

Policy Planning and Analysis Team (PAT) Charter

Purpose of this Charter Document

This charter defines the mission, guiding principles, scope, roles, 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 of the Policy Planning and Analysis Team

PAT is advisory to the CIO and the ITC. The following individuals authorize the operation of the PAT and serve as its executive sponsors.

Chief Information Officer (CIO) and Vice Provost for Information Technology
Chair of the Information Technology Committee (ITC)

The executive sponsors approve the 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 support the policy-related activity of IT governance. The PAT helps IT governance ensure that IT policies are necessary and appropriate, the development process is collaborative and transparent, and the supporting technical and procedural implementation enables efficient and effective compliance. The PAT maintains and iteratively improves the IT Policy Principles and Procedures, guides IT policy communications and engagement with the UW-Madison community, and evaluates suggestions for new or revised IT policies.

Guiding Principles

The Policy Planning and Analysis Team (PAT) is guided by the following principles:

- Collaboration: IT policies should be developed collaboratively to ensure that the needs and concerns of relevant stakeholder groups are heard and addressed.
- Practical implementation: IT policies should be supported by an appropriate technical and procedural implementation that enables compliance in an efficient and effective manner.
- Compelling need: The need for an IT policy should be sufficiently compelling that it motivates participation in the collaborative policy development process, and motivates the allocation of sufficient resources for a practical implementation.
- Transparency: Both PAT operations and policy development should be transparent, however, operations and development must not reveal information that could be harmful to the institution or individuals.
- Representation: PAT membership should represent a diversity of academic and administrative units.
- 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

IT Policy is 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 policy is 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:

- Cybersecurity,
- Digital Accessibility,
- Electronic Records Management
- Identity and Access Management
- Intellectual Property (in electronic form)
- IT Resource Management
- Networking and Telecommunications

A particular policy in these or other areas might, or might not, be treated as IT policy. When this is unclear, 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 Policy is 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, especially if they are closely associated with an IT policy.

In addition to IT Policy per se, there are other UW-Madison policies with significant IT components or implications. These are developed using special processes agreed upon by the executive sponsors and the other offices that publish UW-Madison policies.

Role

Policy Planning and Analysis Team (PAT) activities include:

- Maintain, and iteratively improve the IT Policy Principles and Procedures (PP&P). The PP&P guides IT policy development, communications, and implementation. The PP&P are approved by the executive sponsors in consultation with IT governance.
- Serve as an entry point for suggestions for new IT policies, determine if they are IT policy, and evaluate them for consistency with the PP&P. Identify policies that are needed, in need of revision, or no longer needed. Advise on the relative priority of policies for development and revision.
- Analyze and comment upon policies or policy-related documents before they are submitted to IT governance for consideration. The purpose of analysis and commentary is to facilitate deliberation by IT governance. It does not replace the review, endorsement, and approval of 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 PP&P.
- Monitor the deployment of the supporting technical and procedural implementation, and make recommendations to IT governance and IT service providers to help ensure that the implementation enables efficient and effective compliance.

- Advise on IT policy engagement with the UW-Madison community. Guide policy communications such as awareness of policies, the IT policy knowledge base, policy forums, and announcement of policy activity.

Membership

To ensure that the PAT is fully responsive to the needs of IT governance, the nine voting members of the PAT are appointed by IT governance bodies and key executive officers. 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 appointments are:

- (1) by the Information Technology Committee (ITC), who serves as senior co-chair
- (1) by the IT Steering Committee (ITSC), who serves as the other co-chair

- (1) by the Divisional Technology Advisory Group (DTAG)
- (1) by the Infrastructure Advisory Group (IAG)
- (1) by the Research Technology Advisory Group (RTAG)
- (1) by the Teaching and Learning Technology Advisory Group (TLTAG)

- (1) by the Chief Data Officer (CDO)
- (1) by the Chief Information Officer (CIO)
- (1) by the Director of the Office of Compliance

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:

- (~5) At-large members, (the number of volunteers may vary)
- (1) Communications representative
- (1) Enterprise systems representative
- (1) HIPAA representative
- (1) IT Policy Consultant
- (1) Records Management representative
- (1) Security Education, Training and Awareness representative

Operations

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.
- other duties assigned in the PAT charter or by the executive sponsors.

Membership of the executive committee must be approved by the executive sponsors. The executive committee will consist of five PAT members:

- (2) the PAT co-chairs, who also serve as the co-chairs of the executive committee.
- (1) other voting member of PAT, who may also serve as the acting chair.
- (2) other members of PAT, either voting or ex-officio.

Subcommittees

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.

Policy Stakeholder Teams

Chartering of a Policy Stakeholders Team (PST) to develop recommendations for IT policy is part of 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, communicating 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.

Drafting Teams

Appointment of a small drafting team to draft IT policy or policy-related documents is part of the PP&P. A typical drafting team has three members.

- The PAT executive committee appoints the drafting team and designates the 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, communicating 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.

Quorum and Voting

Quorum for the executive committee is three. Quorum for a PAT meeting is a majority of all voting members currently serving on the PAT. For example, if seven of the nine slots are filled, the quorum is four. 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 all voting members currently serving on the PAT.*)
- to approve of 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.