Bi-Weekly Conference Call

Call Time:
11AM Pacific, Noon Mountain, 1PM Central, 2PM Eastern Time

NEW: Zoom for Audio/Video
Meeting ID: 928 4053 9502
Passcode: Itana2020

Agenda:
Conference Calls (Wiki)

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http://itana.org
Agenda

- **Roll Call** (by time zone - East to West)
- **Main Topic - Governing the Solution Space at UW** - Jim Phelps (UWash)
- Itana Org Updates
  - Working Group Updates
  - Steering Committee Update
Governing the Solution Space at UW

Jim Phelps, University of Washington
There’s a shift in maturity at UW

Things are coming to fruition such as: standards under APS 2.3, Guardrails

These set a foundation for:

- More mature solution architecture service
- API governance service
- Security architecture services

These are shifts in maturity to a future in which we can drive to:

- Well-architected solutions

Campus-wide we see shifts:

- SMB asking for more shared services
- Comp Dirs asking to understand what is already available
- Procurement process improvement trying to drive to existing solutions & contracts

IT governance has been maturing

- At the university level, not just UW-IT

Opportunities to drive strategic investment based on

- Capability-driven decision-making
- Architectural standards
- Governance
IT Governance at University of Washington

Information Technology (IT) Governance

IT Strategy Board
- Strategic Plans; Recommend Policies; Funding Strategies
- Guidance on Strategic Direction
- Refer Issues; Provide Input

IT Service Investment Board
- Direction on Changes to Services
- Refer Issues; Provide Input

IT Service Management Board

President
- Provost

TRF Advisory
- Provide Analysis; Identify Issues; Recommendations
- Prioritize Projects; Recommend Funding Levels; TRF Review

Vice President for UW-IT and CIO
- Service and Process Improvement Recommendations
IT Service Management Board Recommendations

Published February, 2020:

“Actionable in the near term. Informative in a larger strategic context.”

1. Enterprise Service Management investment
2. Standardize and consolidate Admissions applications and review systems
3. Implement Student Database improvements and application interface
4. Develop a centralized online software registry
5. Develop and publish guidance for “pre-qualified” Customer Relationship Management systems
6. Promote and support the implementation of 25Live for space scheduling and management
7. Adopt Zoom as the preferred campus-wide solution for video conferencing and collaboration
IT Service Management Board Recommendations

Published October, 2021:

“Recommendations for Increasing Efficiency and Capacity”

1. Improve **Procurement Processes for Software** and Software As A Service

2. Promote the use of centrally funded software, services, and tools

3. Identify and drive efficiencies in application/admissions systems, processes, and data management

4. Enable a **Learning (Training) Management System** for employee compliance training and workforce development
IT Strategy Board - IT Opportunities that UW should pursue

Redacted for publication
Broad Themes of the Conversations

> Strategic investment for campus-wide solutions
> Shared practices (e.g., PMO, Service Management)
> Standardized solutions that should be expanded
> Stronger role of Central IT
First Maturity Shift

Away From:
Leave us alone and we will do it ourselves just give us the money and resources.

Towards:
We need standard solutions to these problems.
IT Procurement Continuous Improvement Program
Process Scope

The scope we are looking at is the complex life-cycle of an IT Procurement from the first idea that an IT solution is needed, throughout the entire lifecycle of procuring that solution, implementing it and finally retiring the solution. The main focus of our effort so far is in the first part of this lifecycle up to implementation below.

The procurements that are in scope are those that “trigger some type of compliance review”. We are not talking about keyboards and mice, or simpler ProCard or Ariba Catalog purchases.
Our journey mapping work indicates that each new procurement varies greatly. We have summarized these observations:

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<td><strong>Doing</strong></td>
<td><strong>Thinking</strong></td>
<td><strong>Feeling</strong></td>
<td><strong>Pain Points</strong></td>
<td><strong>Opportunities</strong></td>
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<tr>
<td>● Wide range of starting points, from no requirements to a solution already selected</td>
<td>● Many unknowns; these may be known or unknown depending on experience</td>
<td>● Uncertain or frustrated about the process</td>
<td>● Initiators have a wide range of experience</td>
<td>● Training and support</td>
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<td>● May need to push back on decisions already made</td>
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<td>● It takes years to develop expertise</td>
<td>● Resources for “big picture” risk assessment</td>
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<td>● Institutional bottlenecks (real or perceived)</td>
<td>● Clarify roles and responsibilities of offices involved</td>
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**IT Procurement Process Landscape**  
*Version 0.4 updated 11/9/2021*

### Idea

- Identify Needs and Define Requirements
- Select an Acquisition Path*
- Compare and Select Vendor and Solutions
- Assess and Mitigate Risk
- Revise and Execute a Contract
- Complete a Direct Buy
- Conduct IT Project Oversight
- Obtain State OCIO Review and Approval
- Assess and Mitigate Risk
- Select an Acquisition Path*
- Implement and Launch the Solution
- Operate the Solution

### Operations

- Conduct IT Project Oversight
- Renegotiate an existing Contract
- Operate the Solution

### May be Triggered:

- Conduct IT Investment Assessment and Approval
- Obtain State OCIO Review and Approval
- Assess and Mitigate Risk
- Complete a Direct Buy
- Conduct IT Project Oversight
- Renegotiate an existing Contract

*UW-IT service triggered by scope >= $50,000 or voluntary engagement by the initiator*

*If triggered by State of Washington Office of the CIO assessment criteria*

* Applies to catalog and ProCard purchases*

*UW-IT service triggered by Washington State risk criteria, based on initial IT Investment Assessment at left*

*Because significant risks can occur in any acquisition path, this includes: sole source; RFX; extend an existing contract; catalog purchase; ProCard purchase. Supported by: Procurement, UW-IT All applicable groups, such as: CISO, Privacy, Accessibility, Merchant Services, Records Management, Attorney General’s Office*

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There are a lot of “it depends” moments. It’s hard to define a repeatable process & training.
“We need to understand what is installed so we can manage the risk and incidents.”

“A privacy fine can cost us millions of dollars.”

“We need to stay compliant in each agreement or we have audit risk.”

“We need stay compliant with OCIO’s requirements otherwise we risk state oversight of every IT purchase.”

Risks are present everywhere in the Landscape

The Privacy Office
The CISO’s Office
Central Procurement
The CIO’s Office
Departmental IT
Research Administration & IT
Financial Administrators
And more...

Investment Planning
Acquisition Prep
Implementation
Operations

Idea
Investment Approval
Executed Contract
Go Live
Retired
Stakeholders Involved (draft list)

**Active Stakeholders** (initiate, review, or approve a step in the process)

*Always Involved*

- Department: Including the initiator/customer; a financial administrator and/or budget authority
- Procurement (UW Finance) - Though sometimes this is automated (ProCard; catalog purchase). Includes Supplier Diversity.
- Vendor: Under consideration or current/contracted

*May be Involved (can vary each time)*

- IT Director: If brought in
- Departmental procurement: If present
- UW-IT: If multi-departmental, central resources, or 5-year cost >= $100k; or if services for Investment Planning, Project Oversight, or Vendor Risk Management are called on
  - DIS: If triggered in Ariba; Kerry and Jeramy
  - WA OCIO Oversight Compliance: Delegated to UW-IT
  - Integration teams: If it requires integration with enterprise services e.g., IAM, EWS, EDW, etc.
- CISO: Triggered by need to change terms in security contract rider. Contract review for security and other issues; advice on solutions, vendors, and TCO
- UW Medicine ITS: May be brought in by UW-IT or others if UW Medicine should be involved; Ariba triggers if purchaser answers yes to PHI question; note not all PHI is UW Medicine
- Compliance & Risk Services (Jane Jung) - New from the Risk Management initiative; currently triggered by PHI outside UWM
- Attorney General's Office: Many things, e.g., need for further contract negotiation - standard contract framework doesn’t fit
- Privacy Office: If personal data is involved - Advises on high risk investments. Currently collaborating w/other gov groups to streamline and implement policy, people, process, and technology changes.
- UW Medicine Compliance (1 for SoM, 1 for healthcare) - Can apply to SoM
- UWM ITS Security: If brought in by initiator for risk assessment - Can apply to SoM
- UW Data Governance - If it requires UW data sources, approval for data flow
- Trademarks & Licensing - If vendor wants to use UW collateral

**Passive Stakeholders** (provide compliance requirements, information, templates, and sometimes consultation)

- Accessibility team - Rider provided; consultation
- Tax Office - E.g., exceptions to sales tax; documented on Procurement site; consultation
- Records Management - Not active now, maybe should be to ensure solutions include adequate retention
- Grant & Contract Accounting - Check if they provide guidance; ask Claudia
- Sustainability Office: Part of stewardship under APS 2.3; APS 17.1
- Supplier Diversity - Guidance provided for good stewardship
- Internet of Things - Rider provided

? Not Sure About ?

- Office of Research (Sponsored Programs; Research Compliance; Human Subjects): E.g., for data sharing agreements
- Real Estate

**Alternative/parallel processes for:**

- **UW Medicine:** Separate Procurement team; more structured process involving UW Medicine ITS
- **UW Bothell:** Also separate Procurement to start, then routed to central Procurement
- Tacoma: Check
- Housing & Food Services: Using Great Plains for their own procurement. Will this change as part of UWFT?
- Athletics: Check, ask Claudia
- Facilities:

Also: Later in the process (implementation, operation, retirement)

- E.g., SLA enforcement; exiting a contract; switching vendors
- Ongoing risk mitigation during operation
Notable Quotes from our Survey:

“It's an extremely complex process that seems to be focused on persuading departments NOT to make a purchase... Often it feels like IT purchasers need to take law school courses on contracts to do our work.”

“It seems like I run into surprising unknown unknowns on a regular basis. It should not be this hard.”

“I have had good experiences dealing with the individual groups when doing IT purchases, especially, when I have had to purchase something over $50,000 and APS 2.3 comes into play. All groups have been accommodating and helpful with any questions I have had in navigating the process.”

Source: Procurement Customer Experience Survey
Guides in context with other roles

**Initiator:** The person or group who actually wants to buy the IT solution.

**Agent:** A person (like an IT Director) who acts on behalf of Initiator in parts of the Procurement process.

**Guide:** Helps the Initiator/Agent successfully navigate through the process by connecting them with SMEs and knowledge along the way.

**Process:**

- **Investment Planning**
- **Acquisition Prep**
- **Implementation**
- **Operations**

**Subject Matter Experts (SME):** People with deep knowledge of one or more parts of the procurement process and/or an area of risk assessment.

- Privacy Office
- CISO's Office
- Central Procurement
- CIO's Office
- Departmental IT
- Research Administration & IT
- Financial Administrators
- And more...
Guides help navigate the IT Procurement Process Landscape

For all IT acquisitions:

1. Identify Needs and Define Requirements
2. Select an Acquisition Path
3. Compare and Select Vendor and Solutions
4. Assess and Mitigate Risk
5. Revise and Execute a Contract
6. Complete a Direct Buy
7. Conduct IT Project Oversight
8. Obtain State OCIO Review and Approval
9. Operate the Solution

May be Triggered:

- Conduct IT Investment Assessment and Approval
- Assess and Mitigate Risk
- Compare and Select Vendor and Solutions
- Obtain State OCIO Review and Approval
- Complete a Direct Buy
- Implement and Launch the Solution
- Conduct IT Project Oversight
- Renegotiate an existing Contract

Guide Roles/Responsibilities:
> Liaison to the CISO, Central Procurement, Privacy Office, Accessibility and other key stakeholders.
> Have enough of an understanding of the requirements of each of these offices to know when to engage them.
> Understand the procurement process and when to engage with various stakeholders.
> Know the high level concerns of contract negotiations.
> Understand the Workday Procurement process and how to navigate the process.
> Have completed the required training (e.g. DES training).

Guide Resources:
> Guide’s Checklist of Items
> SME Map for Procurement and Compliance
> Business/Project Plan Questionnaire (What is your timeline, outcomes and goals, business context, etc.)
> Risk Acceptance Rubric
> RACI diagram for the purchase
> Starting a Procurement Best Practices
> Projecte templates such as Project Concept form; project charter
Second Maturity Shift

Away From:

1. Leave us alone and we will do it ourselves.
2. IT is just a thing you buy kinda like a toaster oven - you buy it, set it up and it does its thing.

Towards:

1. We need standard solutions to these problems.
2. IT is a (large) set of risks you have to evaluate and manage for forever.
Change to Administrative Policy Statement 2.3

https://www.washington.edu/admin/rules/policies/APS/02.03.html

“Standard IT Solutions”—As defined under the authority of the CIO, a Standard IT Solution is a technology solution for a given set of capabilities where the University would like to leverage the Standard IT Solution over other solutions. These Standard IT Solutions are described in IT Standards documents.”

Purchasing Acquisitions

New purchase requests for technology acquisitions are reviewed to determine:

> How the acquisition brings business value and supports the University's mission and strategic goals;
> Whether existing Standard IT Solutions and other technology resources and solutions could satisfactorily meet the requester's needs;
> What impacts the new acquisition may have on Standard IT Solutions, central systems and services (including data quality and interchange), and the scheduling impacts to the UW-IT project portfolio;
> …. 
# Third Maturity Shift

## Away From:
1. Leave us alone and we will do it ourselves.
2. IT is just a thing you buy kinda like a toaster oven - you buy it, set it up and it does its thing.
3. Policy focused on risks and benefits.

## Towards:
1. We need standard solutions to these problems.
2. IT is a (large) set of risks you have to manage.
3. Policy including using standard solutions and existing tech first.
How do I leverage these three different things:

Culture Shift
“We Want Shared Solutions”

Maturity Shift
“It is a complex risk that has to be managed”

Policy Shift
“It Standard Solutions First”
There are a lot of “it depends” moments. It’s hard to define a repeatable process & training.
How do I leverage these three different things:

**Culture Shift:**
“We Want Shared Solutions”

**Maturity Shift:**
“IT is a complex risk that has to be managed”

**Context Shift:**
New Policy “IT Standard Solutions First”

Computing Directors built a registry of licensed apps that they could share.

Changing / Improving IT Procurement Process
# EA Opportunities to drive Maturity at UW around IT Management

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### EA Opportunities to drive Maturity at UW around IT Management

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Sol'n Arch - Bus & Tech. Reps from from business domains to help with change.
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### Outcomes

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### Value

- **Maximize value of IT spend**
- **IT as a strategic Transformation Partner**
- **Data-Driven Enterprise**
- **Better managed IT Risk**
**EA Opportunities to drive Maturity at UW around IT Management**

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**VALUE**

- Maximize value of IT spend
- IT as a strategic Transformation Partner
- Data-Driven Enterprise
- Better managed IT Risk
How do I leverage these three different things:

- **Culture Shift**
  - “We Want Shared Solutions”

- **Maturity Shift**
  - “IT is a complex risk that has to be managed”

- **Policy Shift**
  - “IT Standard Solutions First”

Computing Directors built a registry of licensed apps that they could share.

Changing / Improving IT Procurement Process
Discussion / Ideas / Questions
Working Groups
Useful Links

Itana Program 2020-2021

Itana Calendar of Events