration
- Efficiency
- Facilitate and drive change
- Buy-in from stakeholders
- Performance management
- Framework for competing priorities

We discussed the common characteristics of **ineffective** IT governance, including:

- Poor leadership
- Lack of integrity and trust
- Competition
- Issues of control and ownership
- Lack of execution
- Piecemeal approach
- Overly complicated

The participants described the **current state** of IT governance as characterized by:

- We expend 95% of our efforts to “keep the lights on”
- Silos
- Disjointed
- Not transparent

- Mysterious
- Personality-driven
- Inconsistent interpretations and application of practices
- Project-driven
- Very short-term
- Ground-level driven
- Open and not defensive
- Providing local solutions to problems
- Empowering
- Responsive
- Missing faculty
- Addressing processes at a high level, but not adequately at lower levels
- Not flexible enough to adapt
- Focused on relatively smaller needs
- A “patch” approach
- Needed when we encounter a barrier
- Providing a route of appeal

The participants discussed the characteristics which **successful** IT governance in the future should look like for the University of Alaska:

- Enhancing communication
- Goals and objectives driven by governance
- Providing a common vision
- Attracting participation
- Improving engagement
- Having an easily perceived value
- Promoting innovation
- Achieving long-term objectives
- Promoting commitment and buy-in by all
- Optimizing local goals integrating with system goals
- Being transparent and timely regarding decisions
- Providing accountability
- Improving learning, teaching and research, and service
- Providing informal connections to OIT
- Clear on what governance is and is not

We also discussed how effective IT governance promotes partnerships among institutional leaders and other governance groups. This sense of partnership relates to ownership and is a greater commitment than cooperation or collaboration. The participants indicated this has not been a strength of IT governance in the past.

University of Alaska IT Governance Model

We examined a three-tiered approach for a committee structure. The Level 1 team provides general leadership for campus technology and makes recommendations to the University of Alaska Summit Team. The Level 2 teams are those functional or standing committees which monitor perennial, longer-term issues and advise the Level 1 Team. The Level 3 teams are the Task Forces which focus on defined projects.

Level 1 Team

- General leadership / Policy management
- Accountable to President and Summit Team
- Relies on Standing Committees and Task Forces for technical & functional/operational knowledge
- Responsible for:
 - Reviewing and approving technology strategic and operational plans
 - Approving strategic priorities for technology
 - Reviewing and approving proposed technology policies
 - Recommending technology projects for approval/funding (as appropriate)

Level 2 Standing Committees

- Ongoing technology management
- Focused on specific business or functional needs in relation to technology, such as:
 - Academic/Instructional Technology
 - Security Issues
 - Hardware/software Purchases
 - Reporting Management
 - Data Management
- Standing Committees represent ongoing, continuing functional areas
- Membership
 - Knowledgeable chairperson and members
 - IT organization represented (not dominant)
- Responsible for:
 - Prioritizing technology proposals and initiatives
 - Providing recommendations to the Level 1 Team
 - Being a source for technology knowledge

Level 3 Task Forces

- Focused on identifying a solution to a specific one-time technology-related issue
- Examples include:
 - Technology Training Task Force
 - Employee Onboarding Process
 - Software Upgrade Process
- Membership
 - Knowledgeable chairperson and members
 - IT organization representation
 - Requires deeper level of technical & process knowledge than the Level 1 Team
- Duration: Short-term (Defined expiration date / event)
- Responsible for:
 - Providing recommendations to the Level 1 Team
 - Serving as a source of technology knowledge

Table 1 below outlines some of the key themes for each of the three levels of governance structure.

	Team Name	Scope	Focus	Knowledge Base
Level 1	IT Council	Institutional	Strategic Integrated Long-term	Technology and Business of Higher Education
Level 2	IT Standing Committees	Business Processes / Key Functions	Proactive Ongoing	Technology and General Functions
Level 3	IT Task Forces	Issue-based	Responsive Concrete	Technology and Specific Projects

Table 1

Figure 1 below provides an overview of how the governance structure may be represented in an organizational chart.

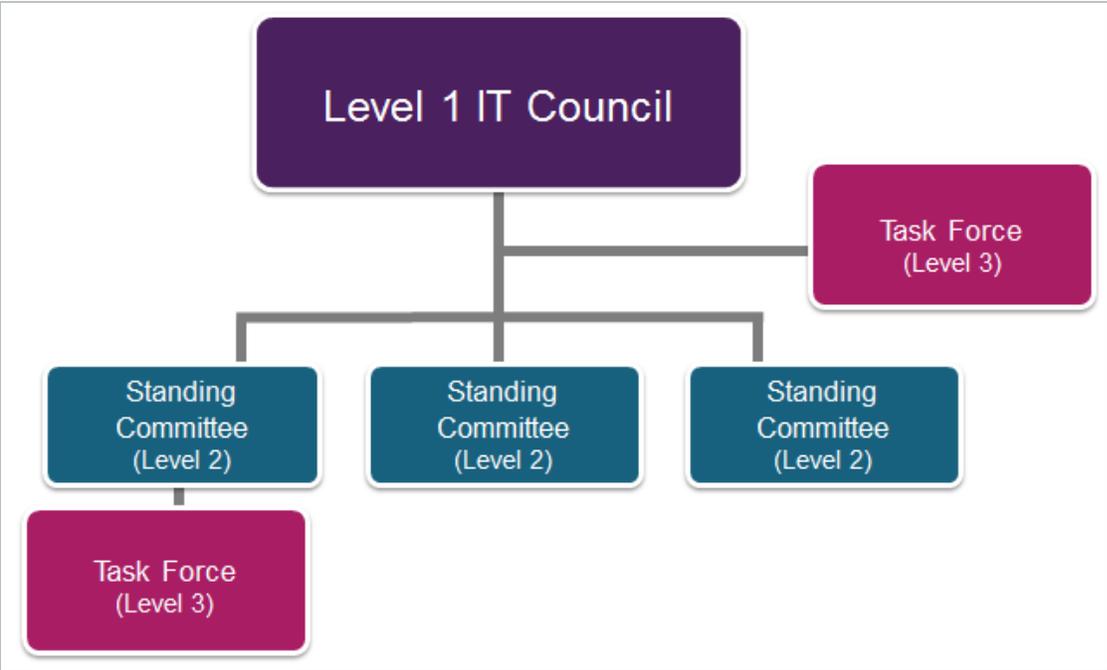


Figure 1

Level 1 IT Council

The participants discussed the general characteristics for the Level 1 Team, which they named the IT Council (ITC). The key themes included:

- Integrated
- Transparent
- Global scope
- Promotes alignment
- Priority for mission and student success
- Advisory to the Summit Team
- Identify the technology to achieve UA strategic goals
- Provide direction for the allocation of resources
- Provide recommendations and/or options to the President and the Summit Team
- Resolve issues pertaining to our “one-ness” and “three-ness” and “campus-ness”
- Guide technology policy
- Promote partnerships among institutional leaders and governance groups
- Transcend our current state of 95% of our efforts going to “keeping the lights on”

We utilized the following framework to define each governance team:

- Scope of Responsibility
- Level of Authority
- Purpose and Charter Statement
- Value Statement
- Procedures/Processes
- Membership/Roles

Scope of Responsibility

The ITC’s responsibility encompasses:

- Service to our key constituencies: Students, Academic/Research, and Administrative
- Integration with other governance teams
- Networking
- Global, standardized services
- Centers of excellence
- Alignment
- A priority for student success
- Coordination with Statewide Academic Council (SAC); SAC sets academic programs, policies, and regulations
- Advisory to Summit Team
- Drafting proposed policies for consideration by Summit Team
- Provide accountability for IT teams
- Identify technology needed to achieve the strategic goals adopted by Summit Team
- Serve as the IT voice for Summit Team
- Provide direction and recommendations for the allocation of resources

Level of Authority

The ITC’s authority relates to:

- Making strong recommendations to the Summit Team
- Collaborating with the SAC
- Addressing system-wide issues
- Setting procedures for compliance issues
- We will continue to define: What decisions will ITC make? What types of decisions would ITC consider?
- We are lacking a current cross-functional with a system-wide impact
- Direct changes to processes and/or methodology

Purpose and Charter Statement

The participants considered such themes as:

- Set priorities
- Resource maintenance / allocation
- Ensure appropriate analysis to effectively deploy and implement technology decisions
- Make policy recommendations
- Designate Level 2 and Level 3 teams

We discussed what types of decisions Level 1 should take on, including:

- Prioritization of projects
- Appropriate analysis of data
- Strategic reporting of data

We developed a draft of the Purpose and Charter Statement:

The IT Council (ITC) provides recommendations and coordination of University of Alaska IT strategy and policy in order to support UA mission fulfillment and effective stewardship of resources. In so doing, the ITC is accountable to the UA Summit Team and coordinates closely with peer governance groups.

Value Statement

The participants discussed how ITC would be guided by the following values and principles:

- Collaborative perspective
- Transparency and accountability
- Honor our current institutional policies
- Attention to mission
- Timely response
- Critical review of functions and solutions
- Efficiency
- Respect

Procedures / Processes

The IT Council will follow these general procedures:

- Generally follow the organizational procedures of the Statewide Academic Council (SAC)
- Meet once a month
- Consider meeting on a consistent day of the week or month
- Use a consistent template for the agenda
- An informal call for agenda items
 - ITC members
 - Level 2 Team chairs
 - Task Force chairs
- The agenda is shared in advance with those participating
- ITC meetings will not be open to the general public, but will invite others to participate as needed
- ITC decisions will be made by consensus, generally not requiring a formal vote, and driven by values
 - **Recommendation:** *In our experience, this type of team will have issues that will require a more formal decision-making process. The typical approach is to conduct a vote. We recommend that this team clarify members' voting rights (e.g., ex officio members do not vote) and percentage of votes to finalize a decision (i.e., a simple majority or 2/3 of the votes).*
- ITC will escalate issues to the Summit Team

Membership / Roles

General points for ITC membership include:

- The IT Council will function as the senior IT planning and governance group for campus. We recommend key leaders from across the institution serve on the IT Council.
- ITC will follow the pattern of existing councils, such as SAC

ITC Chair:

- The Chief IT Officer will serve as chair

Proposed members:

- Chief IT Officer (chair)
- UA Anchorage CIO
- UA Fairbanks CIO
- UA Southeast CIO
- Chief Financial Officer
- Chief Human Resources Officer
- Chief Student Services Officer
- Faculty Governance Representative
- Staff Governance Representative
- Student Government Representative
- Vice President, Academic Affairs and Research
- Vice President, Strategy, Planning and Budget
- Community Campus Director

Terms of service on ITC:

- A two-year appointment
- An even / odd year rotation, to ensure we do not have a majority rotating off in the same year
- New members identified and formally appointed by letter from the President

General expectations of members:

- Attend and participate in monthly meetings
- Potentially chair / serve on Level 2 Teams or Level 3 Task Forces
- Review materials relevant to committee work
- Conduct appropriate research for specific technology issues
- Represent member's constituency, and report information to colleagues
- Actively participate in the strategic planning

Level 2 Teams: General Principles

Scope and Authority

Level 2 Teams have these general responsibilities:

- To identify technology-related issues and recommend solutions for ITC consideration
- To consider and recommend key procedural needs for ITC consideration
- To analyze needs and identify incomplete services
- To recommend priorities for technology efforts
- To collaborate on developing strategic plans for technology services
- To perform an annual evaluation of its effectiveness of IT governance in advancing the IT Strategic Plan
- To provide feedback on general IT performance in the constituent community

Purpose and Charter

Level 2 Team charter statements can be developed by ITC, or drafted by the Level 2 Team to be approved by ITC. Each Level Two Team charter is informed by the Advisory Committee charter, as well by general principles including:

- To provide recommendations to ITC
- To set direction for campus rules and procedures
- To collaborate with OIT on relevant projects
- To coordinate, collaborate, and cooperate with other committees and teams
- To meet on a regular and defined basis, as deemed necessary by the chair

Values

- To thoroughly investigate issues prior to making recommendations
- To set campus rules and procedures which empower users
- To proactively work to prevent issues
- To monitor functions on an ongoing basis

Procedures / Processes

Level 2 Teams will follow these procedures:

- Regularly scheduled meetings, the frequency may vary by Team
- Circulate the agenda for review prior to the meeting
- Issues that need to be escalated will be referred to ITC
- Decisions will be made by consensus, generally not requiring a formal vote

Membership / Roles

The key points for Level 2 Team membership include:

- Members are appointed following the standard University process
- Members represent their constituencies
- A ITC Member may serve on a Level 2 Team, perhaps (but not necessarily) as chair
- Consider a two-year appointment rotation for serving on a Level 2 Team

Team members' responsibilities include:

- Attend and participate in scheduled meetings
- Review materials relevant to committee work
- Conduct appropriate research for specific technology issues
- Represent member's constituency, and report information to colleagues
- Contribute to IT strategic planning

Level 2 Enterprise Systems Team

The participants discussed that an initial Level 2 team was needed to focus on enterprise resource planning (ERP) systems, including Banner. The participants provide substantial feedback for the development of the Enterprise Systems Team (EST).

Scope of Responsibility

The participants discussed the following points:

- The EST will address both academic and administrative technology issues
- The Enterprise Systems Team will recommend priority initiatives and policies to the IT Council
- The EST will recommend relevant procedures
- The EST will coordinate solution integration with Banner
- The EST will analyze needs and identify priorities for projects

The EST's responsibility encompasses a variety of **enterprise systems** including:

- Banner
- PageUp
- Luminis
- OnBase
- EasyBiz
- AIM
- Payment Gateway
- Maxient
- Enrollment Rx
- Blackboard Transact
- TEM
- Raiser's Edge

Level of Authority

The participants discussed the Enterprise Systems Team's level of authority related to these themes:

- The EST will make informed recommendations to the IT Council
- The EST will create, oversee and sustain Task Forces
- The EST will oversee additional Level 2 teams; e.g. Banner Student Team (BST)
- The EST will escalate issues to the IT Council

Purpose and Charter Statement

The participants considered such themes as:

- To oversee performance of the ERP systems
 - To ensure fuller utilization of system features
 - To minimize customizations and move to Banner Baseline
 - To establish functional outcomes with continuous process improvement while sustaining a cost-confined environment
 - To prepare for transition to XE for Banner
- To provide project and policy recommendations to the ITC
- To collaborate with other Standing Committees on relevant systems operation

Value Statement

The participants discussed how EST would be guided by the following values and principles:

- These systems are generally not differentiating factors; not points of distinction; we do not aspire to be on the cutting edge
- These systems must be cost effective
- These systems must be customer focused
- These systems must support the University of Alaska mission
- These systems must provide a high degree of consistency
- These systems must be responsive with a high degree of timeliness
- These systems must lead to continuous improvement in our functions and processes
- The EST values:
 - Consistent and efficient processes
 - Transparency of operations and decision-making
 - Alignment of functions and processes with enterprise systems
 - Accountability for achieving measurable outcomes

Procedures / Processes

The Enterprise Systems Team will follow these general procedures:

- Regularly scheduled monthly meetings

- The EST chair will circulate the agenda for review approximately one week prior to the meeting
- The meetings will be open to the public
- Issues that need to be escalated will be referred to ITC
- Decisions will be made by consensus, generally not requiring a formal vote

Membership / Roles

General points for EST membership include:

- Include Institutional Research
- Include Security expertise
- Include liaisons to other Level 2 teams
- Include Procurement expertise
- Include Legal expertise

Proposal Review

The participants discussed the following themes:

- Does an existing solution exist within the University of Alaska?
- Does the solution scale up and down?
- Consider up-front and down-stream costs
- Consider data models and security issues
- Consider interdependencies with existing systems
- We must gather good reliable data with which to make decisions
- We must have a 1-page simple form for proposals
- We must keep the process simple and easy, yet require the amount of detail in the proposal that is needed
- We must have an efficient process to review requests at the Campus level
- We can review proposal based on “tracks”:
 - New initiative
 - Change to current process
 - Tasks
- Vendors should provide references and maintenance requirements
- We must have external data and validation for proposals
- We must consider total cost of ownership for a proposal
- We must provide consultative value and support for the proposal intake process, prior to the proposal being evaluated
- The IT staff should engage with the proposer early in the process
- How to get to “yes” with proposals connected to the mission

Figure 2 below provides an overview of how the University of Alaska governance structure may be represented in an organizational chart. The Level 2 teams represented in turquoise (e.g., BST) are examples of current teams which may report to the newly-designed Level 2 EST.

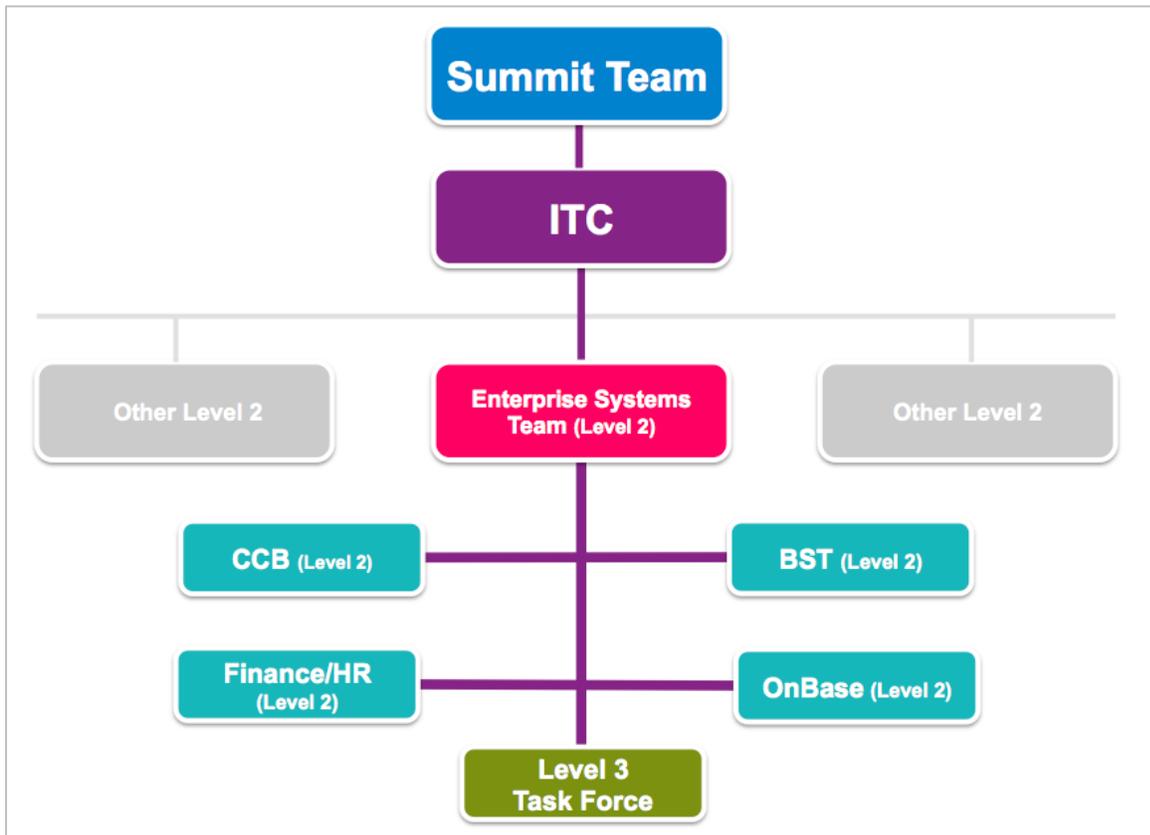


Figure 2

Additional Level 2 Teams

Along with the Enterprise Systems Team, the participants discussed potential Level 2 Teams including:

- Academic and Instructional Technology
- Infrastructure and Network
- User Services / Desktop Support
- Technology Planning
- Security
- Data Governance

The IT Council will create and commission these and other teams as it deems appropriate.

Additionally, ITC will review current governance teams to determine overlap with newly created Level 1, 2, and 3 IT governance teams. ITC will make the determination to either:

- Transfer membership to a new governance group (with the same or perhaps different name)
- Modify (e.g., change purpose or membership) the current governance group
- Eliminate the current governance group

Level 3 Task Forces: General Principles

Scope and Authority

Level 3 Task Forces have these general responsibilities:

- To perform a defined project or task
- To focus on identifying a solution to a specific technology-related issue
- To provide recommendations to ITC or appropriate Level 2 Team
- To serve as a resource for technology knowledge and expertise

Purpose and Charter

Task Force charter statements can be developed by ITC, or drafted by the Task Force to be approved by ITC. Each Task Force charter is informed by the ITC charter, as well by general principles including:

- To complete projects or provide recommendations, as directed by ITC
- To respond to campus and departmental issues
- To monitor specific projects on a defined timeline
- To collaborate with OIT on relevant projects
- To meet on a regular and defined basis, as deemed necessary by the chair or ITC
- To disband when our project is complete

Values

- To thoroughly investigate issues prior to making recommendations
- To set campus rules and procedures which empower users
- To proactively work to prevent issues
- To monitor functions on an ongoing basis

Procedures / Processes

Task Forces will generally follow these procedures:

- Regularly scheduled meetings, may vary by Task Force
- Circulate the agenda for review prior to the meeting
- Issues that need to be escalated will be referred to ITC
- Decisions will be made by consensus, generally not requiring a formal vote

Membership / Roles

The **key points** for Level Three membership include:

- Members are appointed following the regular University process
- Members represent their constituencies
- A ITC Member may serve on a Task Force, perhaps (but not necessarily) as chair
- This is a relatively short-term appointment (compared to Level 1 and Level 2), with a defined project end-date

Task Force members' **responsibilities** include:

- Attend and participate in scheduled meetings
- Review materials relevant to committee work
- Conduct appropriate research for specific technology issues
- Represent member's constituency, and report information to colleagues

Communication Plan Recommendations

Clear communication to the University of Alaska community was discussed as an important theme for IT governance. Some of the **desired objectives** for communication are:

- To increase awareness of issues

- To set reasonable expectations for technology
- To provide an ongoing connection with strategic priorities and goals
- To appropriately change culture
- To ensure transparency
- To maintain credibility
- To provide consistent direction
- To promote the use of the defined process
- To foster partnership, working together on common goals
- To strengthen alignment
- To improve accountability

The participants identified several **key themes** for communicating messages about IT governance:

- Use of models and diagrams to communicate processes
- Effective use of FAQs
- Facilitation of 2-way communication and feedback
- Partnerships among leaders and governance teams
- Alignment with mission
- Value / Performance
 - Value to users and to the institution
- Effectiveness and efficiency
- Consistency
- Role of governance

Current communication platforms include these information sites:

- Change Control Board (CCB) website
- OnBase Process Requests wiki
- Enterprise Applications Services (EAS) Task Request Document wiki

We recommend a **centralized ITC governance site**. This site would be modeled after the Strategic Pathways site and link with existing sites for other UA Councils. This site would include information for each governance team, including components such as:

- Charter & Goals
- Membership
- Agendas
- Meeting Minutes
- Key Reports
- Outcome Measures
- Evaluation
- Consider portions defined as public vs. private

The **general sequence** of steps for the University of Alaska to communicate about IT governance include:

- Clarify the purpose of Level 1 IT Council
- Introduce the Level 2 Standing Committees
- Introduce the Level 3 Task Forces
- Describe how IT Governance relates to other existing University governance groups
- Inform community about IT Governance website for regular updates
- Provide regular updates to campus leadership teams

Assessment Process for IT Governance

Review and Assessment

Assessment is particularly important in the early stages of implementing the governance structure. We are developing and applying a new model, and there may be aspects for which the model needs adjusting. We consider the review process to include an assessment of the governance structure with a focus on potential revisions of the model.

Organizational changes over time may necessitate changes in the model. For example, consolidation / realignment of programs or divisions could leave an area without representation in the governance process, or might change the kinds of issues important for governance and/or assumptions for governance. As another example, the development of a new academic program could create new demands for IT services; this could result in the reshuffling of priorities and a need to ensure that the new program is accounted for in the governance process.

We expect a university to have evolving needs and priorities. What is most pressing today at the University of Alaska may not be as critical in five years. Ideally your governance model should be flexible enough to accommodate such changes (as it operates on foundational principles), but there may be situations that arise for which there needs to be a defined process for adjusting the governance process.

The **basic principles** for an assessment process are:

- Defining success
 - Decision-making processes
 - Internal functioning of governance teams
 - Not necessarily the project outcomes
- Measuring success
 - Who?
 - What?
 - When?
 - How?
- Interpreting findings
- Using findings for improving processes and outcomes

Defining Success

- What will **successful IT Governance** look like at the University of Alaska? The participants discussed these characteristics:
 - Enhancing communication
 - Goals and objectives driven by governance
 - Providing a common vision
 - Attracting participation
 - Improving engagement
 - Having an easily perceived value
 - Promoting innovation
 - Achieving long-term objectives
 - Promoting commitment and buy-in by all
 - Optimizing local goals integrating with system goals
 - Being transparent and timely regarding decisions
 - Providing accountability
 - Improving learning, teaching and research, and service
 - Providing informal connections to OIT
 - Clear on what governance is and is not
- For Level 1 IT Council
- For Level 2 Enterprise Systems Team

- How is success quantifiable
 - Define the targets or desired outcomes

Measuring Success: Who?

- Level 1 ITC: General performance of IT Governance
 - Feedback from Level 2 Team
 - External feedback from constituents
 - Summit Team
- Level 2 Teams
 - Feedback from Level 1 ITC
 - External feedback from constituents?
- Outcomes are interpreted by the IT Council
- ITC reports findings to the Summit Team

Measuring Success: What?

The participants discussed aspects of governance to be assessed, including:

- Decision-making processes
- Internal functioning of governance teams
- Not necessarily the project outcomes
- Meetings / Participation
- Partnerships / Collaborative Efforts
- Policies / Procedures
- Key Decisions / Recommendations
- Prominent Initiatives

Measuring Success: When?

- Allow time for adequate examples
 - Enough time has passed that the governance practices should have an impact
 - Generally recommend the initial assessment occur approximately 3-6 months after the model is implemented: January 2017
- Responsive to particular needs
- Purposeful, structured review process

Measuring Success: How?

The participants discussed conducting Assessment Sessions to share feedback:

- Have an agenda for dialogue and discussion, with open-ended questions
- Invite the appropriate governance team members (Level 1 for Level 2 feedback, and Level 2 for Level 1 feedback) to participate
- Along with getting feedback, also an opportunity to hear suggestions for improvement

Interpreting Findings

We recommend obtaining information balanced across three types of measures:

- An *outcome measure* of the results of how we are doing
- A *process measure* of how we are doing “behind the scenes”
- A *perception measure* of how satisfied folks are about how they think we’re doing

A key point to analyze is how a particular finding relates to the governance model or structure, or perhaps the finding relates to our execution.

Using Findings for Improvement

- Ongoing Recommendations for Improving Performance
 - Strengths

- Opportunities
- Raising the bar
- Enhancements / Adjustments to the Governance Model
 - The governance model should grow and evolve over time
 - Growth should be through incremental steps
 - Seek long-term success

Next Steps

The participants discussed **key next steps** to focus on:

- **Align** IT governance with the **core principles** of the University of Alaska's Strategic Pathways framework.
- **Communicate and inform constituents** about the new IT governance model
 - Principles and themes of messages
 - Target audience
 - Methods
 - *Michelle Rizk and David Fitzgerald volunteered to lead this effort*
- **Operationalize** the IT governance teams and transition the existing teams
 - New Level 1 IT Council
 - Level 2 Enterprise Systems Team
 - Other Level 2 Teams
 - Level 3 Task Forces
 - Recognize that current IT groups have a strong base of support
 - Create an Implementation Team to provide coordination and oversight
 - *Julie Queen volunteered to lead the Implementation Team*
- **Review current governance teams** to determine overlap with newly created Level 1, 2, and 3 IT governance teams. ITC will make the determination to either:
 - Transfer membership to a new governance group (with the same or perhaps different name)
 - Modify (e.g., change purpose or membership) the current governance group
 - Eliminate the current governance group
- **Evaluate** the effectiveness of the new IT governance model
 - Generally 3-6 months after implementation: January 2017
 - Consider creating a Governance Evaluation Task Force (Level 3 team)
 - Facilitate discussion groups
 - *Karl Kowalski will coordinate with CIOs*