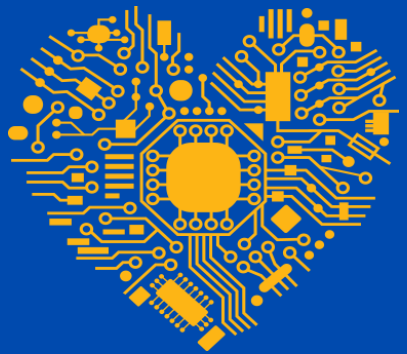
VALIDATING & SUSTAINING GOVERNANCE
UC Berkeley IT Governance Journey

Robin Pappas, Ph. D.
IT Governance Program Manager
Technology Programs and Governance



Greetings!!

In chat: Name, institution, role, & 1-3 words describing what brings you here this morning

Overview

- Initial IT Governance model, proposal process, rationale
- Iterating on the model and proposal process
- Refining program collateral
- Coming full circle: IT Service Portfolio Alignment to IT Governance
- V. 3.0: Looking to the Future (AKA Toward Full-Cycle Project Visibility & Resource Management)

“Rules” for Today

- During presentation, add questions in Chat; Use flame emoji for burning, “NOW” questions.
- Jennifer to manage “Parking Lot” for big questions
- All perspectives and insights have value. Let’s empower one another by listening, acknowledging the wisdom in the room.
- Be ready to engage: Padlets, Breakout Rooms, and More–Oh my!
  - Note on the tech experiments: *our mileage may vary*…

What is IT governance? (Add in chat)

IT governance refers to programs and processes that ensure the effective and efficient use of IT in enabling an institution to achieve its strategic objectives.

Padlet Mood Board: IT Governance at your institution/organization

Five links into the chat – By last name:

1) A-E
2) F-J
3) K-O
4) P-T
5) U-Z

What image/emoji would you use to illustrate the current relationship between IT Governance and PMO/project management at your institution?

(3 mins)

Goals for a New IT Governance Model - 2021

- Clear Charge
- Strategic Direction
- Process and Policy
- Resource Priorities

- Simple Structure
- Flat and Responsive
- Focused on Action
- Balanced Makeup

- Agile Implementation
- Start with MVP *
- Evaluate Frequently
- Involve Stakeholders

* Minimum Viable Product

Scope and Responsibilities - 2021

Strategic Direction

- Align IT with Campus Strategy
- Organize Goals and Initiatives
- Evolve with Challenges and Opportunities

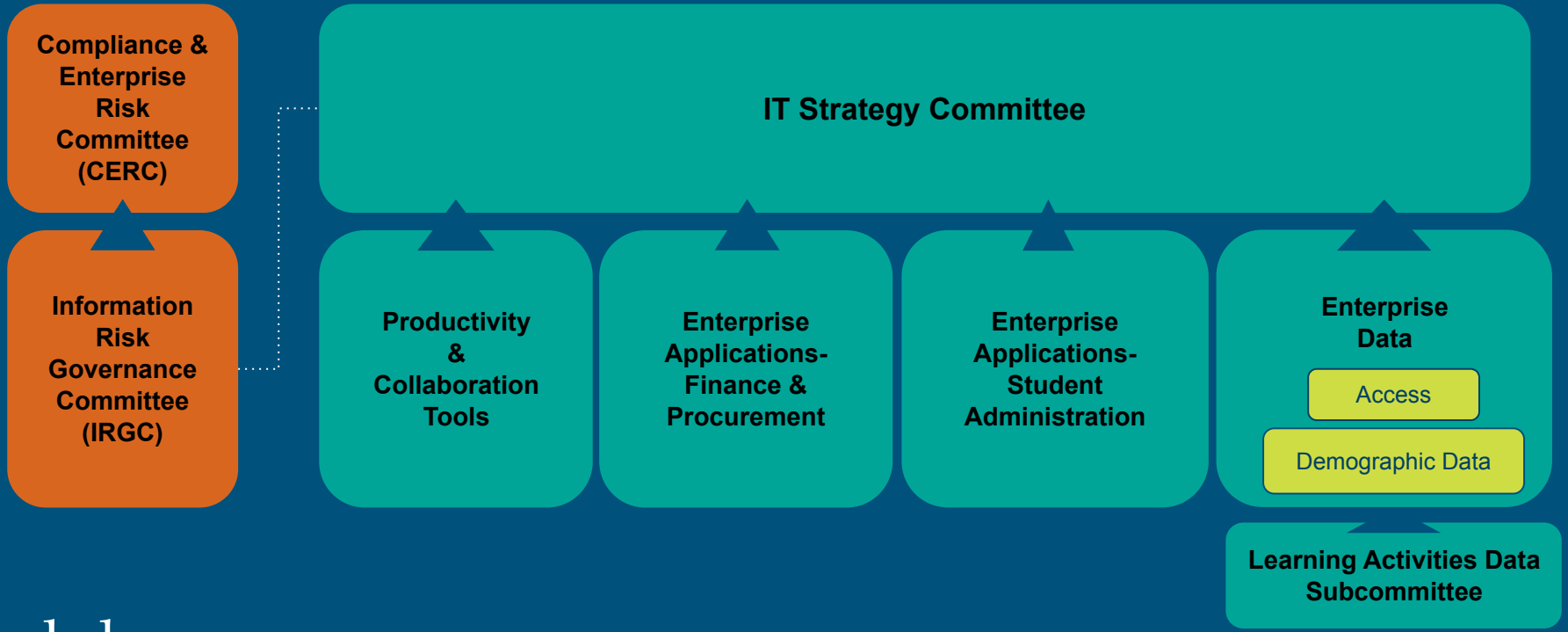
Process and Policy

- Provide Consistency and Transparency
- Standardize and Simplify
- Set and Achieve Meaningful Metrics

Resource Priorities

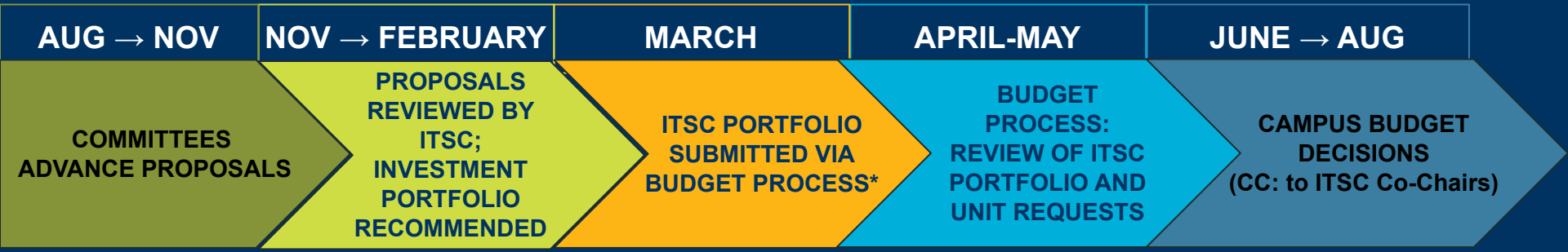
- Tie Funding to Campus Value
- Align Incentives with Goals
- Ensure Equity in Effect

IT Governance Committee Structure: 2022-23



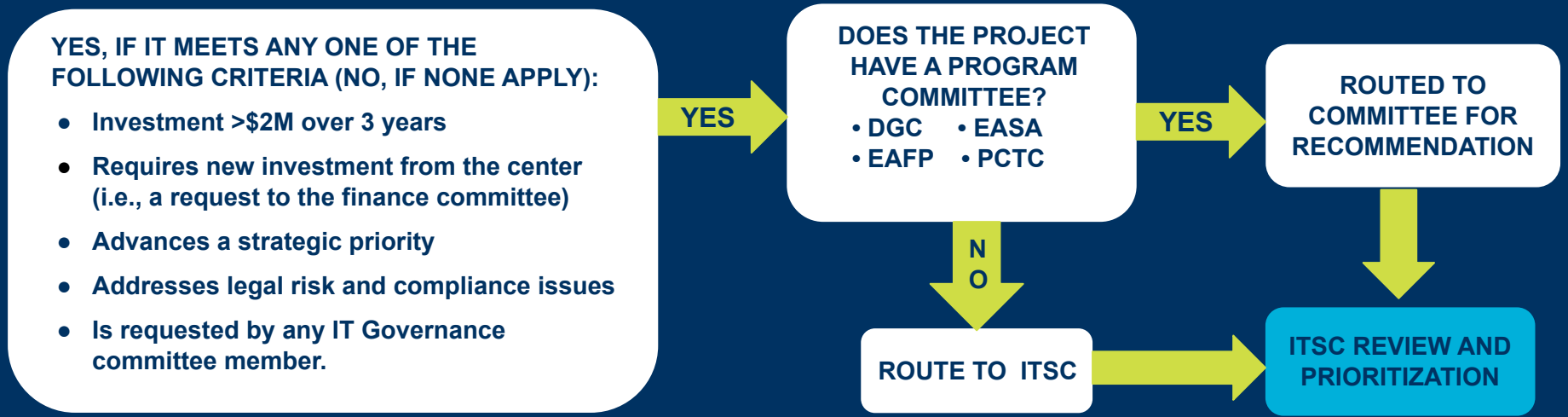
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IT Governance Project Proposal Process Flow

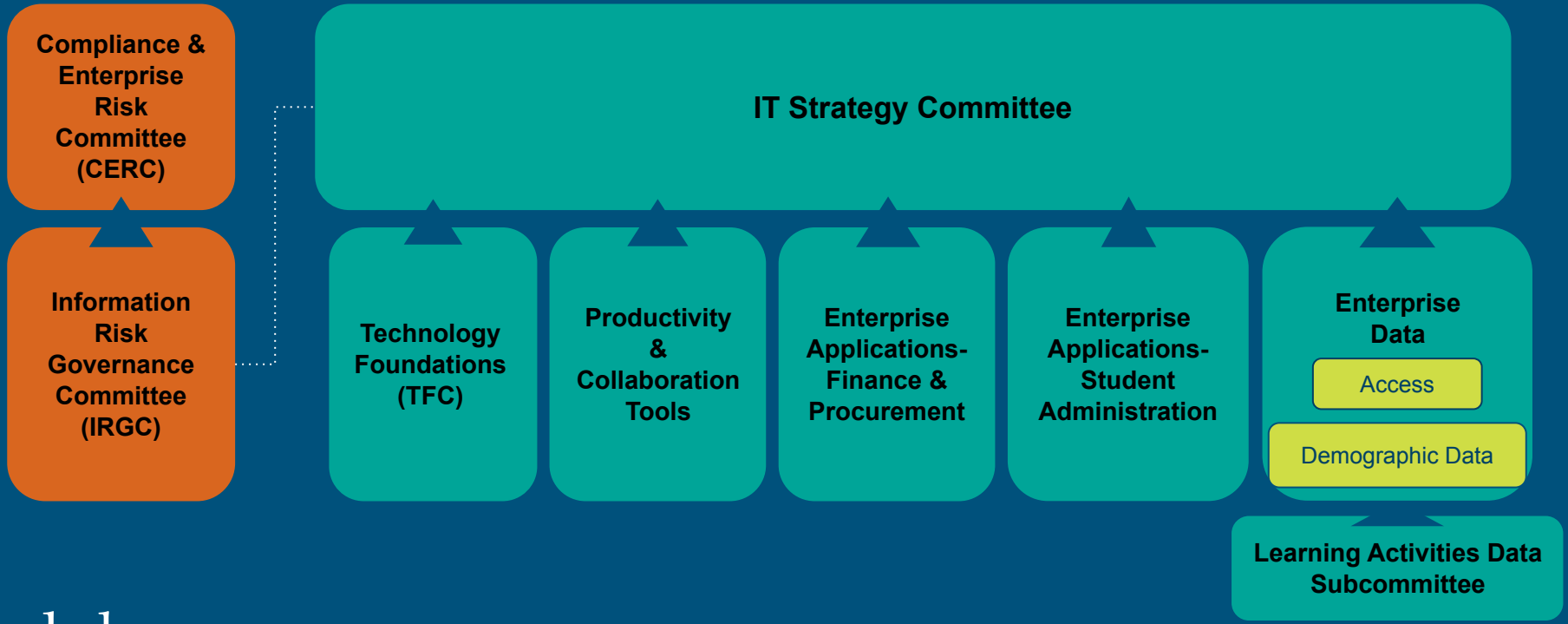


* Budget requests submitted by appropriate Division Leader

Should my IT project go to the IT Strategy Committee?

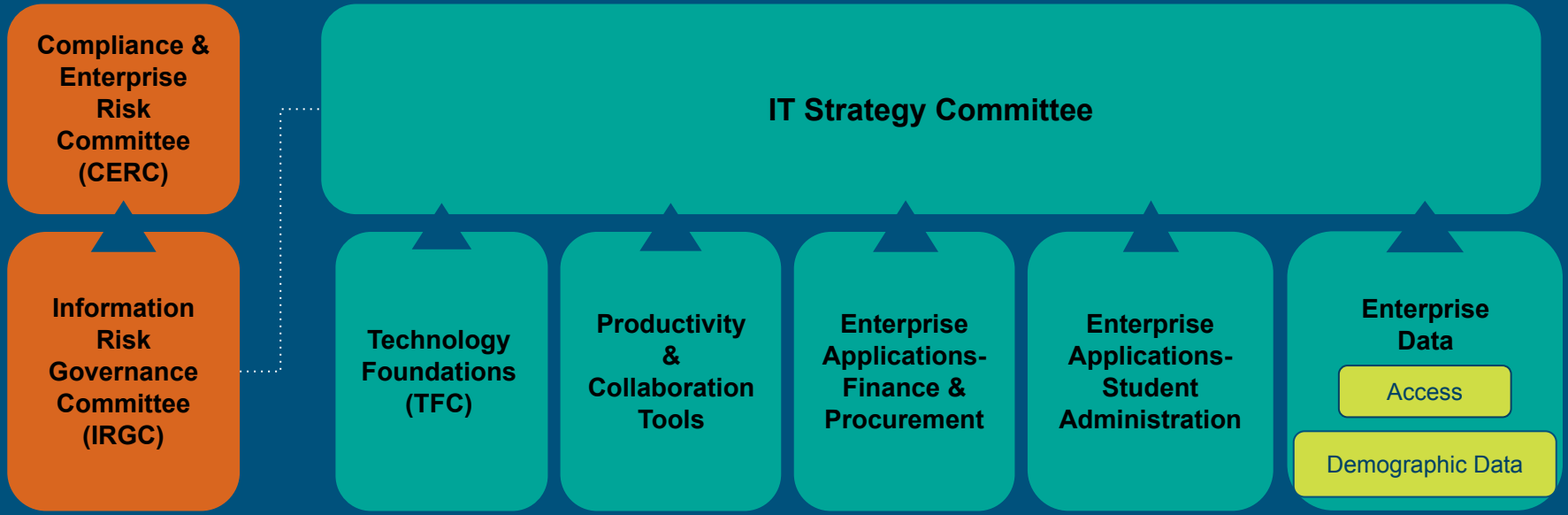


IT Governance Committee Structure: 2023-24



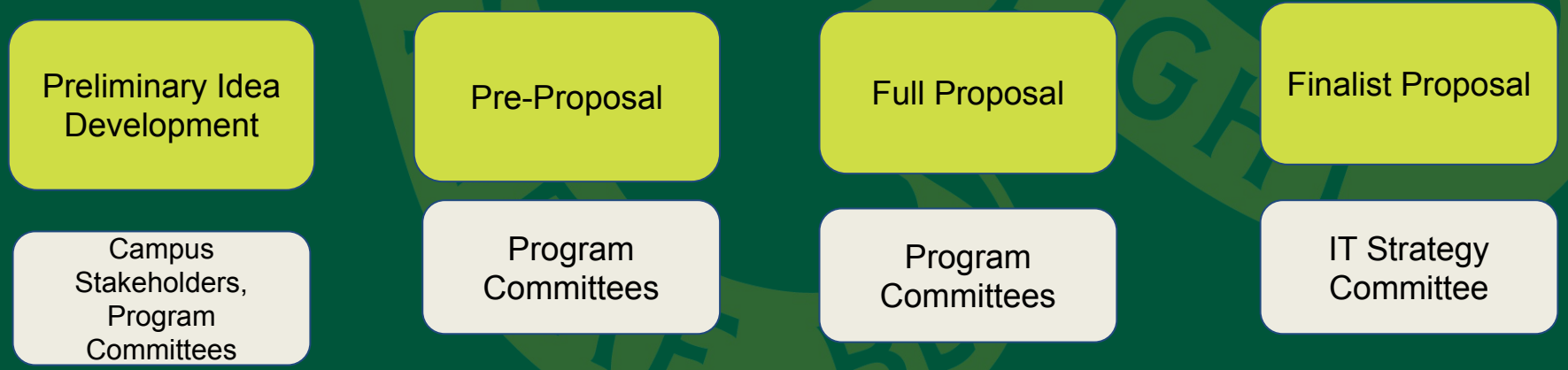
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IT Governance Committee Structure: 2024-25



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Process 2.0 FY2024:
Proposal Process Stages, Feedback Sources



High-Level Timeline: Proposal Review

COMMITTEE	ACTIVITY/MONTH			
	September	**October**	**November**	**December**
IT Strategy Committee	- Discuss Draft bIT Strategy Themes - Confirm Prioritization Criteria	- Hear Candidate Pre-Proposal Presentations (services without a presiding program committee) - Discuss revised bIT Strategy Major Themes		- Hear Candidate Full Proposals - Discuss committee summaries of Full Proposals - Confirm evaluation and prioritization criteria
PROGRAM COMMITTEES	- Discuss Draft bIT Strategy Themes	- Verify evaluation criteria - Review Pre-Proposals	- Finish reviewing Pre-Proposals - Review Full Proposals	- Finish reviewing Full Proposals

Number of Pre-Proposals	Pre-Proposal (templates linked below)	Estimated Costs 1X	Estimated Continuing Costs	Committees Providing Feedback	Comments
1	Enterprise Data Catalog	$400,000	$200,000	Data Governance Committee	
2	Modernize Data Analytics Architecture	$1,000,000	$100,000	Data Governance Committee	
3	Retire Blu		-$54,000	Enterprise Applications-Finance & Procurement	
4	Bridge to Cloud	$300,000	0	Enterprise Applications-Finance & Procurement Enterprise Applications-Student Administration	
5	Enterprise Systems Performance & Speed	$400,000	$200,000	Enterprise Applications-Finance & Procurement Enterprise Applications-Student Administration	
6	Student Experience Investment Program		6 FTE	Enterprise Applications-Student Administration	
7	IAM	$2,760,000	$2,440,000	Information Risk Governance Committee	
8	ISIP Phase 2 - Network	$3,500,000	0	Technology Foundations Committee	
9	Storage for Research	$1,840,000	$330,000	Technology Foundations Committee	
10	Voice Communications Strategy Development	$150,000	$0	Productivity & Collaboration Tools Committee	
11	CalSpark	TBD		Productivity & Collaboration Tools Committee	
12	Talent Intelligence System	TBD		ITSC	
13	DataHub	TBD		ITSC	

Sometimes Prioritization Means

This is really important …

- and fully funded by the requesting department.
- and centralized funding is needed.
- and we can pay for the software, but we don’t have the people to make it happen.
- and we can pay for the software, we have the people in our department but we need central IT resources to make this happen.

Show of thumbs-up/other…

Does Prioritization Mean Approval to Start?

Number of Pre-Proposals	Pre-Proposal (templates linked below)	Estimated Costs 1X	Estimated Continuing Costs	Committees Providing Feedback	Comments
1	Enterprise Data Catalog	$400,000	$200,000	Data Governance Committee	
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11	CalSpark	TBD		Productivity & Collaboration Tools Committee	
12	Talent Intelligence System	TBD		ITSC	
13	DataHub	TBD		ITSC	

FY25 IT Governance Process

Campus Central Funding Requests - Multiyear View*

		FY26	FY27
Advanced to IT Strategy Committee	**Information Security Investment Plan (ISIP) Phase 2 - Network**		
	Implementation/One Time	1,742,000	1,742,000
	Recurring Incremental Funding		
	Identity and Access Management (IAM)		
	Implementation/One Time	1,050,000	600,000
	Recurring Incremental Funding	513,000	862,000
	DataHub		
	Implementation/One Time	438,000	438,000
	Recurring Incremental Funding		
	Student Experience Investment Program-MultiYear Funding Module (MYF)		
	Implementation/One Time	258,000	
	Recurring Incremental Funding	664,000	
	Talent Management System		
	Implementation/One Time	350,000	200,000
	Recurring Incremental Funding	475,000	150,000
	Enterprise Systems Performance & Speed-Archiving and Purging		
	Implementation/One Time		
	Recurring Incremental Funding		
Funded by Berkeley IT	**Voice Communications Strategy Development**		
	Implementation/One Time		
	Recurring Incremental Funding		
	Resilience and Hosting Options for Student & Financial Systems		
	Implementation/One Time	529,000	
	Recurring Incremental Funding		
	Enterprise Systems Performance & Speed-Monitoring and Observability		
	Implementation/One Time	24,000	
	Recurring Incremental Funding		

Developing and Refining Program Collateral

Templates for proposal authors:

- Pre-Proposal
- Full Proposal Narrative
- Full Proposal Budget
- Full Proposal Slide Deck

Templates for committee members:

- Pre-Proposal Response Form
- Full/Finalist Proposal Scorecard



FY2026 ITSC Finalist Proposal Project Scorecard Summary Data

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A1 Finalist Proposal Project Scorecard

Finalist Proposal Project Scorecard

This scoring sheet is used to score the Full Proposals presented for annual planning and proposal submission. The project scores are intended to indicate the relative value of projects proposed to the IT Governance committe projects will be prioritized by the IT Strategy Committee, based on their value to the university.

NOTE: Scores for Data Hub and Talent Management System are aligned to criteria provided by UE and PP&C

				ISIP Phase 2 - Network Total Normalized Score = 83%			Multi Year Funding Module Total Normalized Score = 79%			DataHub Total Normalized Score = 77%		
Value Category	**Criteria**	**Scoring Scale ***	**Score/Total Possible**	**Average**	**Mode**	**Score/Total Possible**	**Average**	**Mode**	**Score/Total Possible**	**Average**	**Mode**
Strategic Benefit - as defined by the proposing unit and overall benefit to UC Berkeley											
Alignment to Unit Priorities The proposed project articulates how it aligns to and advances the strategic priorities of the proposing unit.	Project directly enables this strategic capability	0, 1, or 2	20/20	2.00	2	20/20	2.00	2	22/22	2.00	2
Benefits to Berkeley The proposed project provides substantial benefit to UC Berkeley.	Project directly enables this strategic capability	0, 1, or 2	19/20	1.90	2	16/20	1.60	2	22/22	2.00	2
Financial and Risk Reduction Benefits											
Financial Benefits	-Cost Avoidance -Cost Reduction -Revenue Generation	0, 1 or 2	12/20	1.20	2	13/20	1.30	1	8/22	0.73	1
Risk Reduction - Net impact on campus risk posture	Significantly reduces or eliminates compliance, reputational, or other enterprise risks	0, 1 or 2	20/20	2.00	2	16/20	1.60	2	16/22	1.45	2
Project Risks											
Organizational Readiness - Adoption **How ready is Berkeley to adopt the new/expanded service**	-Business process change, disruption, training	-2, -1, or 0	-5/0	-0.50	0	-2/0	-0.20	0	0	0	0
Total Score =Strategic Benefits + Financial Benefits + Project Risk Scores		**Max = 8 * # voting members**	**66/80**	**1.78**	**n/a**	**63/80**	**1.63**	**n/a**	**68/88**	**1.55**	**n/a**
Total Score as %			**83%**			**79%**			**77%**		

V2.0 Proposal Process Evaluation Findings: Strengths

- Pre-proposal and proposal process saved time and effort:
  - Proposal development starts at a high level, and
  - Detail is added only if the proposal has a chance to succeed.

- Multiple opportunities to receive feedback on proposal documents resulted in some compelling presentations/narratives.

- Receiving feedback at multiple stages clarified the urgency of needs, as well as the capacity constraints of Berkeley IT and partners to effectively complete the proposed projects.

V2.0 Proposal Process - Gaps

Alignment: Program committee meetings didn't always align with IT Strategy committee meetings

Timing: Introducing the new process in mid-fall left little time for stakeholder engagement, idea development, and the drafting of proposal materials.

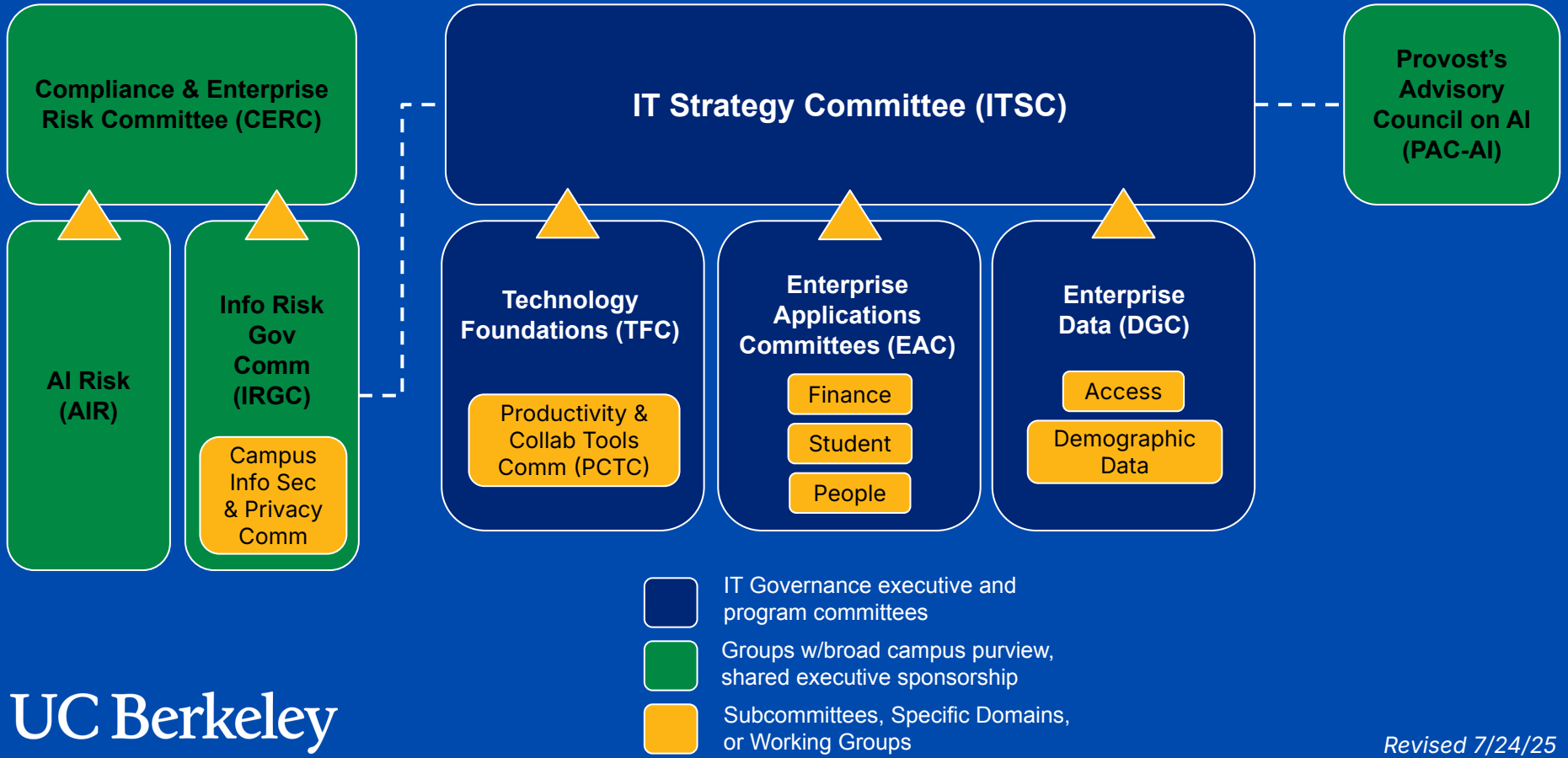
Document management: Multiple versions of proposal templates created confusion about what information was needed at each stage, and how best to tell the story regarding proposal benefits.

Roles and responsibilities: Proposal development and vetting roles weren't all defined

Scoring criteria: Proposal weighting didn't account for project costs appropriately

Ideation: Most proposal ideas came from bIT instead of governance committees or business partners, and were presented from the perspective of the technology

IT Governance Committee Structure: 2025-26



UC Berkeley

Revised 7/24/25

How an idea becomes an approved project



STAGE	Any time **Idea**	AUG - OCT **Pre-Proposal** ***Guidance from ITSC on priorities for FY***	NOV - DEC **Full Proposal**	JAN - FEB **Finalist Proposal**	MAR - APR **Investment Portfolio**	MAY - JUNE **Approved Project**
WHO	Client Portfolio Manager, IT Portfolio Manager, Service Owner	Program Committee	Program Committee; CIO and Co-Chairs	IT Strategy Committee	CIO and ITSC	Chancellor, Provost and VC Finance
WHY	Idea has enough value for a pre-proposal	Pre-proposal offers enough value and stakeholders are sufficiently aligned to develop a detailed proposal	Proposal is valuable and feasible enough to stand out among alternatives	Proposal has a clear value proposition, realistic cost estimates, & risk mitigation plan	Determine the set of proposals that yields the best overall value for Berkeley	Set of recommended proposals that Berkeley can afford in the coming fiscal year

gy

Criteria for Submitting an IT Governance Proposal

Berkeley continues to navigate a challenging and uncertain budgetary environment in which cost control is essential, and both the need and opportunity for innovation is great. In this moment, we continue to seek technology initiatives that question the status quo and drive positive change.

For the FY2028 proposal cycle, we encourage ideas that introduce new methods or practices to:

- advance the University's teaching and research missions;
- enhance the resilience of its cybersecurity and physical security posture; and/or
- increase the efficiency and capacity of University services.

We invite proposals that are particularly responsive to this moment in higher education and research, transforming how the University delivers on its mission and/or re-imagining workflow, resulting in financial return on investment.

Proposals may leverage multiple technologies, including Artificial Intelligence (AI).

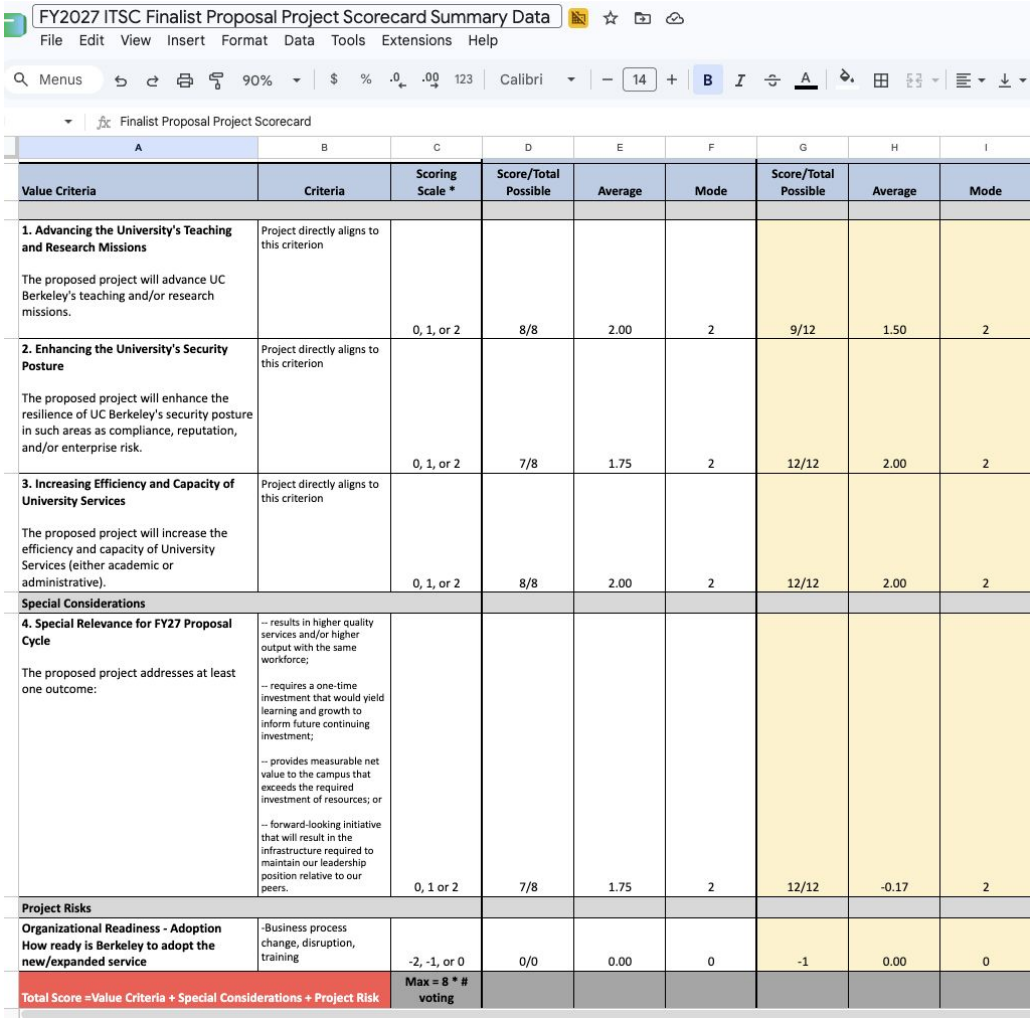
Of special interest will be

- Initiatives that result in higher quality services and/or higher output with the same workforce;
- Initiatives that **consolidate and/or sunset** existing technology systems or services in favor of more efficient and/or effective alternatives, especially UC-wide systems;
- Proposals that limit commitment to the short-term with an eye toward expansion over the longer term; specifically, **one-time investments** that would yield learning and growth to inform future continuing investment; or
- Initiatives that provide a **measurable net value** to the campus that exceeds the required investment of resources.

Although more challenging in the current budgetary environment, we will also consider forward-looking proposals that address longer lead-time infrastructure required to maintain our leadership position relative to our peers.

Proposals of all sizes are welcome in this process but may not require review at all levels. Proposals that exceed these defined thresholds require review by both the primary program committee and the IT Strategy Committee.

An IT project that aligns to the criteria above is required to be reviewed if it exceeds the thresholds listed below.



FY2027 ITSC Finalist Proposal Project Scorecard Summary Data

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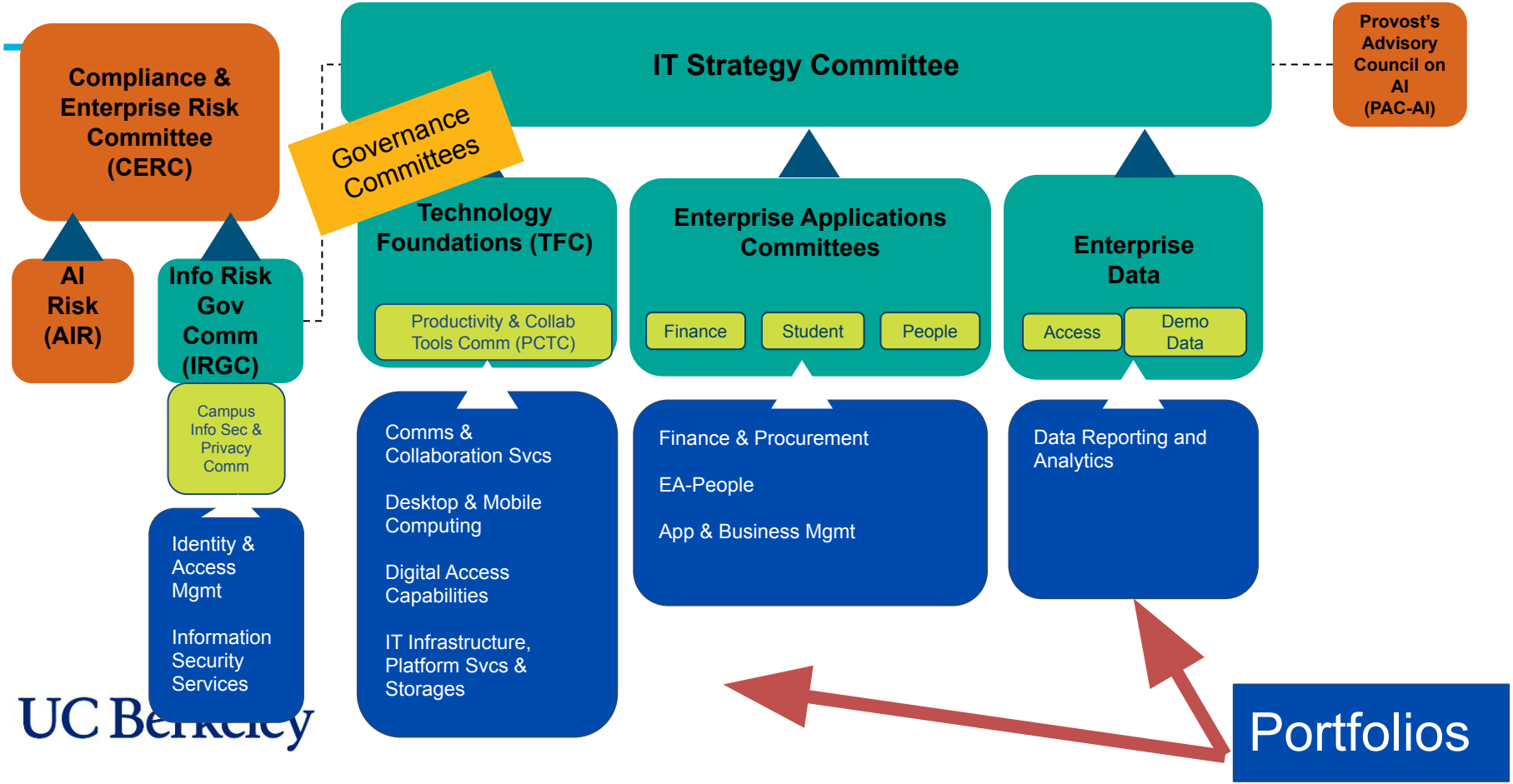
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Finalist Proposal Project Scorecard

	A	B	C	D	E	F	G	H	I
	Value Criteria	**Criteria**	**Scoring Scale ***	**Score/Total Possible**	**Average**	**Mode**	**Score/Total Possible**	**Average**	**Mode**
	1. Advancing the University's Teaching and Research Missions The proposed project will advance UC Berkeley's teaching and/or research missions.	Project directly aligns to this criterion	0, 1, or 2	8/8	2.00	2	9/12	1.50	2
	2. Enhancing the University's Security Posture The proposed project will enhance the resilience of UC Berkeley's security posture in such areas as compliance, reputation, and/or enterprise risk.	Project directly aligns to this criterion	0, 1, or 2	7/8	1.75	2	12/12	2.00	2
	3. Increasing Efficiency and Capacity of University Services The proposed project will increase the efficiency and capacity of University Services (either academic or administrative).	Project directly aligns to this criterion	0, 1, or 2	8/8	2.00	2	12/12	2.00	2
	Special Considerations								
	4. Special Relevance for FY27 Proposal Cycle The proposed project addresses at least one outcome:	-- results in higher quality services and/or higher output with the same workforce; -- requires a one-time investment that would yield learning and growth to inform future continuing investment; -- provides measurable net value to the campus that exceeds the required investment of resources; or -- forward-looking initiative that will result in the infrastructure required to maintain our leadership position relative to our peers.	0, 1 or 2	7/8	1.75	2	12/12	-0.17	2
	Project Risks								
	Organizational Readiness - Adoption **How ready is Berkeley to adopt the new/expanded service**	-Business process change, disruption, training	-2, -1, or 0	0/0	0.00	0	-1	0.00	0
	Total Score =Value Criteria + Special Considerations + Project Risk		**Max = 8 * # voting**						

UC Berkeley Information Technology

IT Portfolios Mapped to Governance Committees:



UC Berkeley

IT Portfolios list as of (7/28/2026)	*Portfolio Mgr*	*Governance Committee / Groupings*	**Service Owner**
Infrastructure	David & Jon	Technology Foundations	Dave Browne
Identity & Access Management	Gert	Information Governance & Risk	Allison Henry
Information Security Services	Gert	Information Governance & Risk	Allison Henry
AI	Jenny	Cerc-Air; PAC-AI	Luis O Hernández Muñiz
Finance & Procurement	Luqi	Enterprise Applications	David Turner
People	Luqi	Enterprise Applications	David Turner
Communication & Collaboration Services	Mira	Technology Foundations	Luis O Hernández Muñiz
Desktop & Mobile Computing	Mira	Technology Foundations	Wes Johnson
Digital Access Capabilities	Mira	IT Accessibility Policy Advisory Committee	Suzanne Harrison
Student	Vacant PM & Sam	Enterprise Applications	Rana Silver
Data Reporting & Analytics	Yoshita	Enterprise Data	Danny Grieb
IT Service Management and Operations	Yoshtia	IT Professional Service	Scott Nemes

What is in a portfolio? (Enter # in chat)

1)Scope/alignment agnostic:

Portfolio is everything we are working on regardless of the size of the project or initiative. Must also include regular maintenance of business activities.

2) Scope-based/ Alignment agnostic

Portfolio is only the strategic projects that introduce change or large investments. We can't include all projects as that would overwhelm the process.

3) Scope-agnostic/ Alignment-Based

Portfolio needs to be organized according to our service catalogue so that all central IT services can be mapped to our governance structure. Operational services align to internal roadmaps.

Kansas Ideas Exchange: Prioritizing & Portfolios How do *you* do this?

Breakout room = tab #
https://docs.google.com/document/d/1l3qjEyCoOElA7yy8JznGt_IyouvC_4bsT5JswMued_U/edit?usp=sharing

v.3.0: Looking to the Future (AKA Toward Full-Cycle Project Visibility & Resource Management)

TPO Request Form

All requests begin with an idea. To submit a request, simply start by selecting **Idea** if you require a Project Manager to lead your initiative. Please note that a valid **CalNet ID** is required to access and submit the request form. Once your submission is received, a team member will follow up with you within **two business days**.



Technology Programs & Governance Idea Submission Form

- To request a TPG PM resource to manage your project, select **Idea**
- To enter a Governance Pre-Proposal, select **Idea**
- If you are in Berkeley IT and want to enter a department-led effort, select **bIT Effort (for use by bIT Only)**
- The form will guide you based on your selection.
- Click here to view the workflow graphic and choose the right option.

Fields marked with an asterisk (*) are required.

Please select the request type: *

Confused about what to select? Click [here] for instructions.

- (•) Idea
- ( ) bIT Effort (for use by bIT)

First & Last Name *

Email Address *

Idea Name *

Description *

Describe what you propose to do to solve the problem or create value for Berkeley.

How will your effort benefit the university? *

It would be helpful if the description is in the form of a problem or opportunity statement using this format: [define the problem or opportunity] + [who's impacted] + [what a successful solution will look like]

Is your idea connected to a pre-proposal for the IT Governance Process? *

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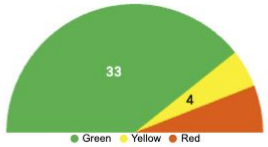
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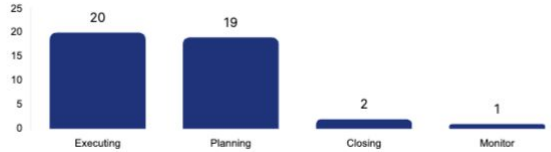
42
In-Progress Projects

5
Programs

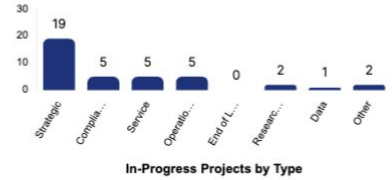
TPG-Led Projects by Health Status



TPG-Led Open Projects by Status



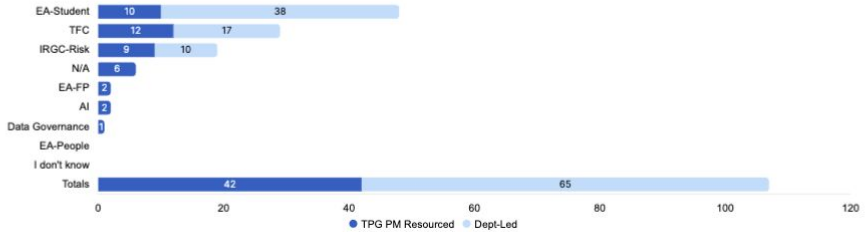
TPG-Led In-Progress by Type



In-Progress Programs

Project ID	Program Name	Actual PM	Program Dashboard
TPG-0337	Identity and Access Management Modernization Program		Program Dashboard
TPG-0370	Information Security Investment (ISI) Program Phase 2		Program Dashboard
TPG-0446	Program: AI Storm Readiness		Program Dashboard
TPG-0357	Network Access Simplification		Program Dashboard
TPG-0346	ITSM Program		Program Dashboard

In-Progress by Governance Committee



Questions?

THANK YOU!!

Beyond Proposal Templates: Building Capacity
Skill development for authors, proposing groups

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UC Berkeley Information Technology

Writing an Effective Proposal for IT Governance

Robin Pappas, Ph.D.
IT Governance Program Manager

UC Berkeley



Proposal Parts and Decision Making: Pre-Proposal

Materials

Pre-proposal template

Contains room for brief explanations of initiative benefits, general timeline, and high-level budget

(Possible) Slide deck

Calls out the most critical ideas in the pre-proposal; anticipates audience questions/concerns

Focuses audience attention and guides discussion

Committee Response

Google form: documents committee vote

- The proposed service/enhancement is essential. AND/OR I would like to learn more.
- The proposed service/enhancement would be nice to have AND/OR I'm curious about it but wouldn't be concerned if I don't learn more this year.
- The proposed service/enhancement is not important AND/OR I am not interested in having the committee pursue this project at this time.

Proposal Parts and Decision Making: Full Proposal

Materials

Full Proposal templates - Narrative and budget

Fully describes initiative scope and benefits, as well as alternatives, risks, and strategy if denied.

Detailed budget requires collaboration with your unit's financial analyst.

Slide Deck Template - Committee Presentation

Calls out nuances not addressed in the more general pre-proposal

Persuades the audience of the initiative's timeliness, urgency, and benefit to campus stakeholders

Committee Response

Score Card

- Documents committee scoring of proposals for their individual merit
- Captures committee member perceptions of an initiative's
  - Strategic Benefit, as defined by the current ITSC proposal guidance
  - Financial and Risk Reduction Benefits
  - Project Risk in respect to Organizational Readiness

From Full Proposal to IT Investment Portfolio

1. CIO and committee co-chairs vote on slate of full proposals to advance as finalists to IT Strategy Committee

2. IT Strategy Committee hears and scores Finalist Proposals (same content as Full Proposal with committee feedback incorporated)

3. ITSC votes to advance one set of Finalist proposals to the budget process as the ***FY## IT Investment Portfolio***

Using storytelling in a presentation

Slide deck template link



UC Berkeley

Format meets audience, part 3: Enable your audience to identify with project outcomes

- Cast the proposal in terms of a journey that results in a transformation of the users' experience.
- Show how the proposed initiative will improve their experience, how your plan of action will guide them toward the end that they're seeking.
- Consider the "new world" resulting from the project. In what ways will it fulfill the needs of your audience? How will it expose and fulfill needs of which they may not have been aware?
- Verify that *this* is the right thing to do at the right time, that it has been designed by and will be performed by the right group of people.