

## CIO Council Meeting Notes

**Wednesday, August 10, 2016**

**In-Person and Videoconference**

### Attendees:

In-person: Bob Beck, Dan Dunbar, Chip Eckardt, Mohamed Elhindi, Werner Gade, Jordania Leon-Jordan, David Kieper, John Krogman, Bruce Maas, Anne Milkovich, Elena Pokot, Beth Schaefer, Mike Sherer, David Stack, Sue Traxler, and guests Ruth Anderson, Nick Davis, Jason Fishbain, Ruth Ginzberg, Mike Schlicht, Olga Turkina, and Jenna Weidner

Remote: Joe Kmiech, Beth Schaefer, Jim Smola, Sara Solland and guests Mary Luebke and Steve Ranis

### Items to Add to the Agenda

Dan Dunbar reported that Doug Wahl is retiring from UW-Stout  
Sue Traxler brought her deputy CIO, Mike Sherer

A carry over from the last meeting is not on the agenda. Werner Gade pointed out that the Council needed to vote for a Vice Chair. Chip Eckardt accepted the nomination and the motion passed by acclamation.

### Approval of Minutes from July Meeting

There was one change on page four under managed print services and that is to specify that it is the NASPO contract that was referenced.

### Action Items and Old Business

- Appoint a 2<sup>nd</sup> CIO for a security policy implementation team – Bruce Maas volunteered
- Clarification on the semi-annual reporting of IT projects to the Regents – David Stack spoke with David Miller and his advice was to report on products not holistic programs
- Feedback to MOR Associates on the IT Leadership Program
  - The CIOs are looking for more engagement with the program
  - The CIOs do not recommend cohort case study projects because the participants are already so busy
  - There are still two vacancies for 2016-17
- ITMC Conference Dates: November 7-8, 2016 at the Paper Valley Hotel in Appleton. The meeting will likely end at noon on the 8<sup>th</sup> so attendees can return home to vote in the national election
- CIOs need to send Tom Jordan contact names for Active Directory at their institutions
- BI RFP Intent to Award – The letter of intent to award the RFP for consulting services went out on Monday. David Stack noted that there is CSRG funding to support this effort for two years and the intent is to benefit the institutions. Meanwhile, there are unspent CSRG finds from last year that Kathy Luker is requesting to roll forward and which VP Julie Gordon is supporting.
  - Discussion followed regarding the experiences the UW System institutions had with the selected vendor. Ruth Ginzberg suggested that specific language be added to the contract to help with vendor management. Elena Pokot recommended including provisions regarding the transfer of knowledge and expertise from the vendor. Pokot envisions the

vendor coming to a campus, being provided an overview and engaging with the campus to help develop a roadmap so as to be able to consult and provide answers. David Stack doesn't think there will be 13 campus site visits, but rather institutions that have similar profiles will be dealt with as a group. Ruth Ginzberg said that if a campus has the money, they can piggyback on the contract to engage further with the vendor.

- Werner Gade recommended that the CIOs establish a better idea of all of the pieces of the BI project and what the end goal of this phase should be.
- The conversation turned to suggesting a dialogue with the BI Executive Sponsors regarding the overall timeline and direction. There was also a suggestion to ask the Executive Sponsors if they have the project has the right resources since questions are not being addressed, e.g., regarding integration with CDR data. Bob Beck suggested that there be an in-person meeting of the Executive Sponsors since the online meetings don't seem to facilitate conversation and sufficient dialog to "dig in" to the details.
- There is a perception that each institution needs to build a data warehouse. The project is presented as a business intelligence project with dashboards and the like, and the basics of replacing Interactive Reporting are getting lost. Confusion is stalling the project.
- David Stack is looking for how to explain the overall effort in cogent terms that most stakeholders will be able to understand. One possible framing is that BI is a journey and many people do not seem to understand the steps other than the replacement of Interactive Reporting. Stack reported that Vice Presidents David Miller, Julie Gordon and Jim Henderson understand that this phase is just the beginning of the effort.
- The UW System needs to look strategically at where it wants to be with BI in five years and the steps it will take to get there. Jordania Leon-Jordan asked to see the project charter and Werner Gade suggested a website be built to house the project documents.

## **CIO Council Guideline Changes & Elections**

Proposed updates to the CIO Council Guidelines were noted in the July meeting minutes. The topic of succession was discussed. The term limit for each position will be one-year and there will be multiple options for re-election. The role of the Vice Chair is always up for re-election and the Vice Chair may run for Chair if they wish.

## **IT Security Policy and Procedures Gap Analysis**

Mohamed Elhindi recognized the UW Information Assurance Council (UWIAC) for the phenomenal work they have been doing on top of their regular day jobs. The information security policy effort has been divided into three manageable phases. Phase 1 encompasses the five policies that have been created and that have now moved forward in the approval process. Implementation planning needs to begin for the five policies and procedures.

Bruce Maas inquired regarding how to engage with campus Chief Business Officers (CBOs) and VP David Miller. It needs to be understood that these are UW System policies and not just IT policies. Maas noted that not every CBO may engage in the same way and the CIOs may need some help. The discussions can begin at the joint meeting between the CBOs and CIOs on September 15. Some of the CIOs, including Mohamed Elhindi and Sue Traxler, have already met with their CBOs to discuss how their institutions will go about complying.

Elena Pokot suggested that each institution should be able to do the gap analysis between its current state and the requirements of the new policies within a few weeks. Depending upon the outcome of the gap analysis, the resources for each campus can be estimated. Dave Kieper suggested that there is a need to establish the scope, e.g., the top 20 systems, because it is not possible to do a gap analysis for hundreds of systems distributed across an institution. Nick Davis recommended a risk-based approach. Maas reported that UW-Madison has just hired a risk manager who is looking to partner with the appropriate stakeholders. Davis urged the Council members not to assume that they already know the risks at their institutions. Mohamed Elhindi stressed that the Chancellors also be engaged.

Werner Gade inquired regarding what other policies need to be created. Davis replied there are about 20 more areas that were initially identified. David Kieper stressed that taking on five more policies in a short time span is not sustainable because the UWIAC members are in danger of burning out.

Gade suggested that the policy drafting subgroup come up with a recommendation of a stable approach to address this ongoing effort. Bob Beck said there are multiple audiences with different expectations that need to be addressed.

Gade advised letting the CBOs know next month that the CIOs are prepared to talk about the risks and what needs to be done to mitigate them.

### **Proposed Chapter 36 Purchasing Process**

Ruth Anderson introduced a rough draft of a proposed process for academic-specific Chapter 36 technology purchases over \$150,000 that are not common with other state agencies. She reminded the group that Chapter 36 is the legislation that created the UW System.

The proposal will endeavor to establish consistent and appropriate purchasing under Chapter 36. The ultimate goal is to have all IT purchasing delegated to the UW System although the majority of UW System purchasing still falls under the state procurement rules.

In rethinking the RFP process for Chapter 36, feedback from the last ITMC meeting has been distilled to create a methodology that will closely mimic how IT professionals actually approach procurement. Ruth Anderson and Ruth Ginzberg reiterated the proposed process is only for academic IT needs and not for large systems such as HRS. All purchasing card purchases remain under the authority of Chapter 16.

Bruce Maas pointed out this would be a good way to make vendors aware of the need to be compliant with higher education standards such as those emerging in the academic realm. Maas cited IMS Global and LTI as examples.

There was a request from the group for a cheat-sheet for procuring basic computer equipment (Dell, HP and Apple computers). Anderson will provide one. UW-Oshkosh reported they are looking into leasing PCs.

### **UW System 2020FWD Strategic Framework**

David Stack referred to the 2020FWD strategic framework document that has been circulating to all the various governance groups around the UW System. From the four main topics, Stack singled out Operational Excellence. Stack stressed that this is an opportunity to address any operational areas in which the CIO Council would like to propose changes, or business processes that need standardization.

Chip Eckardt reported that the IT department at UW-Eau Claire is working with the business functions on formulating processes via a value stream analysis. Eckardt shared an example involving their meal plans.

David Stack reported that administrators from the various UW System institutions are coming to System Administration and asking that more work be done centrally.

Bruce Maas expressed concern regarding how faculty are asked to perform administrative duties without proper training. Werner Gade noted an overall lack of workforce development for UW System employees. When administrators talk about accountability and efficiencies, it may cause the academic areas to bristle. There needs to be accountability regarding streamlining the business processes in academic areas, as well.

The Governor may be looking at funding increases for the UW System that are tied to performance targets. Bob Beck explained how funds are often allocated for faculty buy-outs and overload appointments so that faculty can perform administrative tasks. There may be efficiencies in hiring administrators dedicated to those roles. Beck also reported that there is a shared services effort going on at UW-Milwaukee.

### **Central Hosting of Institution IDPs**

The Council discussed whether many or all of the institutions will need sophisticated Identity Provider (IDP) hosting for their own applications. If so, this will change the nature and cost of the Identity and Access Management (IAM) services. The institutions were told in the past that the IAM Team would not get involved in hosting third party applications at their campuses other than the set that is common across the UW System. UW-Green Bay manages their own Shibboleth installation to interface with small vendors, but it is difficult to keep that level of expertise at the institution.

It was proposed that it may be more efficient to have one center of subject matter experts and providers for the entire UW System. Such an approach would accommodate those institutions that don't have or are unable to retain individuals with the requisite expertise. The technology is not difficult, but communicating with the vendors takes time and would be better accomplished by the institutions rather than the IAM Team.

It was suggested that the IAM Team develop a proposal that would describe how the institutions that don't have an IDP service by a certain date, or that want to get out of the IDP business, could use a central or standard service provided by them. The IAM Team will likely need to know which third-party applications are being authenticated by each institution.

### **CampusClarity**

Ruth Ginzberg and David Kieper reported that the UW System purchased systemwide training from CampusClarity to aid Title IX compliance by students, faculty and staff. David Stack made the case to others in UW System Administration that the effort needed a project manager, but none was hired.

Stack reported that there are two separate stakeholder groups, students and employees. Discussions are underway on how to approach the employee training and to what extent UW System HR should be involved. There is pressure to get the training into the hands of students immediately, but there is time to do it more thoughtfully for faculty and staff.

The CIOs recommend that future procurements should include Shibboleth whenever possible to aid in authentication of students and employees. Hopefully, the Procurement Office will be better informed and be able to get the CIOs involved earlier. The CIO Council will work to provide more specific guidance to Procurement on the appropriate level of involvement regarding purchases with IT implications.

### **Inventory of Systems in Use**

Jenna Weidner led a discussion on the inventory of systems in use at the different institutions. The purpose of the summary spreadsheet is to:

- Remove email requests regarding which institutions are using what applications
- Confirm whether one campus might be willing to provide a service for another campus
- Inform the CIOs regarding what each of the institutions is using

The CIOs believe the inventory is a good project to support and there will be an opportunity to crowd source further updates at the ITMC conference. The Council provided Weidner with suggestions for improvements to the inventory spreadsheet. Werner Gade will move the shared spreadsheet to the CIO SharePoint site, and the Council will need to develop a process to keep it updated regularly.

### **Office 365/D2L Integration & New O365 Features**

Beth Schaefer reported how UW-Milwaukee's Center for Excellence in Teaching and Learning (CETL) wants to integrate Office 365 with D2L, which raises a lot of questions about managing third-party integrations with Office. Other institutions reported they would treat such a project as a simple service request that shouldn't take much time or effort. However, given the large student body at UW-Milwaukee, the downstream support could be significant. UW-Platteville has an IT prioritization process that addresses these types of requests through appropriate vetting. UW-Whitewater makes a distinction regarding who offers the service as to how such a request is handled. UW-La Crosse will only integrate applications that are campus-wide, not course or department specific. UW Colleges discourages asking Learn@UW for non-trivial D2L integrations.

### **Cyberliability Insurance Contract**

Dave Pulda spoke to the Council about the process for completing the Cyberliability Insurance application forms. Pulda stressed the need for quick completion of the forms. The last time this effort was undertaken was in 2014 and the underwriter is asking for it to be completed again.

The application consists of ten questions. Submission of the applications will be followed by a

conference call with the underwriter. Any question on the application that is ambiguous or may cause misrepresentation should be left unanswered and comments made in an addendum.

It was pointed out that there will be data items outside the purview of the CIO and thus the CIO may not know everything needed to fully complete the application.

The timeframe to complete the application forms is September 1, 2016, with a final completion date no later than September 7, 2016. This will allow Pulda sufficient time to transmit the applications to the broker.

**Thursday, August 11, 2016**  
**Pyle Center Inspiration Room**

Attendees: Bob Beck, Dan Dunbar, Chip Eckardt, Mohamed Elhindi, Werner Gade, Jordania Leon-Jordan, David Kieper, Bruce Maas, Anne Milkovich, Elena Pokot, Mike Sherer, Jim Smola, David Stack, and guest Mike Schlicht

**Positioning the CIO Council as a Strategic Body**

Werner Gade outlined the objectives for the day as:

- Discuss overall strategy objectives
- Review the volume 1 strategy document developed in consultation with Amy Gee
- Discuss the major themes document
- Begin detailed discussion of the major themes

The ultimate goal is to establish the conceptual systemwide IT strategy for the next 3 to 5 years.

A strategy is a plan for the future:

- CIOs must establish the role of the CIO Council and its guidelines
- CIO Council should develop a systemwide IT strategy for the next 3-5 years, i.e., the “what”
- The themes document should define the “what”
- Objectives should be established for “how” to accomplish “what”
- Action groups should be assigned to the “how’s”
- The gaps between the strategy and the actual situation should be revisited regularly

At UW-La Crosse, operational efficiencies are now described as the costs of transactions. The value of IT needs to be clearly demonstrated, otherwise IT is just a cost. Dr. Timothy Chester from the University of Georgia has done work on how the value of IT is perceived by the customers, not by the IT department, in four progressively strategic layers.

Bruce Maas suggested bringing in outside professional facilitation and validation. Maas also needs to protect the impact of anything the CIO Council or UW System does that could impact the mission of the flagship institution. UW-Madison usually has greater similarities with UW-Milwaukee than with the comprehensive institutions.

The role of the CIOs in regard to risk management needs to be defined. It may be part of the Operational Efficiencies and Communications themes.

Research is a core aspect of a few of the institutions and it did not emerge in the affinity exercise that generated eight major themes:

- Strategic Vision
- Operational Efficiencies
- Prioritization & Accountability
- Student Learning
- Communications
- Data Governance
- Security
- Outliers

The Council questioned whether or not student learning, as one component of the mission, should be called out as a theme because various other components of the mission, e.g., research, are not. Instead, there should be a statement at the top of the document about pro-active alignment with the Mission of the University. The Student Learning theme will be relabeled Strategic Alignment of IT with the Mission.

The Strategic Vision for the CIO Council is about the value of the Council to the UW System, not about technology direction for the UW System. IT touches every aspect of the enterprise and CIOs see connections that the functional business areas may not. The CIOs may represent IT in the organization, but they should be valued for their strategic thinking and the other attributes that they bring. It is not a matter of having a seat at the table as much as how CIOs behave at the table. Perhaps the Strategic Vision should be positioned at a higher level in the document than the themes, e.g., in the Statement of Purpose. Engagement and partnerships are part of the strategic vision.

There are policy bodies at each of the institutions that impact what can be done with respect to processes. That could be an item under the Operational Efficiencies theme.

CIOs have been leading the professional development of the UW System in a more concerted fashion than other groups have. This is often not visible because of weaknesses in assessment across all the themes.

Rather than focusing on shared services, the Council should work on a framework that supports shared services, e.g., aligning technology refreshment cycles and looking at what should be used, not what is being used already.

The CIO Council often flies under the radar until it reacts to an issue. The Council needs to be more proactive in demonstrating its value and what it is doing. What framework can the CIO Council use to regularly to communicate IT's value in terms of finance, support for the academic mission and positioning for the future? One option would be to utilize the cover pages that are added to the annual Institution Strategic Plans that are presented to the Board of Regents by the institutions.

Mohamed Elhindi suggested putting a framework around one of the themes as a starting point, e.g., Operational Efficiencies (renamed as Operational Excellence to align with 2020FWD), which could include such areas as risk management and RFP processes. For the CIO Council, efficiency doesn't just mean the efficiency of IT operations, but the efficiency of the entire business process. It also does not mean merely cost cutting. The benefits of efficiencies rendered through IT accrue to the business functions, not the IT organization. Perhaps assessment and metrics could help communicate the value of IT to the organization.

Bruce Maas is preparing a high level document detailing what IT is supporting at UW-Madison. It is designed for all audiences and focuses on supporting the business of the institution.

It may be necessary to call a specific meeting to continue this effort, or to convert a planned CIO Council videoconference into a face-to-face strategy meeting - perhaps two full days with a facilitator - not just noon to noon. The CIO Council cannot develop a strategy as a group. It would probably be more effective to start with a proposed document and rework portions of it in breakout groups. Strategy could be addressed in each layer of the IT stack. Maas will distributed a copy of the service layer document he has used for a number of years. Maas has also developed a tree diagram that is intended to expand the discussion of Common Systems beyond technology tools.

### **ORACLE Engagement**

Oracle is doing a Step Analysis at UW-Oshkosh during a 1-day engagement to look at options for hosting the Student Information System.

### **Software for Records Archiving**

The records officers have proposed that a product like Preservica should be a Common System. The CIO Council members see it as a common application, not a Common System. It should be the decision of each institution whether or not to use it. CIOs should not be the champions or the funders of such an application. Participating institutions will need to talk with their local IT organizations about the identity management aspects of implementing such a product.

The value of Common Systems usually accrues to each institution in proportion to their investment. If the license costs per institution are more or less the same, a Common System would result in UW-Madison picking up the majority of the cost. Werner Gade will draft a response to the records officers on behalf of the CIO Council.