

UNIVERSITY *of* WASHINGTON

Information & Technology Governance  
**Executive Committee Meeting**

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June 24, 2024

2:00-3:20 pm



# Agenda

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<i>Time</i>	<i>Topic</i>	<i>Presenter(s)</i>
2:00	Welcome	Andreas Bohman
2:05	Workday Audits - 2024	Richard Cordova Charlene Hansen
2:20	Future of Data Governance Domain <i>Decision: Proceed to chartering?</i>	Adriana Matesky
3:00	Domain discovery update: Academic Services	Adriana Matesky
3:15	Closing	Andreas Bohman



# Workday Audits - 2024

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Richard Cordova – Executive Director, UW Internal Audit

Charlene Hansen – Associate Director, UW Internal Audit



# Agenda

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- > Overview – Planned UW Workday Audits – Calendar 2024
  - WD Governance / Assignment of Security Roles - Planning
  - WD Change Controls over Security Roles - Planning
  - WD Segregation of Duties – late 2024
  - WD Change Controls over Workday Configurations
  
- > Reimagining the scope for our planned WD Audits based on work of UW-IT and WD security consulting team



# Workday Governance / Assignment of Security Roles

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## Audit Objectives

- Review Governance Structure, Processes and Reporting related to Security Roles.
- Recommend areas for opportunity to improve governance structures

## Audit Scope

- Review documents creating the Governance Committee Structure, Charter, Responsibilities of Subcommittees and any related Policies & Procedures.



# Workday Change Controls over Security Roles

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## Audit Objectives

- Identify Change Control processes approved by UW.
- Review and test change control “control” points.
- Determine if Change Control processes and controls are operating as designed and are operating effectively.

## Audit Scope

- Review requests for changes in security roles of Workday and test for conformance with UW policy.
- Identify inconsistencies and or anomalies in setting security roles over the first 12 months.



# Workday Segregation of Duties

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## Audit Objectives

- Ensure the UW has determined a perspective on Segregation of Duties within WD.
- Identify inconsistencies within the SOD model and identify both issues and areas where we can improve SOD.

## Audit Scope

- Review structure, policies and procedures for reasonableness.
- Run reports to identify potential segregation of duty concerns.
  - > Test identified potential issues
  - > Verify compensating controls
  - > ID potential false positives



# Workday Change Controls over Workday Configurations

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## Audit Objectives

- Evaluate policies & procedures for changing configurations in WD

## Audit Scope

- Identify changes in configurations for last three months and test for conformance to UW policies and procedures
- Identify and test who has the authority to authorize the changes.
- Likely testing period – final months of 2024 and early 2025.





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# Future of Data Governance Domain

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Adriana Matesky, Governance Operations Specialist, UW-IT



# Recap: Key Themes from Stakeholder Interviews

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## Strengths

- > Data domain structure
- > Stewardship model
- > Dedicated participants
- > Key initiatives

## Opportunities

- > Resourcing
  - Operations and initiatives
- > Cross-domain coordination
- > Process improvement
- > Additional standards
- > Review of representation
- > Strategic direction
- > Leadership support
- > Education
  - Participants; leadership; community
- > Organizational change management



## Recap: Goals

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The goal of the data governance model is to implement strategy and enable decision making for data and analytics across the university.

- > Increase direction in decision-making
- > Ensure complete representation
  - Include academic, research and business data
  - Include Seattle, Tacoma and Bothell
- > Streamline the structure and processes
  - Minimize duplicate discussions across domains
  - Optimize the number of groups and processes



# Data Governance within 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 Operations

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

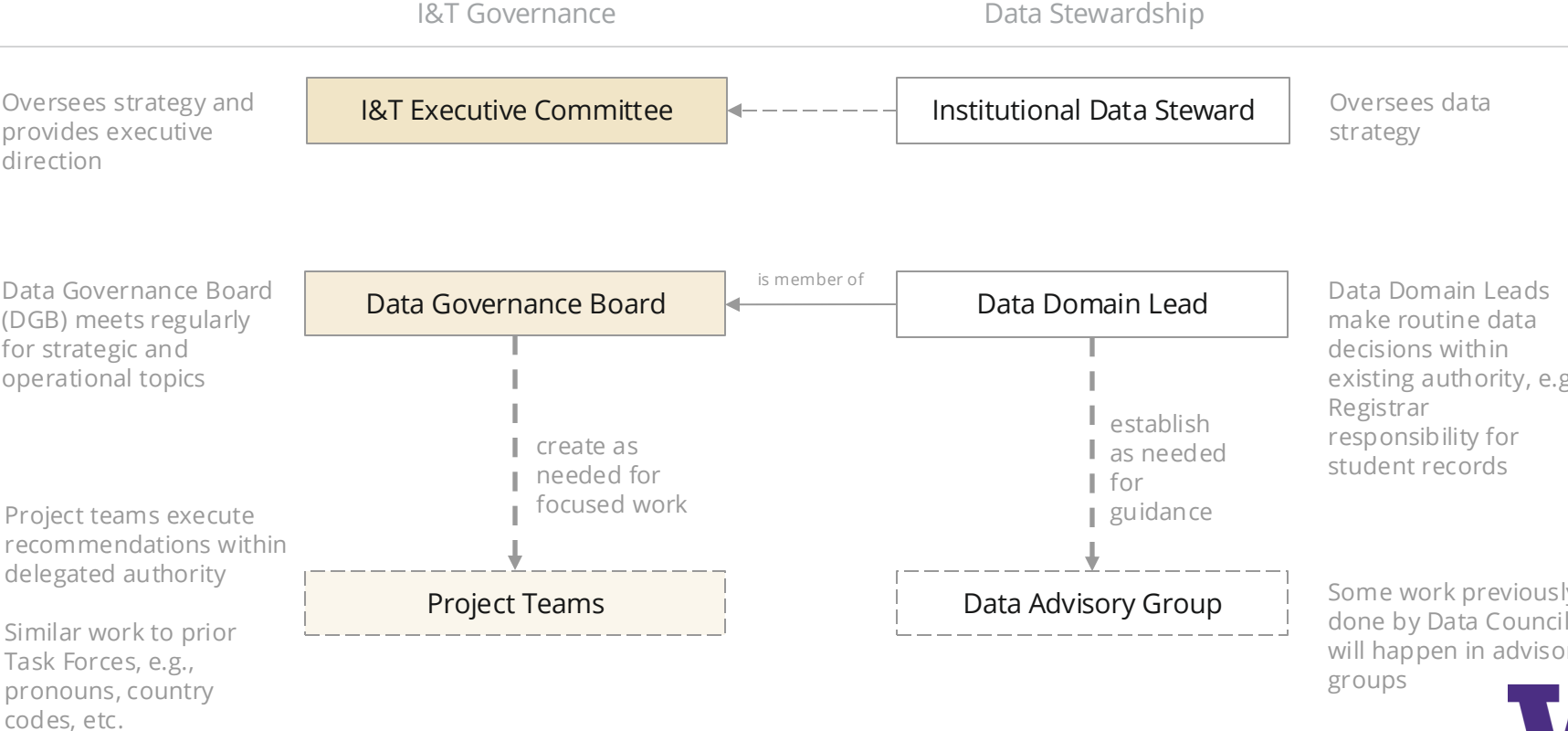
*The initial structure and scope of the domains will be determined in the Chartering phase*

**Supporting functions** coordinate and streamline intake and resolution

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



# Data Governance Straw Model Structure



## Differences from existing structure

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- > Link into the I&T Executive Committee for strategic direction
- > Ensure that new Board represents the whole UW and has the right members to make decisions and drive execution of changes
- > Supported by the I&T Governance operations team
- > Data Domain Councils are no longer required; Data Domain Leads have the option to form an advisory group
- > Project teams will be charged with specific, focused initiatives from the Board for cross-domain initiatives and will tackle work previously done in Task Forces



# Straw Model: Proposed Data Governance Board Membership

<b>Chairs</b>	IT	
	Business	
<b>Members</b>	Data Domain Leads (former DDC Chairs)	
	UW-IT representation	
	Information Security & Privacy	
	Bothell	
	Tacoma	
	UW Medicine	
	College and school representation	
	Institutional Research	



## Discussion

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- > What do you like?
- > What concerns do you have?



# Decision: Proceed with developing a Data Governance charter?

The future structure of data governance is directionally correct

- > Rolls up into the I&T Executive Committee (retiring the existing Steering Committee)
- > Data Domain Councils are no longer required; Data Domain Leads have the option to form an advisory group
- > Carry forward the existing stewardship model (with changes in names of roles)

Member	PRESENT?	YES	NO	Other
Andreas Bohman	x	x		
Sarah Norris Hall				
Jacqueline Cabe	x	x		
Lou Cariello				
Charles Costarella				
Anind Dey	x	x		
Sheila Edwards Lange				
Kristin Esterberg				
Mary Gresch		x		By Michael Visaya
Mindy Kornberg	x	x		
Fredrick Nafukho	x	x		
Simon Neame	x	x		
Eric Neil	x	x		
Mari Ostendorf				
Phil Reid	x	x		
Denzil Suite				
Joy Williamson-Lott				



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# Domain discovery update: Academic Services Domain

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Adriana Matesky, Governance Operations Specialist, UW-IT



# Stakeholder Interviews

			Name	Position	Function
Student Administration	Registration	✓	Helen Garrett	UW Registrar	Admin
		✓	Pamela Lundquist	Bothell Registrar	Admin
		✓	Andrea Coker-Anderson	Tacoma Registrar	Admin
	Student Financial Services				
	Admissions				
	Academic & Student Affairs	✓	Tricia Serio	Provost	Admin
		✓	Phil Reid	VP Academic & Student Affairs	Admin
			Sharon Jones	Bothell	
		Andy Harris	Tacoma		
	✓	Marcus Hirsch	Director, ASA	Technical	
Faculty	Faculty Council Rep (FCITC, FCT&L, FCAS)	✓	Info Tech & Cybersecurity		Faculty
	Faculty Senate		Hillary Godwin		Faculty
Colleges & Schools	Professional Schools	✓	Michael Champion	SOM: Dir Academic & Learning Tech	Technical
		✓	Thayer York	Director of Law IT	Technical
	School of Medicine		Suzanne Allen		
	Graduate School	✓	Erin Crom	Academic Affairs & Planning	Admin
		✓	Andrew Gorohoff	Director-Departmental Computing	Technical
			Joy Williamson-Lott	Dean	Admin
College of Arts & Sciences					
IT	Data & Applications	✓	Pat Dunn	Director	Technical
		✓	Karin Roberts	Director	Technical



# Key themes from interviews

## Opportunities for governance

- Direction of SIS modernization
- Centralized vs side systems and support
- Enterprise strategy to optimize academic services and reduce costs
- Have vs have nots across departments
- Data throughout full student lifecycle
- Seamless process for the student's experience
- Accessible approach to teaching and learning

## Challenges for governance

- Lack of transparency on decisions
- Slow decision making for departments
- Not enough alignment across departments and campuses
- Scope is too large
- Distinction between data domains and academic services
- Distinction between project teams and academic services governance



# Academic Services Domain Purpose

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Academic services domain governs all technology that support the student lifecycle, from recruitment through graduation, including student administration, and teaching and learning.

## Goals:

- > Enable efficient and transparent decision making
- > Continue ongoing decision making within the business to support regular maintenance and operations
- > Alignment with IT and UW strategic goals
- > Build partnership between the business units, academic units and UW-IT



## Assumptions to confirm with Board

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- > Leadership is supportive of governance in this space
- > Focus on offering more shared solutions to be supported centrally
- > Attention will be on creating baseline solutions for enterprise adoption and guardrails for enhancements
- > Decisions made within the governance model regarding waste and redundancy will be supported



# Thank you

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# Thank You!

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7/31 meeting will be hybrid with in-person option in the LAW 115.

Minutes and Materials will be published in a week at:

<https://itconnect.uw.edu/it-at-the-uw/it-governance-and-policies/it-governance/governance-groups/information-technology-executive-committee/>

Please share other ideas for future governance topics using this form:

<https://forms.office.com/r/gwF3Hpqzhg>



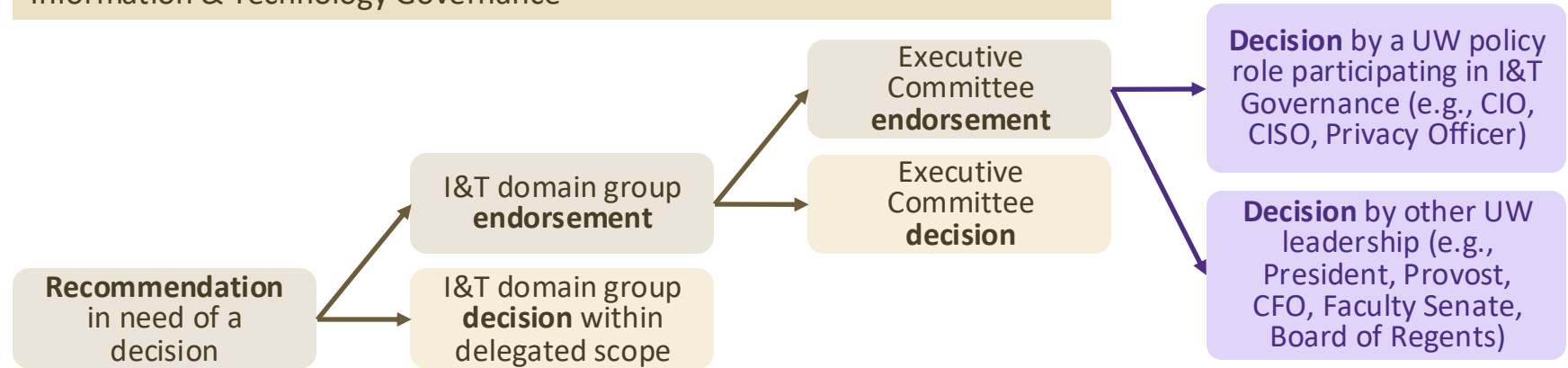
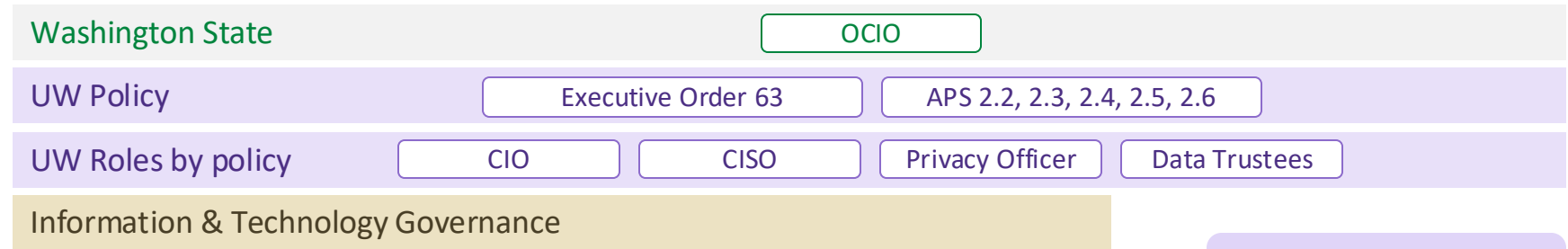


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# Appendices



# Sources of authority and decision flow



- 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



# I&T Executive Committee

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## Co-Chairs:

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

## Members

- > **Jacqueline Cabe**, Chief Financial Officer, UW Medicine; Vice President for Medical Affairs
- > **Lou Cariello**, Vice President, UW Facilities
- > **Charles Costarella**, Associate Teaching Professor, UW Tacoma; Chair, IT & Cybersecurity Faculty Council
- > **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
- > **Denzil J. Suite**, Vice President for Student Life, Office for Student Life
- > **Joy Williamson-Lott**, Dean, The Graduate School



## Timeline for I&T Governance Groups

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

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



## Data Governance stakeholders interviewed

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- **Phil Reid & Marisa Nickle** - Office of the Provost
- **Helen Garrett** - Academic DDC
- **Michael Visaya & Justin Williams** - Advancement DDC
- **Jessica Bertram** - Finance DDC
- **Rachel Gatlin** - Human Resources DDC
- **Cathy Johnson & Steve Tatge** - Property and Space Management DDC
- **Richard Fenger** - Research DDC
- **Adrian Sinkler & Amy Stutesman** - UW Bothell
- **Patrick Pow** - UW Tacoma
- **Daniel Summy** - Finance Planning & Budgeting
- **Jim Kresl** - Research
- **Anne Jozaitis-Hole & Kristal Mauritz-Miller** - UW Medicine
- **Alicia Few** - UW Tacoma IR
- **Anja Canfield-Budde, Bart Pietrzak & Rob McDade** - UW-IT
- **Erin Guthrie** - Finance Planning & Budgeting



# Academic Services and Academic Data Governance

How should governance responsibilities fall across a new Academic Services domain and existing Data Domain Councils?

	Academic Data Domain Council	Academic Services Board
<b>Scope</b>	<ul style="list-style-type: none"> <li>Steward the University's academic data</li> <li><b>Identify</b> non-public data in each data domain</li> <li>Define <b>what groups</b> should have access to it</li> <li>Recommend process improvements to ensure data quality</li> </ul>	<ul style="list-style-type: none"> <li>Govern information and technology that support the student lifecycle</li> <li>Define technology <b>standards</b> to enable access management</li> <li>Prioritize resources to <b>implement</b> access management technology</li> </ul>
<b>Examples</b>		
Pronouns	<ul style="list-style-type: none"> <li>Identify pronoun data set</li> <li>Prioritize analytics and reporting that should reflect pronoun data</li> <li>Work with Privacy Office on appropriate pronoun data controls</li> <li>Work with Faculty Councils (FCITC, FCT&amp;L, FCGEJ) on policy</li> <li>Align with HR DDC, etc.; escalate to Data Governance Board, as needed</li> </ul>	<ul style="list-style-type: none"> <li>Identify requirements for and approve solutions to synchronize pronoun data across systems to meet UW business needs</li> <li>Approve solutions to ensure privacy and security of pronoun data</li> <li>Coordinate with HR&amp;F re: pronouns implementation in Workday and side systems</li> </ul>
Demographics	<ul style="list-style-type: none"> <li>Define "sex" data attribute (currently undefined at UW)</li> <li>Propose prioritization of sex in reporting and analytics</li> <li>Work with Faculty Councils (FCITC, FCT&amp;L, FCGEJ) on policy</li> </ul>	<ul style="list-style-type: none"> <li>Approve prioritization of implementation of sex attribute across systems</li> <li>Approve solutions to ensure privacy and security of sex data attribute</li> </ul>
Use of videos of students	<ul style="list-style-type: none"> <li>Appropriate use of videos that may be subject to FERPA (e.g., class recordings)</li> <li>Determining when student consent is needed to record them (e.g., does enrollment in a class provide such consent?)</li> </ul>	<ul style="list-style-type: none"> <li>Determining suitable/allowable applications for recording videos of students (e.g., UW Panopto, UW Zoom)</li> </ul>
Student ID photos	<ul style="list-style-type: none"> <li>Appropriate use of student ID photos, in coordination with Husky Card program</li> <li>Who should have access to student ID photos</li> </ul>	<ul style="list-style-type: none"> <li>Tools/methods for accessing, storing, and using student ID photos (e.g., UW Canvas for seating charts)</li> <li>Process for requesting/approving access</li> </ul>

