UCAR IT governance Assessment

Background:

Many aspects of the organization’s computing environment are decentralized and the divisions or programs have responsibility for:

- Modifying, maintaining and planning for their computer needs
- System Administrators are members of most divisions or programs
- Maintaining their groups websites
- Managing the desktop environment
- Manage software licenses, maintenance and support contracts
- Provide help desk
- Process network changes and submit these changes to NETS
- Support local email (is this correct?)
- Monitor local network for usage and irregularities
- Conduct preliminary diagnosis of suspected network problems; involve NETS
- Communicate with NETS regarding significant changes within division or program computing environment, which may have a significant impact on the network.
- Manage computer room for their specific equipment. (Long-term in the process of being centralized for each building)
- IT Performances is monitored by their management. There are not uniform performance metrics through out the organization because each program is unique.

Centralized computing services for the organization for areas with higher risk and critical to the commons:

- Organization-wide networking provided by CISL-NETS
- CISL-ESS monitors and maintains the network and system security
- CISL-ESS provides back-ups, email delivery, file service, high availability web service.
- CISL WEG provides web hosting, DRUPAL training, enterprise WIKI etc.
- F&A – IT supports the core financials and the majority of the organizations business and administration IT functions. Provides desktop support to F&A, GA, UCP Dir. E&O, Library. IT financial systems internal controls are tested annually by KPMG and a report is presented to the BoT A&FC at the February meeting.

Scope of work for assessment

Reviewed ITC and the five current subcommittee websites, reviewed charters strategic plans and other website documentation.
Met with the ITC chair and the F&A IT director and discussed the organizations IT governance and the roles and responsibilities of the ITC and its subcommittees.

I will not be testing internal controls over IT governance, I will only be discussing what is taking place and the views of select participants in the process. I will interview three SysAdms and Aaron Andersen and Marla Meehl.

Will either talk on the phone or meet with and discuss the following questions with two of the 5 subcommittee chairs:

- Is UCAR’s IT strategic and operational planning working effectively for their committee?
- Does their committee discuss systems development and maintenance, including change management, is this applicable?
- Does their committee discuss goal setting, performance monitoring and management, e.g. metrics, collecting data to analyze performance?
- CSAC is charged with information security, privacy and compliance how does it communicate with the ITC and with the organization as whole on these topics?
- How is risk management incorporated into your committees discussions?
- What is the relationship of CSAC to CISL ESS (Enterprise Services Section) who are responsible for computer security?
- What areas of computer security are the responsibility of the divisions or programs?
- How does the committee communicate and implement any changes or recommendations? Give an example?
- Who has decision and input rights and how are decisions formed and enacted?
- How often does your committee meet?
- Can you estimate the percentage of members who attend meetings?
- Are minutes of the meeting kept?
- Do non-members attend your meetings?
- Who sets the meeting agenda or determines your committees priorities?
- As an IT professional, do you find that IT governance provided focused strategies, clearer objectives, a stable form of IT governance and a good method for communicating your committees decisions to the final decision makers?
- Is your committee given adequate freedom to pursue your strategic priorities?
- How did your committee set its strategic priorities?