

# IT GOVERNANCE AT CARLETON UNIVERSITY

Version 4.7

Office of the Chief Information Officer, Information  
Technology Services



Canada's Capital University

This Document provides the terms of reference and structure for Information Technology Governance at Carleton University.

## **OVERVIEW**

Information Technology (IT) Governance is a key requirement that greatly enhances the success of an organization. In order to be effective, it has to be about making relevant and timely decisions, creating and stimulating the critical dialogue that will lead to better and more informed decisions, and increasing transparency and the level of collaboration within the institution. IT Governance at Carleton University is inclusive of teaching and learning, research and administration.

The scope of IT Governance at Carleton University ensures that the investment in information technology aligns with the strategic direction, themes and priorities of the University including the Strategic Integrated Plan.

### **IT Governance focuses on:**

- IT principles – clarifying the institutional role of IT
- IT investment and prioritization – choosing which initiatives to fund and how much to spend
- IT architecture – defining integration and standardization requirements
- IT infrastructure – determining and enabling shared services
- Business application needs – specifying the business need for purchased or internally developed IT applications

### **IT Governance processes operate at three levels:**

- Information Systems Executive Committee (ISEC) – provides oversight of the governance process
- Information Systems Steering Committee (ISSC) – operates as the strategic enterprise level committee for IT Governance
- Other Committees and Working Groups

## **COMMITTEE STRUCTURE AND ORGANIZATION**

This section focuses on the mandates, objectives and functions of each of the committees that comprise the IT Governance process. Memberships are outlined in Appendix A.

### **ISEC (Information Systems Executive Committee)**

The key mandate of the ISEC is to provide oversight and guidance to the governance process. This Committee will assess the function and performance of the various committees within the scope of this governance structure and take action as required to ensure the processes are effective and meet the overall strategic objectives of the University.

ISEC is accountable for ensuring the governance process is performing appropriately. It is at this Committee where decisions should be taken as to whether the overall structure and process are working, and if not, what actions are required to correct them.

ISEC must also consider the broader issues dealing with IT strategy and IT investment as it applies to Carleton University.

#### **It is within the mandate of ISEC to:**

- Ensure alignment of initiatives with the strategic themes of the University
- Identify and recommend levels of investment and funding in IT
- Set and communicate the overall business objectives as they relate to IT

The members of ISEC also provide key linkages into other senior level committees; namely, Senior Management Committee (SMC), Financial Planning Group (FPG), Vice-President Academic & Research Committee (VPARC) and Strategic Integrated Planning Committee (SIPC)

As the primary mandate is oversight, and the key operational committee will be ISSC, it is important that ISEC define the appropriate membership for ISSC.

### **ISSC (Information Systems Steering Committee)**

The primary mandate of the ISSC is to operate as the strategic enterprise level committee for IT governance. This Committee will be the prime venue for discussing initiatives and issues related to broad IT decisions about policy, resource allocation, strategy alignment and priorities.

The ISSC will ensure that IT related initiatives undertaken and funded by the University align with the business of the University. It is important that the appropriate linkages be established to increase the probability of success and that the benefits realization is in fact optimized.

**The ISSC will operate with the following principles:**

- The Committee will guide the strategic directions and priorities of IT as they relate to the business of the University and ensure alignment with the Strategic Integrated Plan, and Finance and Administration's Balanced Scorecard.
- The Committee will ensure that the strategic focus, the sharing of plans and intent will fit into and complement the Carleton University strategic planning process.
- The Committee will take a long term view of IT investments and the potential to impact and influence the business of the University. The goal is to ensure that balance is achieved between Academic and Administrative initiatives, and between short and long term projects.
- The Committee will ensure that scarce IT resources are allocated to the most advantageous benefit of the University.
- The Committee will encourage broad participation and engagement from the community through transparency, strategy and dialogue. The ISSC will deal with matters of policy, funding, projects, and information as it relates to the transparency of IT.

**It is within the mandate of ISSC to:**

- Achieve balanced portfolio management through a systematic and strategic review that aligns with the University's strategic initiatives.
- Define and establish strategic priorities relating to information technology.
- Approve proposals for new initiatives based on strategic and objective assessment. Deal with broader topics, strategies and initiatives in a more anticipatory manner and at earlier stages than has been the practice in the past. The project Proposal will be used as a vehicle to communicate intent at a much earlier stage around the potential impact, benefits and resources for a potential project.

The intent is to achieve balance among proposals to better align with the strategic priorities of the University. While this notion of balance will be better defined through the ISSC, it could be construed as a balance between the Administrative, Academic and Research missions of Carleton.

As projects are granted funding, it becomes important to provide regular status reports to ISSC, particularly for some of the higher profile projects. It is within the mandate of the ISSC to define those projects which will require regular ongoing review.

There are some projects that may not necessarily require funding decisions, but may benefit from visibility at the ISSC. The reasons will vary but the underlying strategy and intent is to improve the level of transparency and collaboration within the University.

It is important at this point to distinguish between funding for projects that are of an administrative nature and those for academic purposes. The mandate of ISSC does not extend to those initiatives that are for the sole purpose of teaching and research.

The ISSC may grant one-time fiscal funds only. Any on-going base funding requirements is the responsibility of the project Sponsor; the ISSC does not have the authority to provide base funding.

The ISSC is not a technical committee. Membership will consist of those individuals that can represent and debate the business of the University. The objective is to balance the size and representation in order to keep the operation of the Committee efficient and yet representative of the community.

## **Other Committees and Working Groups**

There are a number of other IT related committees and working groups that operate in various capacities on campus. Some are formal entities and meet regularly, whereas others are less formal and meet as required. Rather than define formal relationships and impose a structure, it is suggested that linkages be established as required.

There may be groups or functions the ISSC would like to hear from on a regular basis; and these would be scheduled as required. Conversely, if one of the working groups or committees requires funding, or approval on an enterprise scale project, the option of proposing a project to ISSC is open to them.

In order to facilitate the approval process for Information Systems projects, the various Computing Committees will review information systems Proposals and consequent Project Charters prior to their submission to ISSC.

## **TLCC (Teaching and Learning Computing Committee)**

The mandate of this Committee is to provide centralized coordination of computing and data infrastructure investments to support the teaching and learning mission of the University. The objective is to identify common needs across the teaching and learning community at Carleton with respect to infrastructure, hardware, software and technical support. This can include enterprise teaching and learning systems like; cuLearn, software licensing for computer labs and classrooms, network infrastructure for teaching and learning purposes, and policy decisions that impact the teaching and learning community.

This Committee will be responsible for:

- Collecting relevant information for decision-making from all academic units
- Identifying common needs with respect to infrastructure, software, hardware, and technical support for teaching and learning (online, blended and face to face environments)
- Foreseeing future needs that ought to be taken into consideration to support the University's strategic teaching and learning initiatives
- Recommending policy and procedures relating to academic computing
- Seeking opportunities for pooling resources to make investments that address common needs
- Identifying potential external partners for investments in academic computing
- Providing a venue in which to review Proposals and Project Charters before they are submitted to the ISSC in order to support established priorities and relevance to the priorities set for the University.

The Committee will identify and report teaching and learning computing priorities and funding requirements to the ISSC.

### **RCC (Research Computing Committee)**

The mandate of this Committee is to provide centralized coordination of computing and data infrastructure investments and growth to support and advance the research mission of the University. The objective is to identify common needs with respect to infrastructure, hardware, software, and technical support in order to ascertain critical mass for evaluating the added value of investments, and to pool resources so that efficiencies may be realized.

This Committee will be responsible for:

- Collecting relevant information for decision-making from all Faculties
- Identifying common needs with respect to infrastructure, software, hardware, and technical support for research
- Foreseeing future needs that ought to be taken into consideration as new investments are made
- Seeking opportunities for pooling resources to make investments that address common needs
- Identifying potential external partners for investments in research computing
- Providing a venue in which to review Proposals and Project Charters before they are submitted to the ISSC in order to support established priorities and relevance to the priorities set for the University.

The Committee will identify and report research computing priorities and funding requirements to the ISSC.

## **ACC (Administrative Computing Committee)**

The mandate of the Administrative Computing Committee is to support ISSC and the University in prioritizing resources and efforts in the development of information technology services, and to support the future direction and vision for the administrative IT systems domain.

This Committee will be responsible for:

- Identifying information technology needs, capabilities and support requirements
- Collecting relevant information for decision-making across the University
- Identifying administrative information technology priorities and funding requirements to the ISSC
- Providing a venue in which to review Proposals and Project Charters before they are submitted to the ISSC in order to support established priorities and relevance to the priorities set for the University.

The main focus will be to assess Carleton's present administrative computing technology, identify areas that need improvement, and research technology trends in order to develop a vision for the future.

## **DAWG (Data Administration Working Group)**

The DAWG focuses primarily on enterprise data issues relating to administrative systems, primarily the Banner Enterprise Resource Planner. The DAWG is co-chaired by the Associate Registrar, Student Systems Support, and the Assistant Director, Enterprise Applications (CCS), and reports to the ISSC on an as-required basis.

## APPENDIX A: COMMITTEE MEMBERSHIPS

This Appendix identifies the membership of the various committees and the frequency of meetings.

### Information Systems Executive Committee (ISEC)

Chair:	Vice-President (Finance and Administration)
Membership:	Provost and Vice-President (Academic) Vice-President (Research and International) Vice-President (Students and Enrolment) Chief Information Officer
Meetings:	Six meetings annually or at the discretion of the Chair

### Information Systems Steering Committee (ISSC)

Chair: Secretary:	Chief Information Officer Manager, Project Management Office, ITS
Membership:	Provost and Vice-President (Academic) Vice-President (Finance and Administration) Vice-President (Students and Enrolment) Associate Vice-President (Research Planning and Operations) Associate Vice-President (Teaching and Learning) Vice-Provost and Associate Vice-President (Academic) Dean, Faculty of Engineering and Design Dean, Sprott School of Business Dean, Faculty of Graduate and Postdoctoral Affairs University Librarian Assistant Vice-President (Financial Services) Assistant Vice-President (Human Resources) Assistant Vice-President (University Services)
Meetings:	Monthly or at the discretion of the Chair



**Teaching and Learning Computing Committee (TLCC)**

Chair:	Director, Educational Development Centre
Membership:	<p>Director, Office of the Vice-President (Academic)          Associate Registrar, Student Systems Support          Director, Enterprise Applications, ITS          Director, Undergrad Research Engagement          Representatives from the following:</p> <ul style="list-style-type: none"> <li>• Faculty of Arts and Social Sciences</li> <li>• Faculty of Engineering and Design</li> <li>• Faculty of Public Affairs</li> <li>• Faculty of Science</li> <li>• Sprott School of Business</li> <li>• University Library</li> <li>• Instructional Media Services</li> </ul>
Meetings:	Monthly during the normal academic year

**Research Computing Committee (RCC)**

Chair:	Director, Carleton University Research Office (CURO)
Membership:	<p>Associate Dean Research, Faculty of Science          Associate Dean Research, Faculty of Engineering and Design          Manager, Research Computing Services, ITS          Representatives from the following:</p> <ul style="list-style-type: none"> <li>• Faculty of Arts &amp; Social Sciences</li> <li>• Faculty of Public Affairs</li> <li>• Faculty of Science</li> <li>• Sprott School of Business</li> <li>• University Library</li> </ul>
Meetings:	Once each academic term or as required

**Administrative Computing Committee (ACC)**

Chair:	University Librarian
Membership:	<p>Representatives from the following:</p> <ul style="list-style-type: none"> <li>• Finance and Administration</li> <li>• Office of the Provost and VP (Academic)</li> <li>• Research and International</li> <li>• Faculty of Graduate and Postdoctoral Affairs</li> <li>• University Library</li> <li>• Computing and Communication Services</li> <li>• Registrar's Office</li> <li>• Faculty of Engineering and Design</li> <li>• Human Resources</li> </ul>
Meetings:	Monthly or at the discretion of the Chair

**Data Administration Working Group (DAWG)**

Co-Chairs:	Associate Registrar, Student Systems Support Director, Enterprise Applications, ITS
Membership:	<p>Director, Admissions          Director, Student Awards          Director, Advancement Services          Director, Operations and Planning          Graduate Secretary and Registrar, FGPA          Manager, Human Resources Information System          Manager, Finance Information System          Director, Information Security, ITS          Enrolment Reporting Officer, OIRP          Assistant Director, University Safety          Privacy Officer          Director, Strategic Procurement</p>

	Banner Functional Support Officer, Undergrad Admissions Banner Functional Support Officer, Grad Admissions Manager, Faculty Affairs
Meetings:	Quarterly or as required

**APPENDIX B: VERSION CONTROL AND HISTORY**

<b>Revision Number</b>	<b>Authors</b>	<b>Date</b>	<b>Comments</b>
4.7	Claude Phaneuf	September 2017	<ul style="list-style-type: none"> <li>• Update of list of committees</li> <li>• Update of committees membership</li> </ul>
4.6	Susan Nesrallah	September 2015	Change in Chair of Administrative Computing Committee
4.5	Susan Nesrallah	March 2015	<ul style="list-style-type: none"> <li>• Change in title for VP (Students and Enrolment)</li> <li>• Addition of FGPA rep on ACC</li> </ul>
4.5	Susan Nesrallah	November 2014	<ul style="list-style-type: none"> <li>• Update of ISEC key linkages</li> <li>• Updates of Committee memberships</li> <li>• Addition of Computing Committees role of reviewing IT project Proposals and Charters prior to submission to ISSC</li> </ul>
4.4	Susan Nesrallah	April 2014	<ul style="list-style-type: none"> <li>• Revision of DAWG membership</li> </ul>
4.4	Susan Nesrallah	November 2013	<ul style="list-style-type: none"> <li>• Academic Computing Committee name change to Teaching and Learning Computing Committee</li> <li>• TLCC Mandate revision</li> <li>• Administrative Computing Committee Mandate revision</li> </ul>
4.3	Denis Levesque	July 2013	<ul style="list-style-type: none"> <li>• Add Administrative Computing Committee</li> <li>• Update to reflect changes in strategies, committee memberships</li> </ul>
4.2	Susan Nesrallah	March 2013	<ul style="list-style-type: none"> <li>• Add Research Computing Committee section</li> <li>• Update memberships where necessary</li> </ul>
4.1	Susan Nesrallah	April 2011	<ul style="list-style-type: none"> <li>• Add statement on funding for administrative vs academic initiatives</li> <li>• Update Academic Computing Committee membership</li> </ul>
4.0	Ralph Michaelis	January 2011	Rewrite to position the Committee as a more strategic entity
3.0	Ralph Michaelis	April 2005	Re-write
2.0	Brian Geddes	28/1/2002	Capture Feedback from ISTSC meeting 22/1/02
1.0	Brian Geddes	21/1/2002	First release for comment Presented to ISTSC 22/1/02