

Information Technology Governance (ITG) Charter

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1. Purpose

IT Governance (ITG) at Southern Methodist University ensures the alignment of Information Technology investments with the strategic goals and objectives of the University.

2. Structure

The ITG framework consists of the Executive, Strategic and Functional domain (see Figure 1 below).

President's Executive Council (PEC) is the highest governing body accountable for the overall evaluation, direction, and monitoring of the ITG Framework.

Information Technology Leadership Council (ITLC) is the strategic governance domain, which provides periodic reports directly to the PEC. The ITLC functions to facilitate a common approach for soliciting, reviewing, prioritizing and moving forward with technology initiatives across SMU's research-intensive, instructional, and administrative domains.

In addition to ITLC, there are four functional councils: Academic Technology Council (ATC); Data Warehousing and Analytics Council (DWAC); Enterprise Application Council (EAC); and Information Security Advisory Council (ISAC). These councils function to make recommendations for projects that fall within their respective domains.

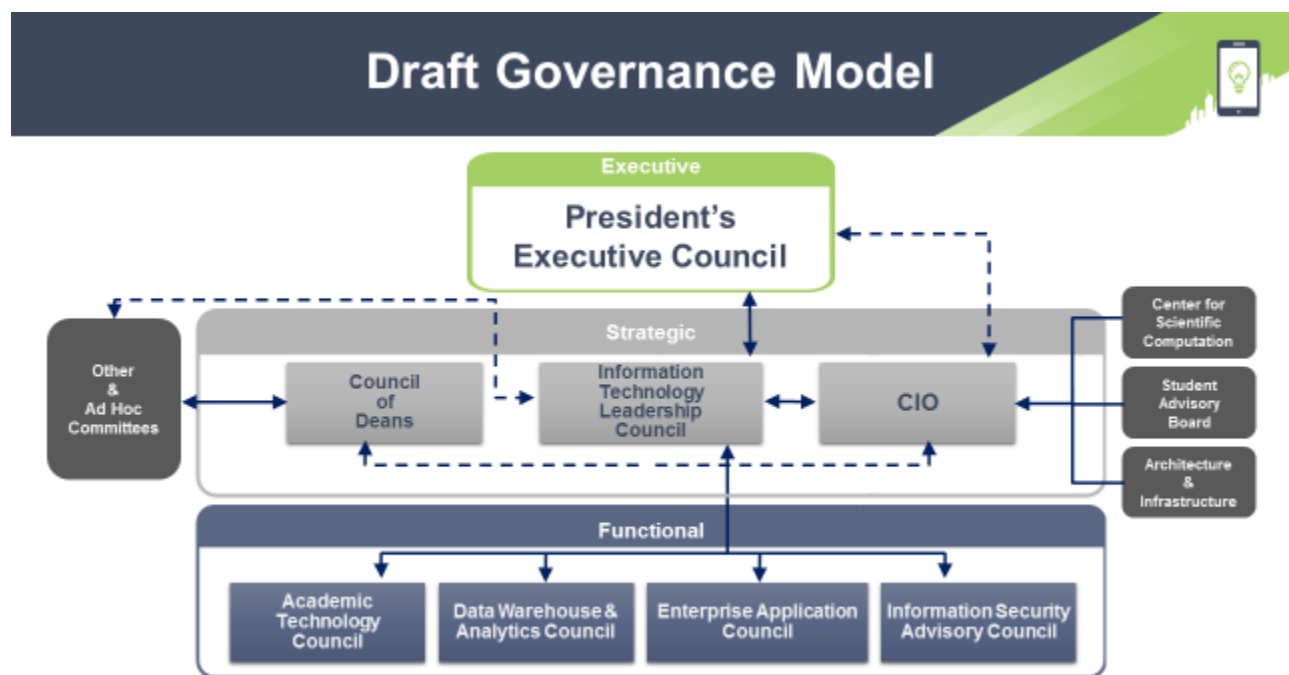


Figure 1

3. Executive Council

3.1. President's Executive Council (PEC)

3.1.1. Charge

The President's Executive Council (PEC) approves the University-wide IT vision and overall IT budget structure, sets key IT priorities for the University, endorses IT principles, policies, and standards, resolves University-wide strategic IT issues, and establishes accountability for enacting decisions. The council receives formal, periodic recommendations and input from the CIO.

3.1.2. Authority

The council has the authority to enact policy, execute decisions, and offer exceptions that supersede any ITG council outcome. The University president has the final authority in decision-making.

3.1.3. Membership

1. University President
2. Provost and Vice President, Academic Affairs
3. Director, Athletics
4. Vice President, Business and Finance
5. Vice President, Development and External Affairs
6. Vice President, Executive Affairs
7. Vice President, Legal Affairs and Governmental Relations General Counsel and Secretary to the Board of Trustees
8. Vice President, Student Affairs
9. Vice President, Treasurer and Chief Investment Officer

4. Strategic Governance

4.1. Information Technology Leadership Council (ITLC)

4.1.1. Charge

The Information Technology Leadership Council (ITLC) advises and executes decisions in IT strategies, investments, operations, priorities and services. The ITLC operates transparently and is accountable to the SMU community.

4.1.2. Authority

The ITLC has the authority to execute strategic, operational, planning, technical, and policy decisions, as well as offer exceptions to a decision from any other ITG council.

4.1.3. Membership

1. Chief Information Officer (chair)
2. Chair, Academic Technology Council (ATC)
3. Chair, Data Warehouse and Analytics Council (DWAC)
4. Chair, Enterprise Applications Council (EAC)
5. Chair, Information Security Advisory Council (ISAC)
6. Associate Provost, Provost Office
7. Associate Vice President, Business and Finance
8. Principal Investigator, Faculty with active grants representing SMU's research mission
9. Student senate representative

10. Project Management Office, Office of Information Technology (ex-officio)

4.1.4. Meeting Frequency

At the minimum, the Council will meet the last week of each month beginning in January and ending in November.

5. Functional Governance

5.1. Academic Technology Council (ATC)

5.1.1. Charge

The Academic Technology Council (ATC) is a primary steward of SMU's academic information technology resources. Academic leaders serving on the Council maintain an understanding of the academic technology needs of their school or unit, while also advocating for technologies that enhance the capabilities of the University as a whole.

5.1.2. Authority

The ATC provides recommendations for annual academic project priorities and quarterly revisions to the ITLC.

5.1.3. Membership

1. Associate Vice President and Dean, Office of Research and Graduate Studies (chair)
2. Faculty Senate Representative
3. Director, Center for Scientific Computation
4. Librarian, Central University Libraries
5. Faculty, Cox School of Business
6. Faculty, Dedman College of Humanities and Sciences
7. Faculty, Dedman School of Law
8. Faculty, Guildhall
9. Faculty, Lyle School of Engineering
10. Faculty, Meadows School of the Art
11. Academic Technology Executive Director, Office of Information Technology
12. Chief Information Officer (ex-officio)
13. Project Management Office, Office of Information Technology (ex-officio)
14. Faculty, Perkins School of Theology
15. Faculty, Simmons School of Education and Human Development
16. Senior Academic Technology Service Directors (ex-officio)

5.1.4. Meeting Frequency

At the minimum, the Council will meet once every third week of each month beginning in January and ending in November.

5.2. Data Warehouse and Analytics Council (DWAC)

5.2.1. Charge

The Data Warehouse and Analytics Council (DWAC) works with the Data Governance Steering Committee to discuss overarching data needs and challenges to help with the University decision-making and policy. The DWAC provides broad direction and priorities on data governance and the data warehouse initiatives.

5.2.2. Authority

The DWAC provides recommendations for annual academic project priorities and quarterly

revisions to the ITLC.

5.2.3. Membership

1. Director, Office of Institutional Research (chair)
2. Associate Vice President, Campus Services
3. Librarian, Central University Libraries
4. Executive Director, Development Services
5. Associate Vice President, Enrollment Management
6. Associate Vice President, Facilities
7. President, Faculty Senate
8. Director, Guildhall
9. Associate Vice President, Human Resources
10. Director, Institutional Access & Equity
11. Associate Provost, Institutional Planning and Effectiveness
12. Associate Vice President, Office of Budgets and Finance
13. Chief Information Officer
14. Applications Executive Director, Office of Information Technology
15. Project Management Office, Office of Information Technology (ex-officio)
16. Associate Vice President and Dean, Office of Research and Graduate Studies
17. Chief of Staff, Office of the Provost
18. Associate Provost, Curriculum Innovation and Policy
19. Associate Provost, Faculty and Academic Resources
20. Associate Provost, Student Academic Services
21. Associate Provost, SMU Global and Online
22. Director, Student Affairs

5.2.4. Meeting Frequency

At the minimum, the CIO and/or his representative will be present at every Data Governance Steering Committee meeting, which occurs once a quarter.

5.3. Enterprise Applications Council (EAC)

5.3.1. Charge

The Enterprise Applications Council (EAC) provides strategic oversight for core administrative information systems across the University.

5.3.2. Authority

The EAC provides recommendations for annual administrative project priorities and monthly revisions to the ITLC.

5.3.3. Membership

1. Controller (chair)
2. Senior Executive Director, Development Services
3. Director, Enrollment Services
4. Associate Director, Financial Aid
5. Associate Director, Human Resources
6. Director of Space Management, Office of Facilities Planning and Management
7. Applications Executive Director, Office of Information Technology
8. Chief Information Officer
9. Associate Director, Office of Institutional Research

10. Chief of Staff, Office of the Provost
11. Director, Assessment and Strategic Initiatives, Student Affairs
12. Project Management Office, Office of Information Technology (ex-officio)
13. ERP Director, Office of Information Technology (ex-officio)
14. Integration Services Manager, Office of Information Technology (ex-officio)
15. Oracle DBA Manager, Office of Information Technology (ex-officio)
16. Web Director, Office of Information Technology (ex-officio)

5.3.4. Meeting Frequency

At the minimum, the Council will meet the last week of each month beginning in January and ending in November.

5.4. Information Security Advisory Council (ISAC)

5.4.1. Charge

The Information Security Advisory Council (ISAC) provides the ITG framework with institutional governance of information risk. It provides oversight and support of University information security by authoring privacy-related policies, procedures, and security initiatives.

5.4.2. Authority

The ISAC provides recommendation for annual academic project priorities and quarterly revisions to the ITLC.

5.4.3. Membership

1. Chief Security Officer, Office of Information Technology (chair)
2. Director, Business and Finance
3. Specialist, Development Services
4. Director, Enrollment Services
5. Associate Vice President, Human Resources
6. Director, Internal Audit
7. Chief Information Officer
8. Director, Office of Institutional Research
9. University Counsel, Office of Legal Affairs
10. Associate Vice President, Office of Risk Management
11. Associate Dean, University Health Center
12. Project Management Office, Office of Information Technology (ex-officio)

5.4.4. Meeting Frequency

At the minimum, the Council will meet quarterly beginning in January and ending in November.

6. Membership Obligation

The primary responsibility of participants in the ITG framework is to select IT work based on value provided to the University. Other responsibilities and functions include:

6.1. Information Technology Leadership Council (ITLC)

- Create a proposal for the annual project prioritization based on technology project recommendations collected from the Functional Councils
- Present budget requests to the PEC for initiatives requiring funding
- Read higher education IT industry research/articles provided by the CIO or discovered in

- independent reading and share resources with the Council as appropriate
 - Speak with 1-2 peers at other universities about their IT functions to bring an outside perspective to discussions
 - Speak with 5-10 student peers to identify opportunities for technology to enable student life
 - Speak with VP colleagues and Deans to understand technology opportunities in their area
 - Consult with IT leaders to define technology investment project needs
 - Provide open and honest feedback to IT on performance
- 6.2. Academic Technology Council (ATC)
- Collect project recommendations from Council members and work with the Academic Technology Director to create a prioritization proposal for ITLC
 - Provide input to the annual update of their school or unit's academic technology strategy
 - Talk to peers at other universities about their IT functions to bring an outside perspective to discussions
 - Provide open and honest feedback to IT on performance
 - Faculty representative from each school/Library:
 - Work with appointing Dean and Academic Technology Service Director to define the unit's annual academic technology priorities
 - Speak with faculty peers regularly to identify opportunities for technology to enable teaching, research, and service activities
 - Provide key input to documenting annual academic technology priorities (The unit's OIT Academic Technology Lead owns the work)
 - Provide a prioritized list of technology needs, if applicable, to Council Chair 10 days before annual project prioritization meeting
 - Consult with SMU library leaders annually to identify opportunities for technology to enable library activity
 - Serve as a representative for the Provost's Office on issues of University-wide academic strategy
- 6.3. Data Warehouse and Analytics Council (DWAC)
- Collect project recommendations from Council members to create a prioritization proposal for ITLC
 - Set direction and prioritize issues set by Data Governance Steering Committee
 - Approve data definitions (Glossary), data quality, and data timeliness with knowledge of impact on their domain

- Develop, implement, maintain and promote University-wide data management policies, standards, guidelines, and operating procedures related to University Institutional Data assets
- Assess University-wide application and institutional data needs to make operational, planning, and technical recommendations for stakeholder groups (i.e., faculty, researchers, students and staff)
- Advise on University-wide strategic plans for data management including sourcing, distribution, maintenance, and quality of University Institutional Data assets
- Advise on University-wide data management practices for decision making including data warehousing, business intelligence, master data management, and metadata management
- Recommend plans and methods for assessing data management value and risk
- Assist in enhancing Institutional Data with consistent definitions and classifications according to data management standards and guidelines

6.4. Enterprise Application Council (EAC)

- Collect project recommendations from Council members to create a prioritization proposal for ITLC
- Prioritize competing ERP resource demands, and deliver to ITLC if necessary
- Identify and prioritize technology-based solutions for University-wide IT service needs (outside of research, teaching, and learning); set priorities, and ensure coordination on the effective use of information technology resources to meet the operational needs of the University
- Optimize the design, delivery, operation, and sourcing of University-wide IT services
- Conduct an annual review of the IT Service Portfolio and provide recommendations to the ITLC for adding, changing, and removing services
- Prioritize potential ERP customizations for retirement
- Create a shared understanding between University stakeholders and IT service providers regarding the onetime (project) and ongoing (system lifecycle) resource implications for University resources of new systems investment

6.5. Information Security Advisory Council (ISAC)

- Collect project recommendations from Council members to create a prioritization proposal for ITLC
- Identify various methods by which awareness of information technology security issues can be raised among university and college
- Develop and maintain security controls and configurations within applications and database in use at SMU
- Coordinate network penetration tests to periodically evaluate the strength and security of the University wide computing environment
- Design and oversight of monitoring, auditing, and enforcement mechanisms to identify and correct root causes of security weaknesses in high-risk circumstances
- Communicate information security and privacy policy to campus constituents
- Coordinate responses to periodic information technology security surveys to provide an accurate campus-wide view of computer security

- Develop procedures and solutions to protect the privacy and security of confidential, personally identified information (PII) and protected health information (PHI) in all formats, e.g., paper, electronic, written, oral, transmitted, and/or stored
- Ensure that agreements with 3rd party vendors who process, store, or otherwise have access to personal information have been vetted for their information security practices and that contractual language is in place to protect the University
- Participate in the Computer Incident Response Team (CIRT) as needed
- Review of privacy and security incidents investigated by the Computer Incident Response Team (CIRT) and reported to the ISO to:
 - Determine whether the incident requires external breach notifications or meets an exception in accordance with State / Federal privacy breach notification laws
 - Assure that notification decisions are reached in a fair, consistent, objective, and efficient manner without undue delays and in compliance with State / Federal Privacy Laws concerning breach notifications
 - Provide guidance on remedial actions and sanctions to assure that fair, consistent procedures are implemented across the campus and clinical enterprise
 - Share collective expertise to evaluate incidents and determine whether to expand the scope of the incident investigation / remediation processes to other areas within the SMU campus
 - Review risk assessment documentation: Analysis for risk of financial and personal harm to individuals in accordance with applicable laws

7. Schedule of Appointments/Terms

The following table provides an overview of the term schedule for ITG participants and the staggered terms necessary for continuity of the ITG framework during implementation. The CIO will coordinate terms in conjunction with appointments across the respective University offices.

To view the Governance calendar, please click [here](#).

IT Governance Body	Member Terms/Procedures
Executive IT Council (PEC)	No terms among the members
Strategic IT Council (ITLC)	<p>For members who are not ex officio: each member shall serve a term of three years beginning in the month of June, and ending in the month of May during the third year of membership.</p> <p>The chairperson shall request up to three members for a second three-year term to enable continuity of experience in the Council.</p>
Functional IT Council	Each member shall serve a term of three years beginning in the month of June, and ending in the month of May during the third year of membership.

8. Document Revision History

Version	Date	Comments
1.0	5/10/18	Final version approved by PEC
1.1	4/12/19	<p>Added Center for Scientific Computing to the IT Governance framework in section 2.</p> <p>Updates to membership and titles throughout.</p> <p>Updates to schedule of Appointments/Terms in section 7,</p>