

UNIVERSITY *of* WASHINGTON

Information & Technology Governance  
**Executive Committee Meeting**

---

March 28, 2024

3:00-4:20 pm



## Agenda (March 28, 3:00-4:20 pm)

<i>Time</i>	<i>Topic</i>	<i>Presenter(s)</i>
3:00	Welcome	Sarah Norris Hall Andreas Bohman
3:05	I&T Governance Overview	Sarah Norris Hall
3:10	Information Security & Privacy Domain Status	Jane Yung Isaac Straley
3:30	UW-IT Husky TV Service Report-out	Bin Guo Roland Lai
3:35	I&T Governance Topic buildout	Sarah Norris Hall Andreas Bohman
4:15	Closing	Andreas Bohman Sarah Norris Hall

UNIVERSITY *of* WASHINGTON

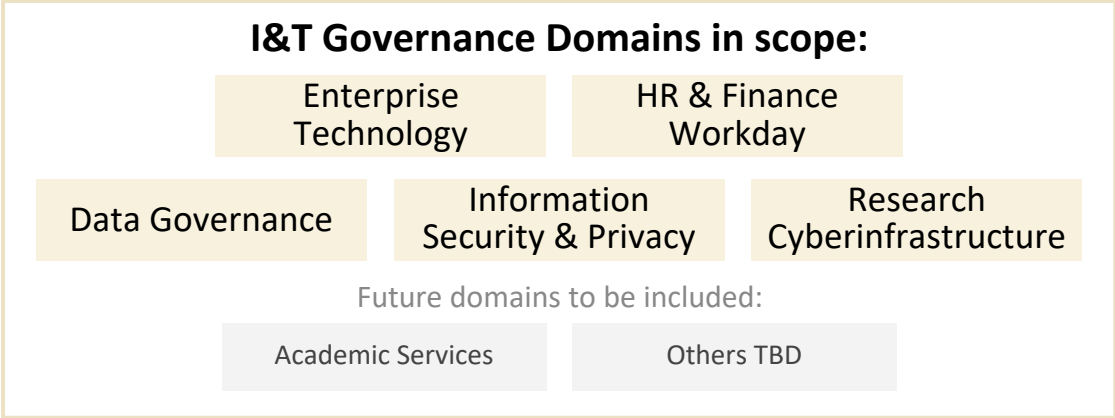
# I&T Governance Overview

---



# Information & Technology Governance Structure

## Information & Technology Executive Committee

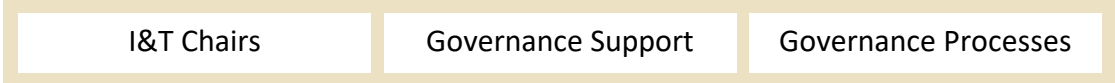


**Shared executive leadership** drives and aligns goals & strategies, prioritizes initiatives & funding, and endorses standards

**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*



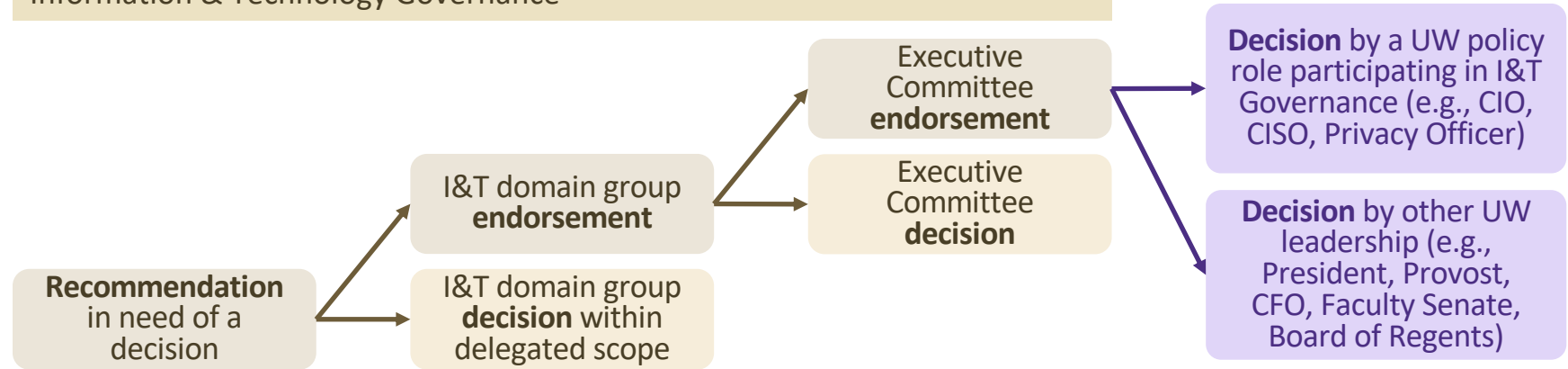
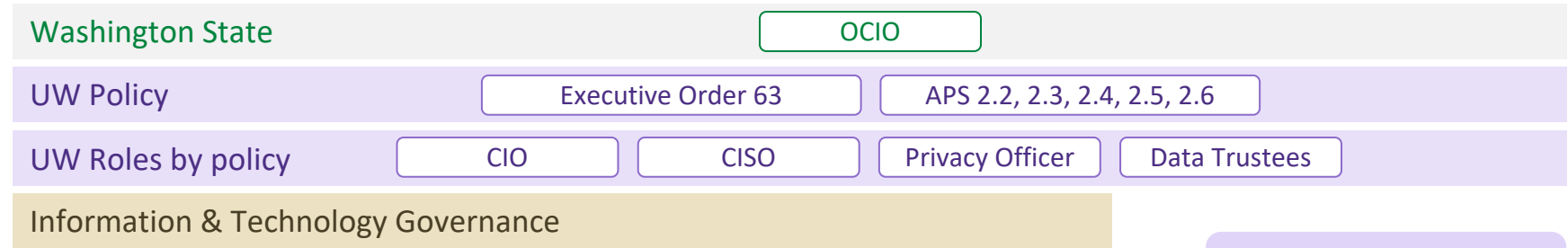
**Supporting functions** coordinate and streamline intake and resolution

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

In collaboration with related groups in UW Medicine, UW Bothell, UW Tacoma, Faculty Senate, and academic & administrative governance



# 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 Governance Charter for Executive Committee

---

A [draft of the I&T Governance charter](#) of the Executive Committee is ready for review.

By April 12, please suggest by providing feedback to Governance Operations ([itgov@uw.edu](mailto:itgov@uw.edu)).

If we have sufficient support, we will vote to adopt a v1 charter at our April 22 meeting. We can make revisions as we learn more about what structures and procedures we need.

Having an Executive Committee charter will support the chartering of other domains.



# Information Security & Privacy Domain Status

---

Isaac Straley, Chief Information Security Officer

Jane Yung, Executive Compliance and Risk Officer  
(Co-Chairs, Information Security & Privacy Board)



# Information Security & Privacy Participants

	Name	Title	Unit
<b>Chairs</b>	Isaac Straley	Chief Information Security Officer	UW-IT
	Jane Yung	Chief Compliance & Risk Officer	Office of the President
<b>Members</b>	Ben Adams	Facility Security Officer	Applied Physics Laboratory
	Slayton Austria	Chief Technology Officer	UW Medicine
	Anja Canfield-Budde	AVP Data & Applications	UW-IT
	Joseph "Augie" D'Augustino	Chief Information Security Officer	UW Medicine
	Beth DeLair	Chief Compliance Officer	UW Medicine
	Joseph DeLeon	Deputy Chief Information Security Officer	UW Medicine
	Bin Guo	Chief Technology Officer	UW-IT
	Stephanie Jellison	Director, Compliance and Risk Services	Compliance and Risk Services
	Mike Middlebrooks	Director of Information Technology	School of Medicine
	Patrick Pow	Vice Chancellor for Information Technology and CIO	UW Tacoma
	Lenny Sanchez	Director, Patient Information Privacy	UW Medicine
Amy Stutesman	Director of Strategic Operations	UW Bothell	





# Meetings and Working Groups

Board meetings scheduled every two months, with break over summer months.

Working groups will be established focused on high priority topics to report back to Board.

Date	Topics
January 9, 2024 2:00pm	Kick-off
March 14, 2024 2:00pm	2024 Workplan ERM TrustArc
May 9, 2024 2:00pm	Authority of Access
September 12, 2024 2:00pm	TBD
November 14, 2024 2:00pm	TBD



# Privacy Official position history

---

**2001:** UW created a “Privacy Official” position established to comply with HIPAA (CFR 164.530 (a)(1-2)).

Per HIPAA UW is required to:

- Designate a **Privacy Official** who is responsible for the **development and implementation of the policies and procedures** of the entity.
- Designate a **contact person or office** who is responsible for **receiving complaints and providing further information** about matters covered by the notice [e.g. privacy practices given to patients]
- Document personnel designations

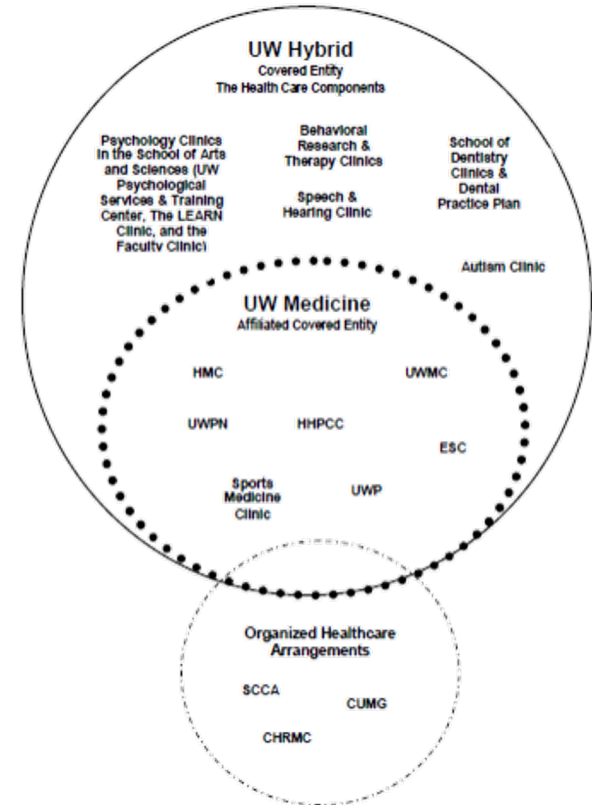


# Privacy Official position history

In 2001, the HIPPA Privacy Official position has been assigned to a UW Medicine or Health Sciences Administration executive as a secondary responsibility.

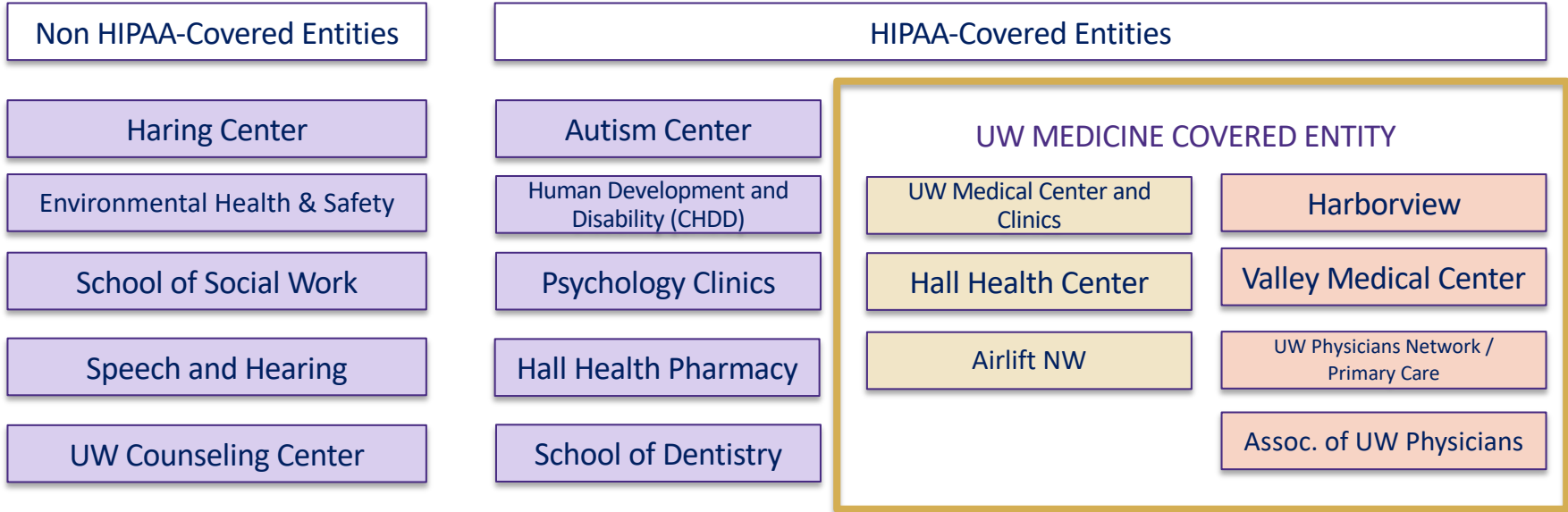
## “UW Electronic Information Privacy Policy on Personally Identifiable Information”

- Describes the university's commitment to ensuring that the treatment, custodial practices and uses of personally identifiable information comply with all related federal & state statutes
- Assigns responsibility for patient information and information about referring physicians to the EVPMA and indicates that the EVPMA has delegated his authority to the Exec Director of Health Sciences and/or the Executive Director of UWMC and/or Executive Director of HMC.



# Current State

## Privacy & Data Security Responsibilities - UW Healthcare



Key:

Healthcare Components Compliance Group / CRS

UW Medicine (UW Legal entities)

Affiliates: non UW legal entities



# Elements of a Compliance Program

---

1. Policies, procedures, and standards
  - Standards of Conduct Guide
  - Ethics policy
2. Designating a compliance officer and committee
  - Compliance Advisory Committee
3. Conducting effective training and education
  - Compliance Training
4. Incident / Event Reporting
  - Hotline
5. Internal monitoring and auditing
  - Internal Audits
  - Compliance Inspections
  - Peer Reviews
  - External Audits, Reviews and Inspections
6. Enforcing standards through well-publicized disciplinary guidelines
  - Consequences levied consistently regardless of the employee's stature within the organization. Enforcement consistent with appropriate disciplinary action.
  - [HR's managing conduct webpage](#)
7. Responding promptly to detected problems and undertaking corrective action
  - Hotline procedures require two weeks for action; elevation to VP/President



# Roles and Responsibilities



CRS

## “Create the menu”

- Assess laws and legal compliance requirements for frameworks



CRS

## “Regulator/fire department”

- Regulatory resolutions
- Interventions for compliance



OIS

## “Operations & Executive Chef”

- Policy, procedure, standards development
- Risk Assessment
- Auditing
- Incident response
- Records compliance and documentation
- Reporting
- Training



Security and Privacy Board

## “Health department”

- Oversight and Governance
- Standards Enforcement

# Public Records Act and Privacy Policies Alignment

Under RCW 42.56, there is no general “privacy” exemption.

If privacy is an express element of another exemption, privacy is invaded only if disclosure about the person would be:

1. “Highly offensive to the reasonable person”

**AND**

2. “Not of legitimate concern to the public.”

***Information that does not satisfy both these factors cannot be withheld as “private” information.***

Some examples of PRA exemptions where privacy overlaps:

- FERPA - protected student information
- HIPAA - Patient Information
- Healthcare QI discussions/materials
- Attorney-client privileged discussions (must be about legal advice)
- Application materials for employment
- Investigations
- Claims information



# Expectations for Executive Committee and Domain

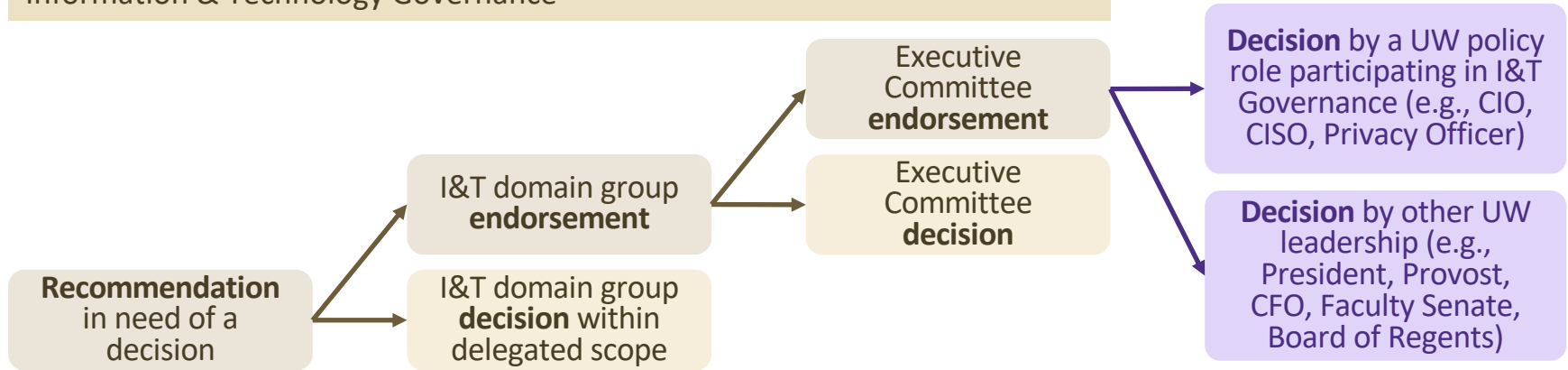
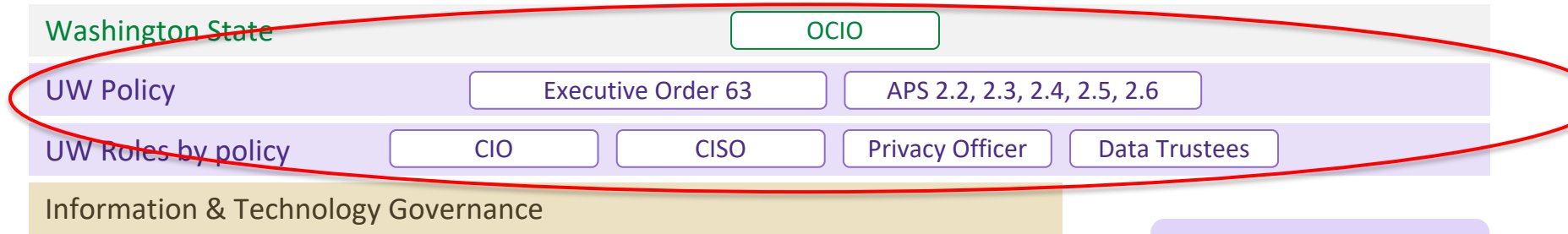
---

- > Domain will bring to ExCo:
  - Recommendations
  - Policy changes
  - Resource awareness
  - Compliance functions that require decisions / training approvals
  
- > What is ExCo expectation of Security & Privacy domain?
  
- > UW Privacy Officer and CISO





# 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

# Policy

---

## RCW 43.105.205

(3) In the case of institutions of higher education, the powers of the office and the provisions of this chapter apply to business and administrative applications but **do not apply to (a) academic and research applications; and (b) medical, clinical, and health care applications**, including the business and administrative applications for such operations.

However, institutions of higher education must disclose to the office any proposed academic applications that are enterprise-wide in nature relative to the needs and interests of other institutions of higher education. Institutions of higher education shall provide to the director sufficient data and information on proposed expenditures on business and administrative applications to permit the director to evaluate the proposed expenditures pursuant to RCW [43.88.092\(3\)](#).



# Workplan

---

Project	Lead	Target Timeframe
Policies and Delegations	CISO	May 2024
4 Tier Data Classification	CISO	May 2024
Legal Review <ul style="list-style-type: none"><li>• GDPR</li></ul>	UW Privacy Officer	June 2024
Incident Response Decision Tree	CISO	September 2024
Responsibility Matrix (inclusive of UW Med)	UW Privacy Officer	December 2024
Templates and Standard Procedures Review	CISO	Ongoing



# I&T Governance Decision- Making: UW-IT Husky TV Service

---

Bin Guo, UW-IT CTO and Associate Vice President for Infrastructure  
Roland Lai, IT Director of the Department of Anesthesiology & Pain  
Medicine and the Department of Surgery  
(Co-Chairs, I&T Enterprise Technology Board)



# Current Backlog of I&T Governance Decisions

The 2023 Service Management Board (SMB) Report included 4 areas of recommendations.

## Today's update:

- Husky TV: The **Enterprise Technology Domain** will provide an update on its decision, based on the SMB recommendation that UW-IT gather more data on student usage and content delivery preferences to determine if the Husky TV service is still necessary and useful

## Under review in the Enterprise Technology domain, targeted for I&T Executive Committee in March-June:

- Google Apps / Microsoft Office 365: SMB recommended that UW-IT reduce reliance on the UW Google service by working to increase departmental adoption of UW Office 365
- U Drive: Recommend a review of the various storage offerings with an eye to simplifying and consolidating them for better user experience and reduced administrative cost

## Past decision:

- Audio Conferencing: The Executive Committee endorsed the option to maintain the service for emergency management uses, asking the Enterprise Technology domain to review again in 2 years



# Enterprise Technology Board Decision

## The Enterprise Technology Board recommends:

- UW-IT should retire its central service for Husky TV and end service in June 2024. UW-IT should use its funding surplus to retire the service and return the remainder to customers.
- HFS is expected to continue to provide TV services in common areas where required by start of Autumn quarter 2024 – using a vendor such as Comcast – and making this service available to other UW units if desired.
- Any new/replacement services will be extended to all three campuses, including the new Big10+ streaming service

Board Member	YES	NO	Other
Bin Guo	X		
Roland Lai	X		
Frank Barber	X		
John Borwick	X		
Helen Garrett	X		
Andrew Gorohoff	X		
Mike Middlebrooks	X		
Paul Miller	X		
Courtney Ng	X		
Patrick Pow	X		
Helen Oland	X		
Michael Secright	X		
Amy Stutesman	X		
Heidi Tilghman			Absent
Nicky West	X		
Mick Westrick	X		
Thayer York	X		



UNIVERSITY *of* WASHINGTON

# I&T Governance Topic Buildout

---



## Goals

---

Work with your peers to

- > Understand more about information and technology drivers across the University
- > Identify shared priorities
- > Begin thinking about criteria for prioritization





## Prior Executive Input (UW-IT Strategic Planning)

---

- > Cybersecurity and its relationship to emerging technology
- > Artificial intelligence – its impact and the UW's approach
- > SIS modernization and student systems transformation
- > Need for continued work on Workday HR and Finance
- > Data-driven decision making using automated systems
- > Accessible technologies
- > Desire for more centrally managed enterprise solutions, standardized infrastructure, tools, and economies of scale
- > Better funding models for enterprise technology
- > Desire for shared networking and professional development across distributed and central IT organizations



# Governance Topic Buildout

---

- > 15 min - In your breakout room (optionally using [this document](#) for notes):
  - What information & technology issues is the University (or your unit) confronted with? What kinds of decisions are needed?
  - Which of these issues should governance engage with?
  - From this group, which 2 issues would have the **greatest impact** from governance decision-making, and are **tractable** to work on?
- > 25 min - Report out to the full group:
  - What were the two top issues in your breakout room?
  - What are first steps in taking action on these issues?



# Breakout Rooms

1	2	3
<p><b>Sarah Norris Hall</b>, Senior Vice President and CFO</p> <p><b>Lou Cariello</b>, Vice President, UW Facilities</p> <p><b>Sheila Edwards Lange</b>, Chancellor, UW Tacoma</p> <p><b>Mindy Kornberg</b>, Vice President, UW Human Resources</p>	<p><b>Andreas Bohman</b>, UW CIO and VP for UW-IT</p> <p><b>Denzil J. Suite</b>, Vice President for Student Life, Office for Student Life</p> <p><b>Simon Neame</b>, Dean of University Libraries</p>	<p><b>Mari Ostendorf</b>, Vice Provost for Research, Office of Research</p> <p><b>Eric Neil</b>, Chief Information Officer, UW Medicine</p> <p><b>Fredrick Nafukho</b>, Vice Provost for Academic Personnel, Office of Academic Personnel</p>

# Report Out (Top Issues and First Steps)

- > +1 Rm1 – Need to invest in **technologies at scale**; needs decision-making in order to save money and have coherence; needs a coherent funding model; wide variety of licensed solutions in different units – we could be working together more, leveraging our buying power, and sharing expertise to manage the solutions and vendors
- > Rm1 – Need a new **student database**, and the funding to do that
- > Rm2 – Adaptive **accessible technology** in the classroom; need to address disability accommodations; into compliance with regulations – related to AI technologies that could help
  - And more generally: envision what the future classroom looks like; guide the future architects – accessible technology helps all students
  - Action: Scope a potential pilot
- > Rm2 – Growing need for **data storage & retention**; especially research data and their preservation for the future – plus open science and data sharing
- > +1 Rm2 - University wide approach to **identity management**; including Husky Card physical access and systems access – foundational for everything constituents do – very impactful for UW Medicine; the same person can have many roles
  - Action: Husky Card work under way that can be a catalyst for broader discussion; many challenges, and they span the whole UW; currently doing a security & risk assessment
- > Rm3 – **Artificial intelligence** – new Task Force; many opportunities; not sure what to recommend at this point
- > And continue to bear in mind: **Workday** and **cybersecurity**



## Thank You!

---

4/22 meeting will be hybrid with in-person option in the UW Tower, room TBD.

Minutes and Materials will be published within 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>



UNIVERSITY *of* WASHINGTON

# Appendices



# I&T Executive Committee

---

## Co-Chairs:

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

## Members

- > **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
- > **Brad Simmons**, President of UW Medicine Hospitals & Clinics and Vice President for Medical Affairs
- > **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.





## Critical Success Factors: Commitments

---

- ❑ **UW CIO** commits to **empower governance** with selected delegated authority (under Executive Order 63 and relevant UW APS).
- ❑ **UW-IT** commits to be governed by and participate actively in the work and decisions of this governance model, and to support its operation.
- ❑ **UW executives** commit to **jointly defining shared goals, strategies, and standards** for information & technology, and carrying them out in their organizations.
- ❑ **UW units** commit to review of proposed information & technology projects that meet defined thresholds for impact and risk.
- ❑ **Governance groups** commit to work together to carry out defined roles, responsibilities and handoffs.

