Bi-Weekly Conference Call

Call Time:

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

Agenda:

Conference Calls (Wiki)

NEW: Zoom for Audio/Video

Meeting ID: 928 4053 9502

Passcode: Itana2020

Itana is co-supported by EDUCAUSE and Internet2

We follow the Internet2 Intellectual Property Framework: http://www.internet2.edu/membership/ip.html

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

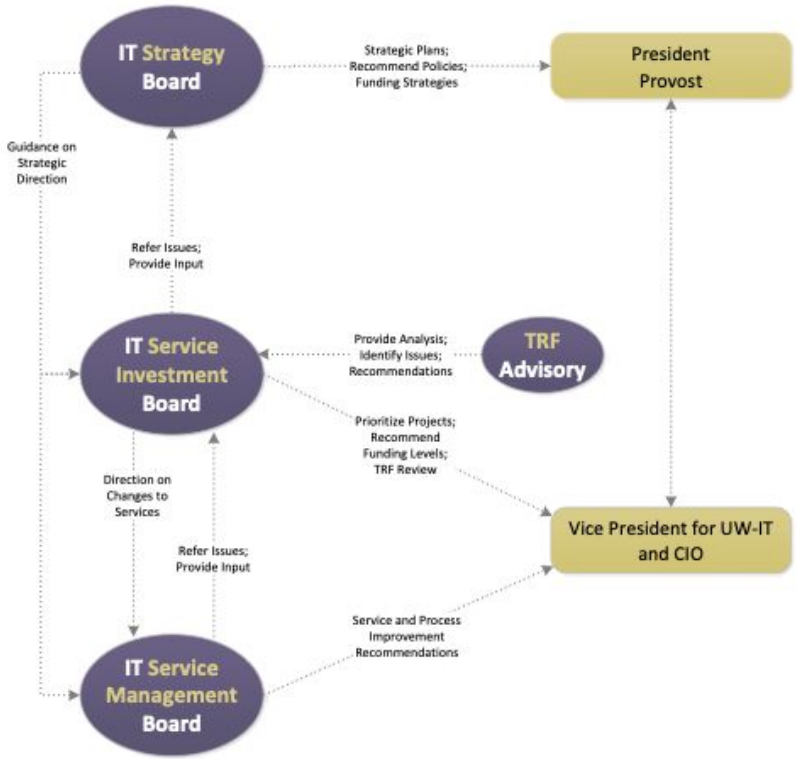
Jim Phelps, University of Washington

Shifting maturity

- 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 Boards supported by the Office of the Vice President for UW-IT and CIO

UNIVERSITY of WASHINGTON

Updated: October 30, 2018

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:

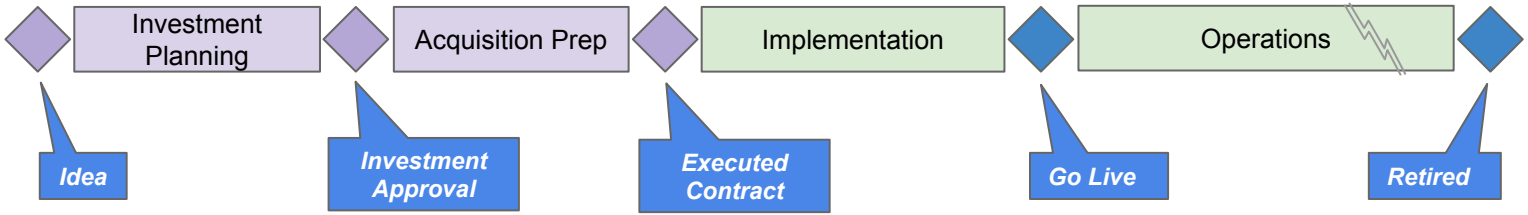
We need standard solutions to these problems.

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.



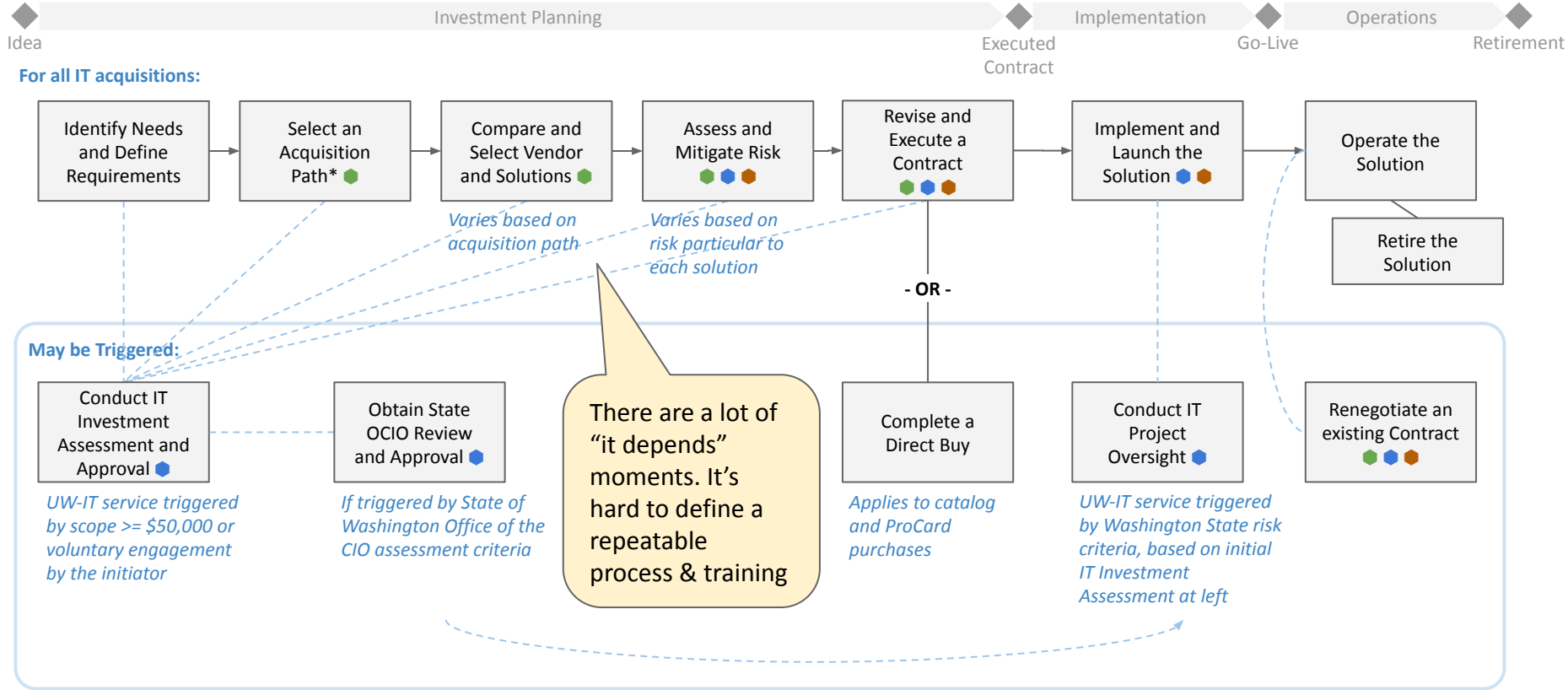
IT Procurement Journey Map - Summary

Our journey mapping work indicates that each new procurement varies greatly. We have summarized these observations:

	1. Research & Discovery	2. Request to Acquire	3. Assess Risk & Compliance	4. Negotiate the Contract	5. Obtain & Deploy
Doing	• Wide range of starting points, from no requirements to a solution already selected • May need to push back on decisions already made	• Wide range of acquisition paths, and gray areas on which path to choose • May go down a path incorrectly and have to switch	• Wide range of risks to assess • Often requires more varied and deep expertise than a typical project team has • Previous choices may be invalidated if key risks were not considered early on	• Requires assessment of many possible contract risks • Contract work is often handed to IT staff with little relevant experience	• Need to stay on top of many issues as a vendor engagement proceeds • Wide range of risks to track mitigation for
Thinking	• Many unknowns; these may be known or unknown depending on experience	• Trying to figure out a simple path and provide solid justification for it	• Trying to figure out risks and contract language, often with little relevant expertise	• Working through risks and which ones to accept	• How to execute quickly while watching out for problems
Feeling	• Uncertain or frustrated about the process ☹	• Anxious about the process, timeline, and unknowns ☹	• Baffled or uncomfortable due to lack of expertise ☹	• Anxious or frustrated about additional surprises and delays ☹	• More confident - we know how to do this part - but lots to keep track of 😐
Pain Points	• Initiators have a wide range of experience • It takes years to develop expertise • Institutional bottlenecks (real or perceived)	• Can be very time consuming, with high opportunity costs • Even experienced initiators get blindsided; “chutes and ladders” experience	• Again, even with experience, unexpected risk management issues arise and slow or stop the process	• Vendor negotiation can get very detailed and lengthy • Can still encounter new UW requirements at this point	• Unmet expectations from vendor • Vendor management is difficult • Slow decision making
Opportu-nities	• Training and support • Resources for “big picture” risk assessment • Clarify roles and responsibilities of offices involved	• Training and support • More ways to leverage existing vendor relationships or contracts • Organizational clarity	• Training and support • More clarity on who is authorized to accept what risks	• More people qualified to work on contracts • Ways to reuse contracts and agreements when using the same vendor again	• Education and support • Help with vendor management • How to escalate when implementation goes wrong

IT Procurement Process Landscape

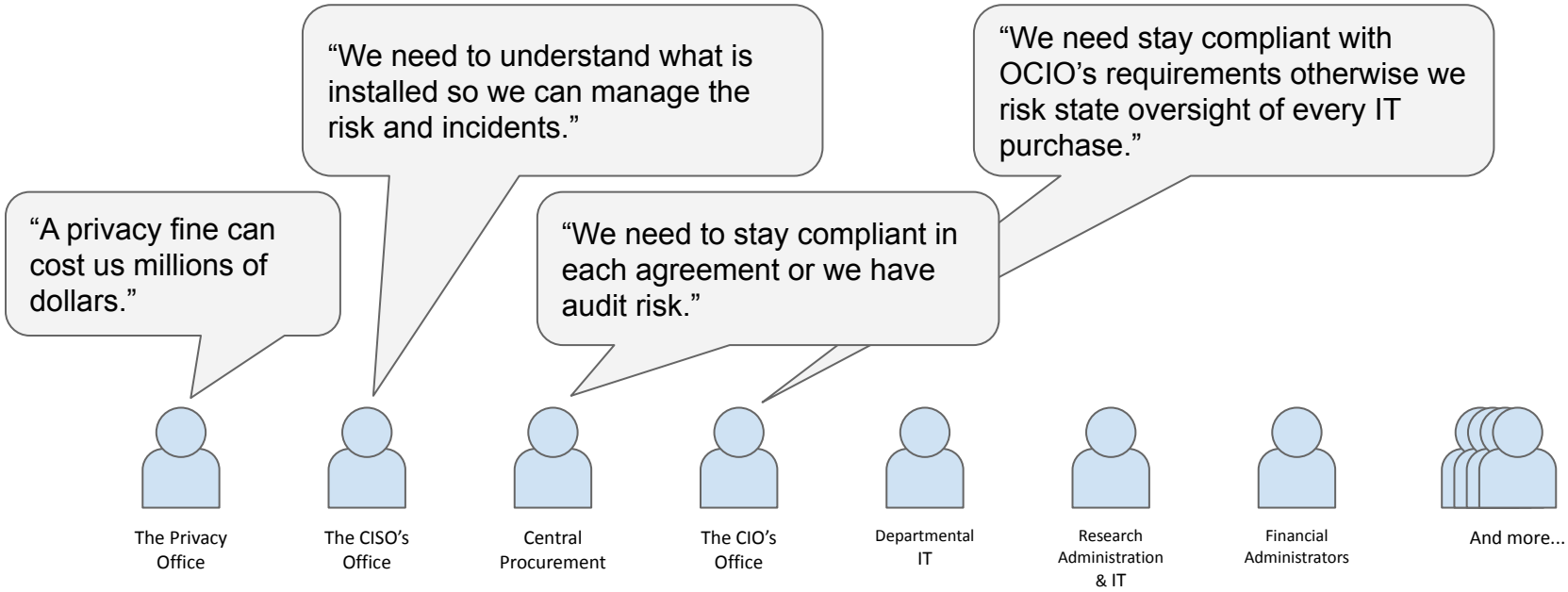
Version 0.4 updated 11/9/2021



* 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

Risks are present everywhere in the Landscape



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
- Equipment Inventory Office: For inventoriable assets (0611, 0610 object codes) tracked in OASIS
- Payment Card Industry (PCI - UW Merchant Services, Kevin Doar): If the solution involves credit card payment

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:

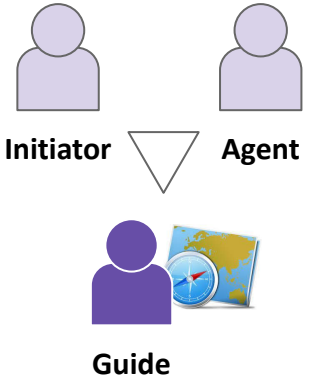
"It's an extremely complex process that seems to be **focused on persuading departments NOT to make a purchase**…Often it feels like IT purchasers need to take law school courses on contracts to do our work."

"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

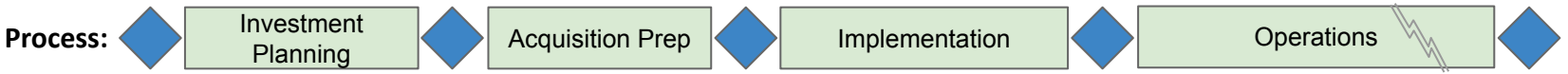
Guides in context with other roles



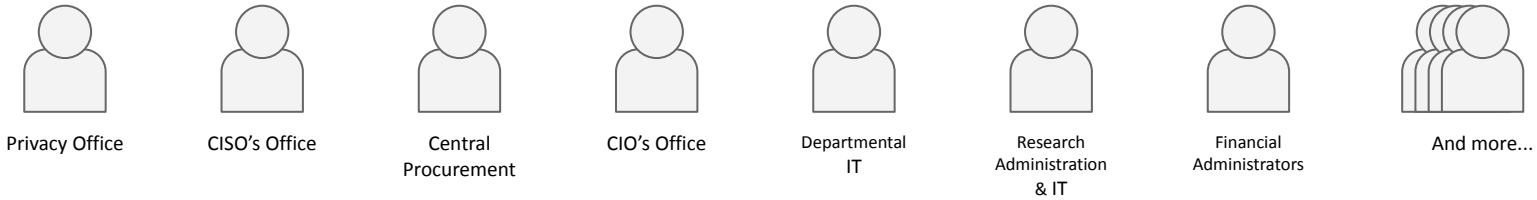
Initiator: The person or group who actually wants to buy the IT solution.

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

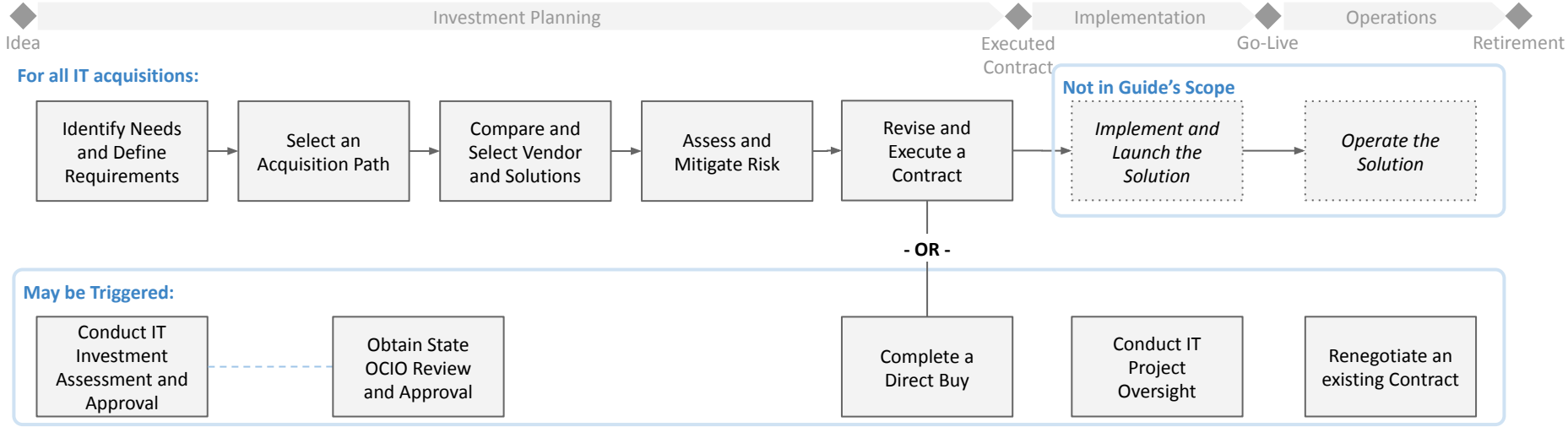
Guide: Helps the Initiator/Agent successfully navigate through the process by connecting them with SMEs and knowledge along the way.



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



Guides help navigate the IT Procurement Process Landscape



Guide

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

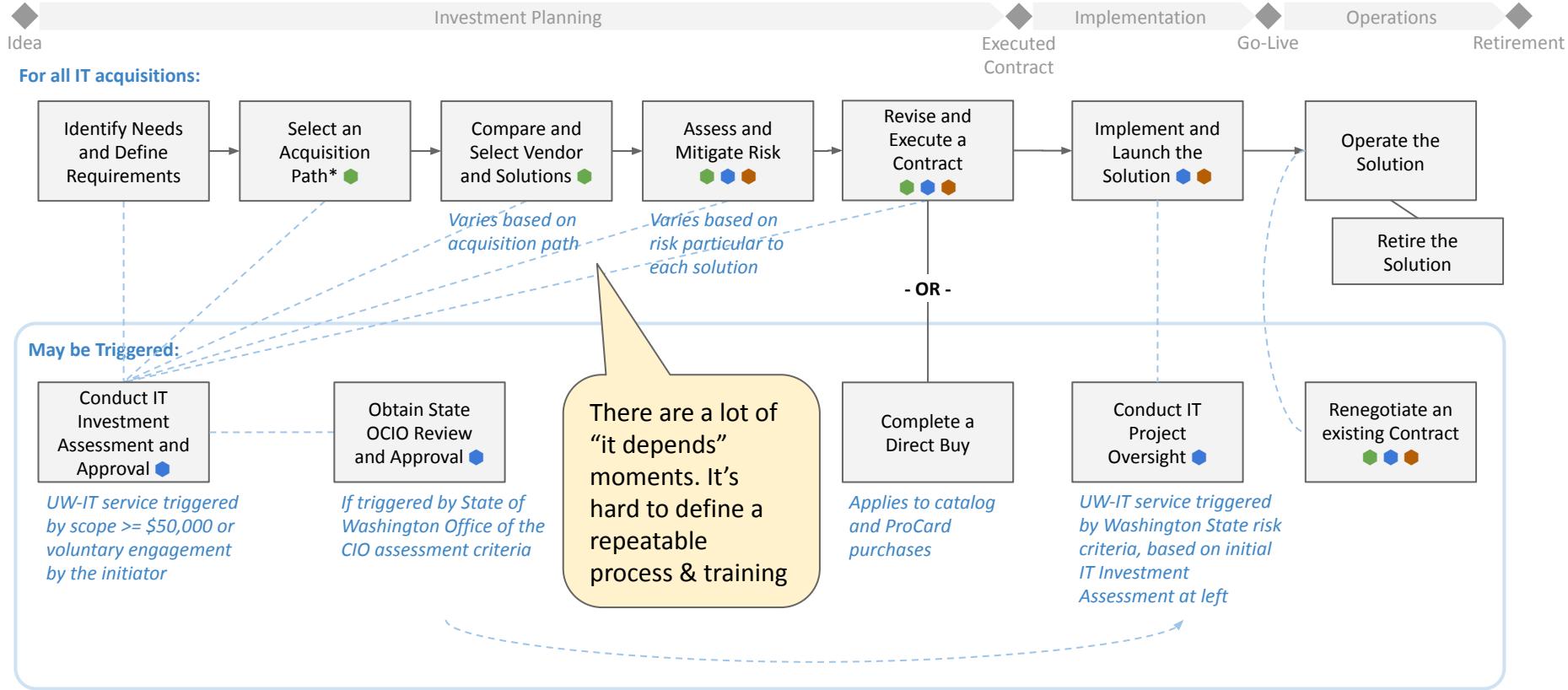
“IT is a complex risk that has to be managed”

Policy Shift

“IT Standard Solutions First”

IT Procurement Process Landscape

Version 0.4 updated 11/9/2021



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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"

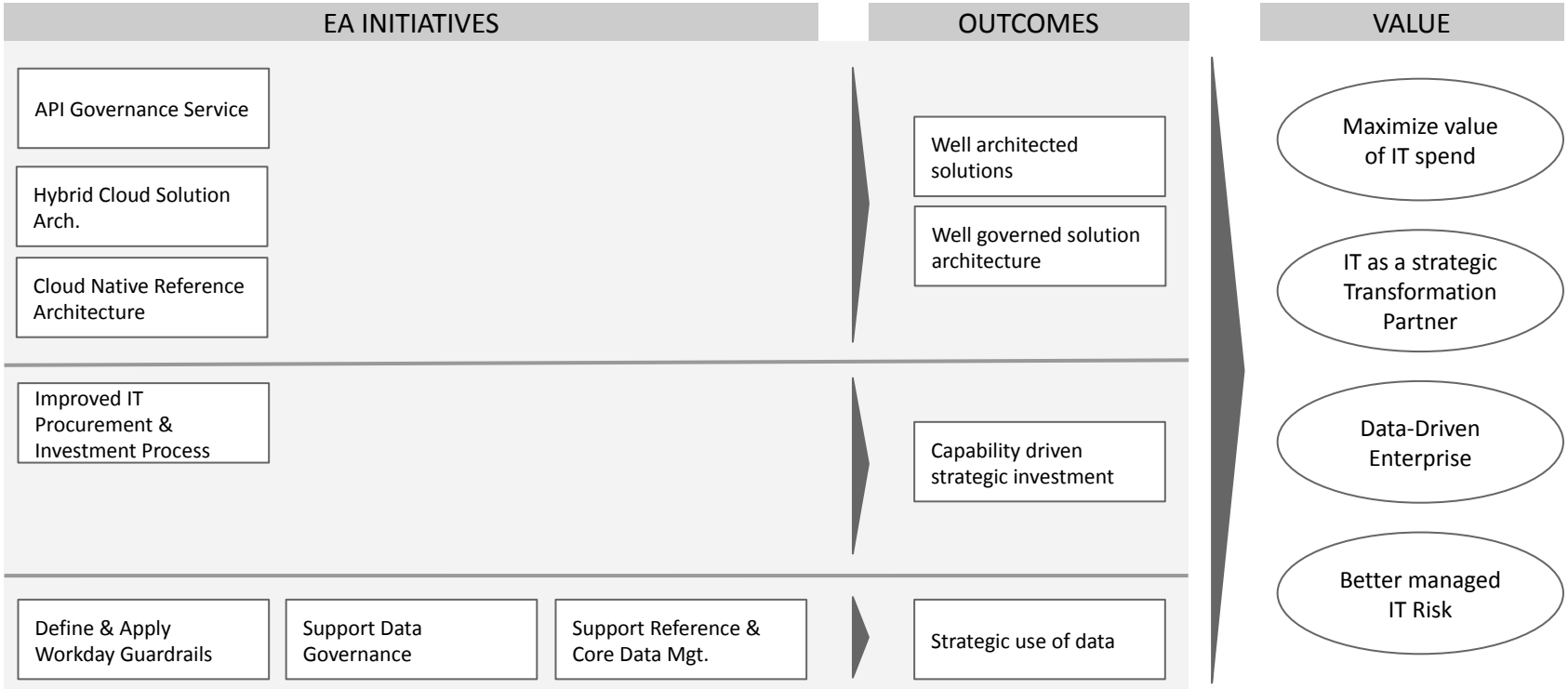
Context Shift:

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



Current | *future*

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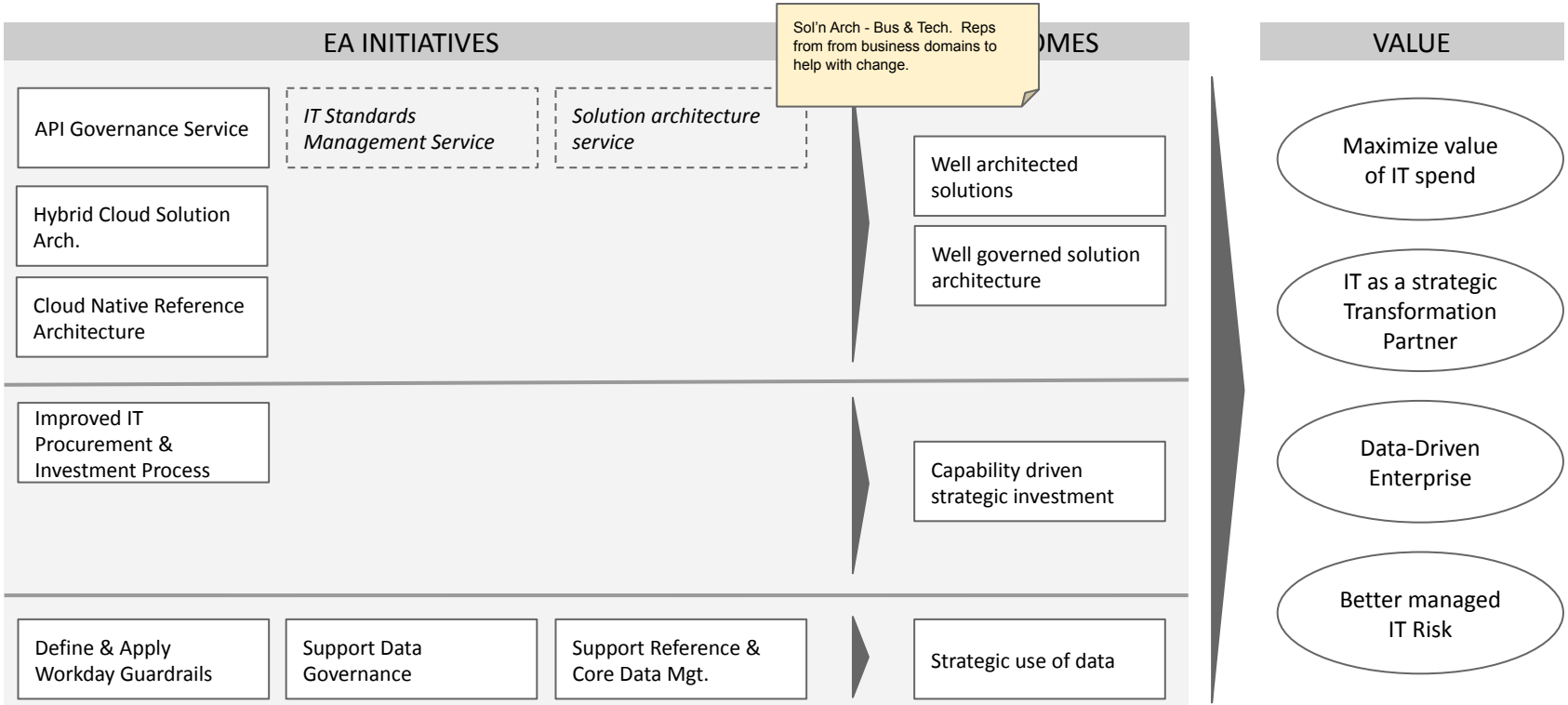

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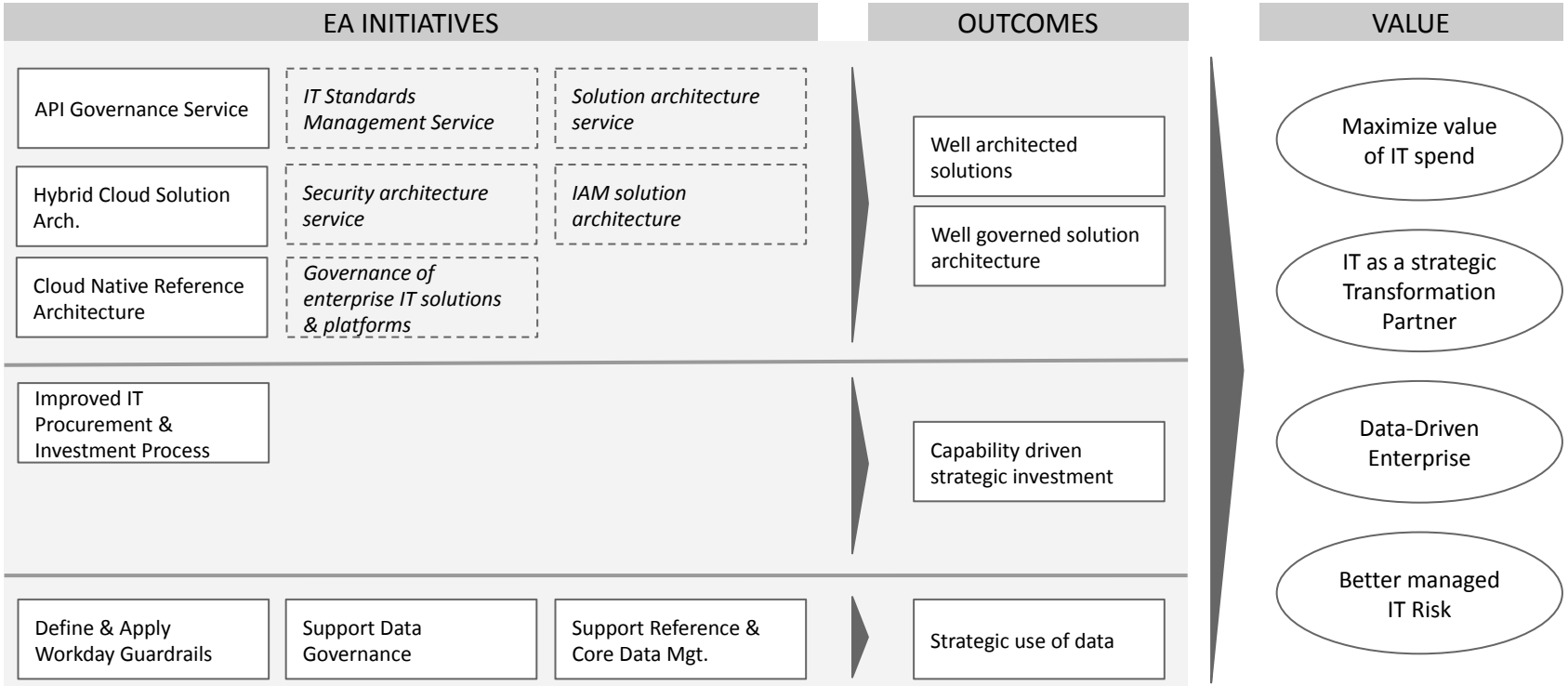

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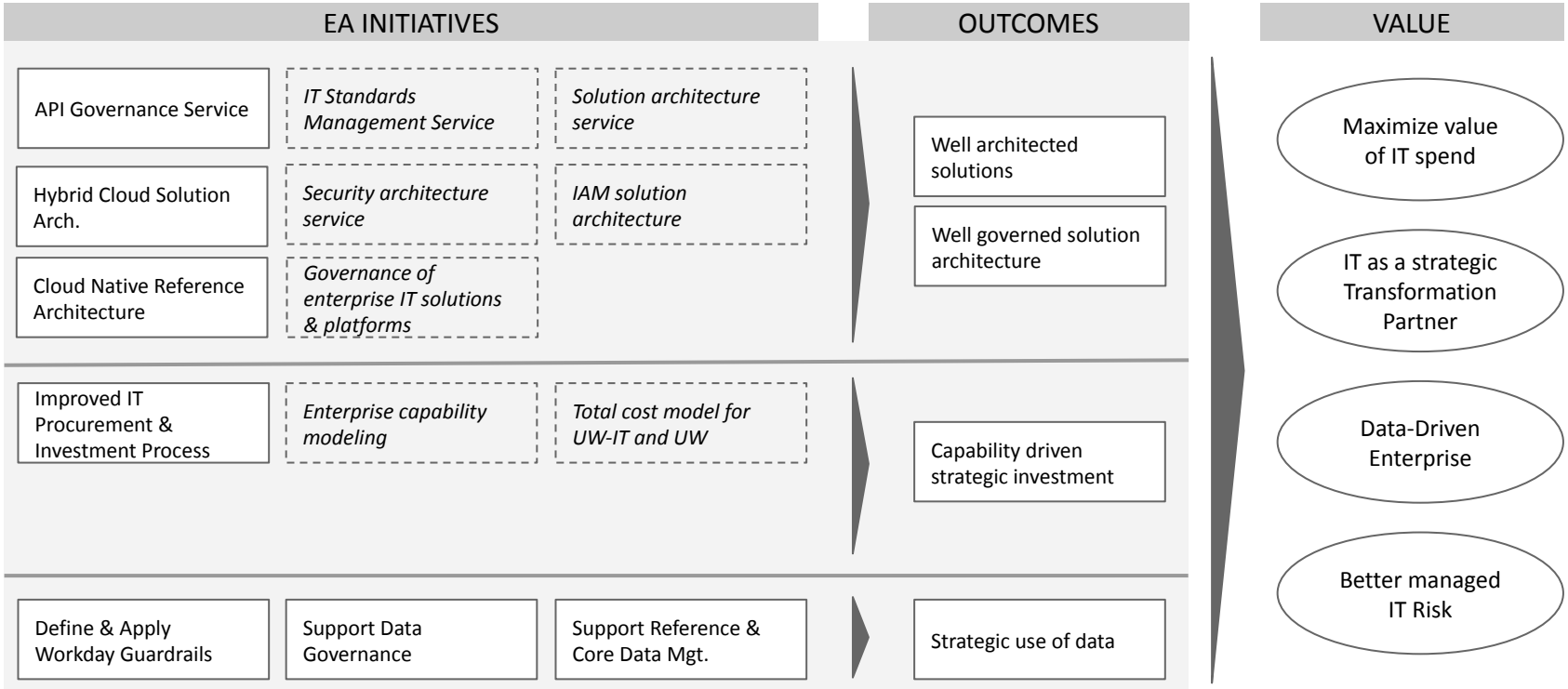

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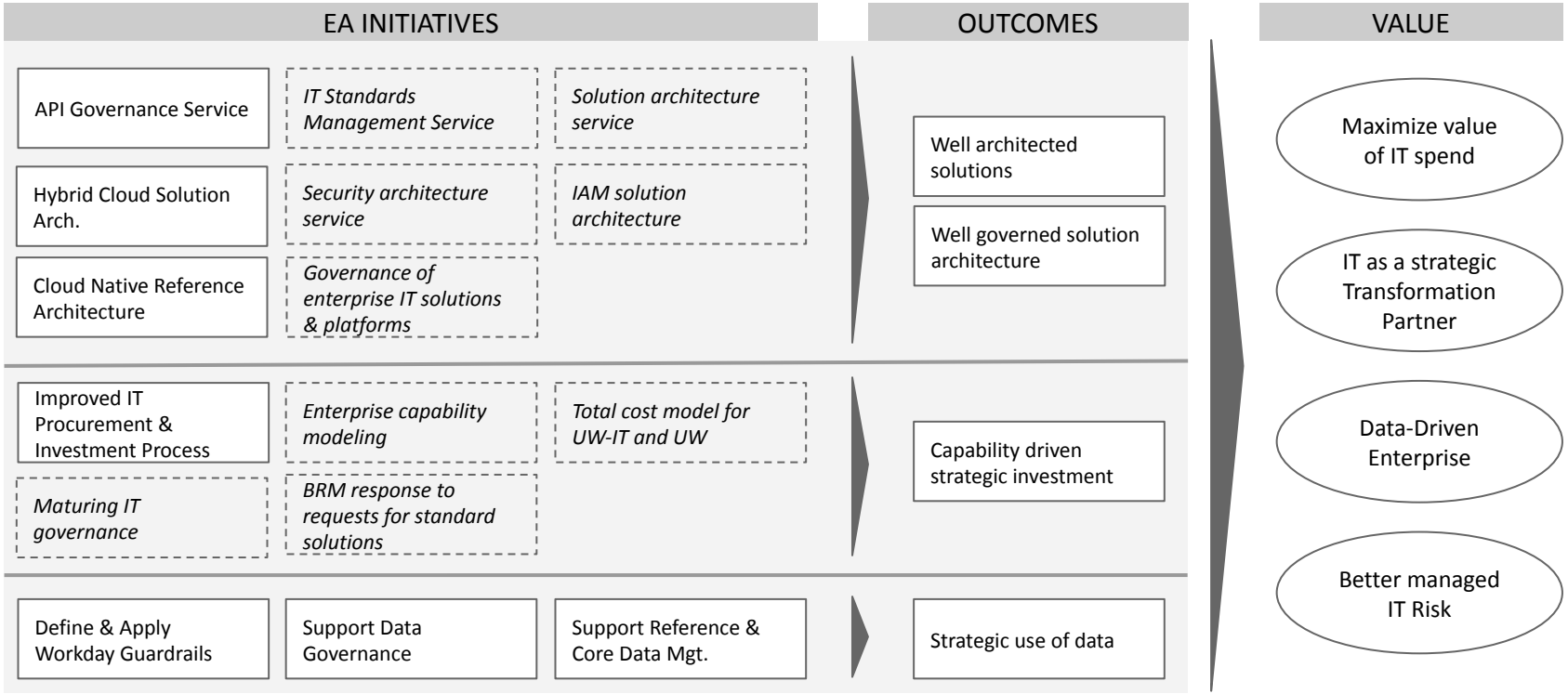

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Computing Directors built a registry of licensed apps that they could share.

Maturity Shift

“IT is a complex risk that has to be managed”

Policy Shift

“IT Standard Solutions First”

Changing / Improving IT Procurement Process

Discussion / Ideas / Questions

Working Groups

Useful Links

Itana Program 2020-2021

Itana Calendar of Events