HOWARD UNIVERSITY POLICY

Policy Number:	400-012: Governance, Risk and Compliance
Policy Title:	INFORMATION TECHNOLOGY (IT) GOVERNANCE POLICY
Responsible Officers:	Chief Operating Officer
	Delegated to the Chief Information Officer
Responsible Offices:	Office of the Chief Operating Officer
	Enterprise Technology Services
Effective Date:	April 6, 2023 (Revision)
	April 2, 2014 (Original)

I.   POLICY STATEMENT

Information is a valuable asset that is critical to the operation of Howard University ("the University"). This policy establishes a governance structure to support continuous technological advances that enhance the University's ability to achieve its mission of "Excellence in Truth and Service."

The intent of this policy is to provide an enterprise framework based on the National Institute of Standards and Technology (NIST) principles of information technology (IT) and cybersecurity governance.

This policy will be reviewed annually and updated as necessary by the Responsible Officers.

II.   RATIONALE

The purpose of IT governance at Howard is to provide the mechanism by which institutional technology investments and programs are vetted, prioritized, approved, and managed throughout the lifecycle. Successful IT governance enables engaged and transparent decision-making that optimizes IT investments campus wide, resulting in effective, efficient, and secure uses of technology.

III.   ENTITIES AFFECTED BY THIS POLICY

This centralized policy applies to the Howard enterprise and any components.

IV.   DEFINITIONS

    A. **Information Technology (IT)** – Any services, equipment, or interconnected system(s) or subsystem(s) of equipment, that are used in the automatic acquisition, storage, analysis, evaluation, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the University. For purposes of this definition, such services or equipment if used by the University directly or used by a contractor under a contract with the University that requires its use, or to a significant extent, its use in the performance of a service

or the furnishing of a product. Information technology includes computers, ancillary equipment (including imaging peripherals, input, output, and storage devices necessary for security and surveillance), peripheral equipment designed to be controlled by the central processing unit of a computer, software, firmware and similar procedures, services (including cloud computing and help-desk services or other professional services which support any point of the life cycle of the equipment or service), and related resources.

B. **Enterprise** - An organization with a defined mission/goal that uses information technology to execute that mission that includes the following business aspects: acquisition, program management, financial management (e.g., budgets), and human resources.

C. **Resources** – IT infrastructure, people, money, or anything else that supports the delivery of IT.

D. **IT Investments -** The expenditure of information technology resources to address mission delivery and management support that have a defined life cycle with start and end dates, with the end date representing the end of the current estimated useful life of the investment.

E. **Enterprise Technology Services (ETS)** – ETS is the designated authority responsible for creating and overseeing the effectiveness of policies and procedure that support the Howard enterprise.

V.   ROLES/RESPONSIBILITIES

The IT Governance Council (ITGC) shall have exclusive responsibility to review and make recommendations to the President on all information technology (IT) matters for the enterprise. The ITGC operates within the context of Enterprise Risk Management and is responsible for reporting risks that come from IT-related decisions. The ITGC is comprised of the:

- Provost/Chief Academic Officer
  o The Provost shall identify two seats to represent faculty.
- Vice President for Student Affairs
  o The Vice President for Student Affairs shall identify one seat to represent students.
- Chief Financial Officer
- Chief Operating Officer
- Chief Information Officer
- Chief Human Resources Officer
- Chief Audit and Compliance Officer
- Chief Information Security Officer
- Chief Strategy Officer
- Dean, College of Arts and Sciences
- Dean, College of Engineering and Architecture
- Sr. Vice President for Health Affairs
- General Counsel
- University Archivist

The ITGC will meet at least quarterly to discuss current and proposed IT projects and investments that will impact the enterprise of the University. Before the end of the first quarter of a calendar year, the ITGC will recommend to the President major IT projects, investments, and strategies for the upcoming fiscal year. However, ITGC will have the flexibility to update recommendations as necessary to support unknown or unplanned IT efforts that may have an impact on the University.

A. IT GOVERNANCE COUNCIL (ITGC) RESPONSIBILITIES

Principal responsibilities of the ITGC include:

- Ensures compliance with relevant laws, statutes, and regulations.
- Leads strategic planning, prioritization, and investment activities for IT at Howard and assesses the effectiveness of IT investments and services.
- Ensures IT investments are aligned to the University's strategic goals.
- Facilitates resolution of competing demands for IT resources.
- Reviews and adjusts University-wide technology spending and staffing as necessary to optimize the use of Howard resources.
- Ensures the University has a sustainable institutional funding model for IT infrastructure and services.
- Advocates for adoption of centralized IT services and operating standards, as appropriate, across the University.
- Provides direction to prevent, where appropriate, unnecessary redundancy or non-sustainable service implementations and their resulting inefficiencies and risks.
- Monitors the progress of remediation of risk items related to IT and security, such as audit findings and other risks.
- Recommends to the President strategic IT partnerships for the University.
- Creates effective lines of accountability, responsibility and authority for IT governance and compliance within the enterprise.
- Monitors the stewardship of highly sensitive information and ensures that appropriate controls are in place to safeguard such information according to the University's security policies and procedures.
- Establishes subcommittees and advisory committees as needed to assist in carrying out its responsibilities.

B. ITGC PRINCIPLES AND VALUES

The role of the ITGC is to ensure that IT resources are committed to the highest university strategic priorities and that institution-wide technology initiatives are successful. Specifically, IT investments must align with the *Howard Forward* strategic pillars:

- **Enhance Academic Excellence/Inspire New Knowledge** by providing technology infrastructure and services that support faculty, research entrepreneurship and student development.

- **Serve the Community** by creating a technology environment that can provide communications and knowledge sharing in support of community engagement and

collaborative partnerships across divisions and beyond campus borders.

- **Improve Efficiency & Effectiveness** by providing support tools and services for the administrative sector of the University.

- **Achieve Financial Sustainability** by being transparent and accountable for the University's IT and security investments and responsibly managing IT assets.

C. ACCOUNTABILITY

ITGC members are required to maintain focus on top University priority issues and cascade IT decision making along the following lines:

1. IT resources must be devoted to the most critical elements of the University's mission and strategic priorities.

2. The challenges and opportunities presented by external forces must be addressed in a timely fashion. These include constraints imposed by state, federal, or regulatory agency policy/regulatory changes.

3. The timing and scope of technology requests must be considered. Some projects are extremely complex and time-consuming. Others tax the institution beyond extant capacity. Consideration of these factors must be taken into account when prioritizing projects. It is not effective to follow a simple rule of "first in line." As a result, requests will move up and others down as decision makers apply a multivariate, multi-year lens to problem solving and planning.

VI. INTERIM POLICIES

There are no interim policies.

VII. SANCTIONS

The governance structure delineated in this policy will be periodically reviewed by the Responsible Officers to ensure it meets the University's strategic and operational requirements.

VIII. RELATED HYPERLINKS

Policy Office | Howard University Office of the Secretary

See also Enterprise Technology Services Unit Policies:

- Information System Activity Review Policy
- Security Awareness and Training Policy
- Transmission Security Policy
- Vulnerability Management Policy
- Information Security Incident Response Confidential Data Handling Policy

- IS Incident Response Model
- Change Management Policy
- Access Authorization Policy
- Access Control and Validation Procedures Policy
- Access Establishment and Modification Policy
- Authorization and Supervision Policy
- Audit Controls Policy
- Disposal Policy
- Protection from Malicious Software Policy