

Policy Planning and Analysis Team (PAT) Charter

October 15, 2017

Purpose of this Charter Document

This charter defines the mission, guiding principles, scope, roles and responsibilities, membership, and operations for the Policy Planning and Analysis Team (PAT), as envisioned under the IT governance structure. This charter will be reviewed annually.

Authorization to Operate

The Information Technology Committee (ITC) is the campus shared governance committee responsible for policy and planning for information technology throughout the university, as defined in FP&P Chapter 6.42. PAT is a standing subcommittee of the ITC and is accountable to the ITC.

The ITC authorizes the operation of the PAT, serves as its executive sponsor, approves its charter, and may make temporary or permanent adjustments to the mission, guidelines principles, scope, roles, membership, and operations of the team.

Mission

The mission of the Policy Planning and Analysis Team (PAT) is to provide campus-wide representation to:

- A. Support the activities and processes that govern the creation, review and approval of IT-related policies.
- B. Work with the sponsors of other UW-Madison policies with significant IT components and/or implications to ensure that these policies are consistent with IT policies and support the effective implementation of the campus mission.

The PAT will help (i) the ITC, (ii) other IT governance groups (the Teaching & Learning Technology Advisory Group [TLTAG], Divisional Technology Advisory Group [DTAG], Research Technology Advisory Group [RTAG], Infrastructure Technology Advisory Group [ITAG], and the IT Steering Committee [ITSC]), and (iii) other campus units ensure that:

1. IT policies are necessary and appropriate; the development process is collaborative, inclusive, and transparent; and the supporting procedural and technical implementation enables efficient and effective compliance.
2. IT policies are consistent with other UW-Madison and UW-System policies.
3. Other UW-Madison policies support IT policies and processes.

The PAT maintains and iteratively improves the IT Policy Principles and Procedures (PP&P), guides IT policy communications and engagement with the UW-Madison community, and evaluates suggestions for new or revised IT policies.

Guiding Principles

The PAT is guided by the following principles:

- **Collaboration:** PAT is committed to working collaboratively with stakeholders at all levels of the institution to ensure that the needs and concerns of relevant stakeholder groups are heard and addressed when developing IT and other related policies.
- **Transparency:** PAT operations and policy development processes should be transparent, done in the spirit of academic freedom and openness, and seek the truth through open meetings and by making documents available to the campus community as necessary. Yet, operations and development processes must not reveal information that could be harmful to the institution or individuals.
- **Representation and inclusivity:** PAT membership should represent a diversity of academic and administrative stakeholders.
- **Compelling need:** The need for an IT policy should be sufficiently compelling that it motivates participation in the collaborative policy development process, enables compliance, and motivates the allocation of sufficient resources for a practical implementation.
- **Practical implementation:** IT policies should be supported by an appropriate technical and procedural implementation plan that enables compliance in an efficient and effective manner.
- **Consensus:** Whenever possible, decisions should be made by consensus. When consensus is not possible, minority opinions should be recorded.
- Other principles are included in the IT Policy Principles and Procedures.

Scope

The work of the Policy Planning and Analysis Team (PAT) will focus on two classes of policies:

1. **IT Policies.** An IT Policy is a UW-Madison policy that governs the development, use, and management of IT services, and the processes for the efficient and effective use of IT assets and resources. The scope of IT policies is broad and includes all areas of IT activities, processes and resources as defined by the executive sponsors in consultation with IT governance, data governance, and other offices that publish UW-Madison policies. Examples of general areas of IT policy are:
 - IT Project Proposals Submission, Review and Approval

- Optimization and Rationalization of IT Services
- Cybersecurity
- Privacy
- Digital Accessibility
- Electronic Records Management
- Identity and Access Management
- Intellectual Property (in electronic form)
- IT Resource Management
- Networking and Telecommunications

When it is unclear if a particular policy in these or other areas is an IT policy or not, then the PAT may make the decision, but a decision by the executive sponsors will supersede it. Data policy, as defined by UW-Madison data governance, is out-of-scope for IT policy, although IT policy may support the implementation of data policy.

IT Policies are developed using the process described in the IT Policy Principles and Procedures (PP&P). IT policy related documents such as guidelines, procedures, principles, and standards may also be developed in a similar manner.

2. Other UW-Madison Policies with Significant IT Components or Implications.

The PAT will work with the executive sponsors of other UW-Madison policies that have significant IT component or implications to ensure that these policies are consistent with - and support the effective implementation of - IT policies and processes.

Roles and Responsibilities

Major roles and responsibilities of the Policy Planning and Analysis Team (PAT) include:

1. Identifying needed policies, existing policies that need revision, or policies that are no longer needed, and maintaining a repository of IT policies and UW-Madison policies that have significant IT component or implications.
2. Identifying other UW-Madison policies with significant IT components and/or implications and work with their sponsors to ensure that these policies are consistent with IT policies and support the effective implementation of IT policies and processes and the campus mission.
3. Serving as an entry point for suggestions/proposals for new IT policies, determining if they are IT policies, evaluating them for consistency with the PP&P, and working with sponsors of proposed policies during the entire analysis, review and approval process, as well as with relevant university governance and decision-making bodies.
4. Advising on the relative priority of policies for development and revision.

5. Analyzing and commenting upon policies or policy-related documents before they are submitted to the ITC and to other IT governance groups for consideration. The purpose of analysis and commentary is to facilitate deliberation by IT governance. It does not replace the review, endorsement, and approval by the ITC and IT governance. The analysis and commentary help to:
 - Ensure that a policy is consistent with other policies and requirements.
 - Analyze and highlight significant implications of a policy.
 - Assess to what degree there has been or will be adequate application of the IT Policy Principles and Procedures (PP&P).
6. Maintaining, and iteratively improving, the IT Policy Principles and Procedures (PP&P). The PP&P guide IT policy development, communications, and implementation. The PP&P are approved by the executive sponsors in consultation with other IT governance groups and with other stakeholders (as appropriate).
7. The PAT is not responsible for monitoring the deployment of the policy implementation or ensuring compliance with policies.
8. Advising on informing the campus community about IT policies and related work. Guiding policy communications, creating awareness and educating stakeholders about IT policies and the IT policy knowledge base, and announcement of policy activities.

Membership

A. Voting Members:

Nine voting members of the PAT are appointed by the ITC, other IT governance groups, and by key executive officers. The composition of this group will ensure that the PAT is fully responsive to the needs of IT governance. PAT voting membership is open to any UW-Madison faculty, staff, or students. Voting members are not required to be members of an IT governance or shared governance body.

The voting members are:

- Chair of the Information Technology Committee (ITC), who serves as senior co-chair of the PAT.
- A representative of the IT Steering Committee (ITSC), who serves as the other co-chair.
- A representative from each of the following IT governance groups:
 - The Divisional Technology Advisory Group (DTAG).
 - The Infrastructure Technology Advisory Group (ITAG).
 - The Research Technology Advisory Group (RTAG).
 - The Teaching and Learning Technology Advisory Group (TLTAG).
- A representative of the Chief Data Officer (CDO).
- The Chief Information Security Officer (CISO).

- A representative of the Director of the Office of Compliance.

B. Ex-Officio Members:

Ex-officio members include members-at-large and subject matter experts. The number of ex-officio members may vary. Ex-officio members participate in discussion and consensus building, but do not vote. Ex-officio membership is open to any UW-Madison faculty, staff, and students, but must be approved by the PAT executive committee.

Typical ex-officio members could include:

- Five (5) at-large members (the number of volunteers may vary).
- A representative from campus Communications.
- A representative from Enterprise Systems.
- A representative from HIPAA.
- IT Policy Consultant.
- A representative from Records Management.
- A representative from Security Education, Training and Awareness.

Operations

A. Executive Committee:

The Policy Planning and Analysis Team (PAT) will have an Executive Committee which will serve to:

- Be responsive to the priorities of IT governance.
- Set the agenda of PAT meetings.
- Establish and enforce ground rules for PAT meetings.
- Establish other PAT operating procedures, as needed.
- Communicate on behalf of the PAT.
- Perform other duties assigned in the PAT charter or by the executive sponsors.

The Executive Committee will consist of five PAT members:

- The two PAT co-chairs, who also serve as the co-chairs of the executive committee.
- Another voting member of PAT, who may also serve as the acting chair. Initially, the CISO will serve in this role.
- Two other members of PAT, either voting or ex-officio. Initially, the IT Policy Consultant will be one of the two members.

Membership of the executive committee must be approved by the executive sponsors.

B. Subcommittees:

The PAT will make use of subcommittees to do analysis and commentary on IT policies or policy-related documents, and to perform other work best done by a smaller group.

- PAT subcommittees are commissioned and monitored by the Executive Committee.
- At least one subcommittee member must be a PAT member, either voting or ex-officio.
- Subcommittee leadership and membership are otherwise open to any UW-Madison faculty, staff, or students, but must be approved by the Executive Committee.

C. Policy Stakeholder Teams:

A Policy Stakeholders Team (PST) is charged to develop recommendations for an IT policy – as specified in the PP&P. A PST has its own sponsors, and is chartered by and reports to those sponsors.

- The PAT may make recommendations on the need for a PST, the draft charter for a PST, and will typically provide feedback on PST recommendations before they are submitted to the PST sponsors.
- The PAT Executive Committee may monitor PST activity to assess its consistency with the PP&P, and will communicate with the PST chair(s) or sponsors, if warranted.
- Leadership and membership of a PST is determined by the PST charter.
- When a policy is proposed by a particular stakeholder or stakeholder group, that stakeholder or group should be represented on the PST or among the PST sponsors.

D. Drafting Teams

A drafting team is charged to draft IT policy or policy-related documents – as specified in the PP&P. A typical drafting team has three members.

- The PAT Executive Committee appoints the drafting team and designates its chair, unless the PAT executive sponsors or the sponsors of the corresponding Policy Stakeholder Team prefer to make the appointments.
- The drafting team reports to those who appointed them.
- The PAT Executive Committee may monitor drafting team activity to assess its consistency with the PP&P, and communicate with the team or its sponsors, if warranted.
- Appointment to a drafting team is open to any UW-Madison faculty, staff, or students.
- When a policy is proposed by a particular stakeholder or stakeholder group, that stakeholder or group should be represented on the drafting team.

E. Meetings:

- The PAT will meet monthly or as needed.

- The PAT Executive Committee will meet half-way between PAT meetings.

F. Quorum and Voting:

Quorum for the Executive Committee is three. Quorum for a PAT meeting is a majority of attending voting members. Electronic conferencing is permitted. In time-critical situations, electronic votes transmitted to the entire Executive Committee are acceptable, provided that the total of votes cast electronically or otherwise achieves a quorum. Informal discussions may occur without a quorum, and may be recorded for consideration at a future meeting.

All Executive Committee and PAT decisions should be made by consensus whenever possible. When voting, a simple majority is required unless otherwise noted. The only circumstances requiring a quorum and formal vote by the PAT are:

- To forward an IT policy or policy-related document for consideration by IT governance along with any analysis and commentary from the PAT.
(Requires a majority of attending voting members.)
- To approve the minutes of PAT meetings, and to include or exclude material, or otherwise adjust the record.
- To make a timely decision on some other matter when consensus cannot be reached in the time available for discussion, as determined by the co-chair(s) or the voting member serving as the acting chair.