

## Management Committee

For the Metropolitan Council meeting of October 9, 2018

**Subject:** Technology Governance Policy

### Proposed Action

That the Metropolitan Council approve the Technology Governance Policy.

### Summary of Committee Discussion/Questions

Kevin Ely, Auditor II, Program Evaluation and Audit, and Dave Hinrichs, CIO presented Business Item 2018-252.

A technology governance framework will provide for appropriate and transparent decision making for technology assets, while assisting in managing technology costs and optimizing benefits. Technology principles, procedures, and standards are necessary components of technology governance. Hinrichs also spoke to the development of a Technology Strategic plan.

Hinrichs commented there is no cost to implement the technology governance policy and a technology governance framework should save the Council money. During the discussions Council members expressed their support for implementing a technology governance framework at the Council.

Motion by Rodriguez and seconded by Barber. Motion carried. Consent to Council.

## Management Committee

Meeting date: September 26, 2018

For the Metropolitan Council meeting of October 10, 2018

**Subject:** Technology Governance Policy

**District(s), Member(s):** All

**Staff Prepared/Presented:** Dave Hinrichs, Chief Information Officer, 651-602-1443 and Kevin Ely, Auditor II, Program Evaluation and Audit, 651-602-1493

**Division/Department:** All

### Proposed Action

That the Metropolitan Council approve the Technology Governance Policy.

### Background

Technology governance at the Council is not functioning as well as it should. Therefore, a technology governance framework was developed in consultation with Elert and Associates. The technology governance project team was facilitated by Program Evaluation and Audit.

Per technology governance consultants Elert and Associates, technology governance is the result of structure and processes that are implemented to ensure that technology delivers value to the organization. Information technology (IT) and operational technology (OT) decisions must be governed and managed to enable the efficient and effective technology acquisition, development, and implementation. Effective technology governance and management functions are required to ensure adequate technology operations, maintenance, and support, as well as for the protection of technology assets.

### Rationale

Improved technology governance will assist the Council in ensuring technology delivers value to the organization while minimizing technology risk. A technology governance framework will provide for appropriate and transparent decision making for technology assets, while assisting in managing technology costs and optimizing benefits. Technology principles, procedures, and standards are necessary components of technology governance. Assigning roles and responsibilities for the creation and enhancement of technology principles, procedures, and standards ensures technology security risks and technology costs are minimized.

### Thrive Lens Analysis

The technology governance policy advances the Council's Thrive 2040 desired outcomes of Stewardship and Sustainability. Technology governance works to achieve economical development of technology projects, while promoting strategic technology decision-making. Technology governance additionally creates a framework that protects technology assets central to the region's vitality.

### Funding

Not Applicable

### Known Support / Opposition

There is no known opposition to the creation of this policy. The policy has been reviewed by Council stakeholders.

**Technology Governance Policy**

Section/Number:	Total Pages: 3
Dept. Responsible: Regional Administration	Effective Date:
Special Note:	Last Revision Date:
	Last Review Date:
	Revision No.

**I. Policy**

The Council’s technology, both information technology (IT) and operational technology (OT) resources, must be managed in a way that enables the Council to incorporate new technology and processes effectively and efficiently while encouraging the innovation required for fulfilling the Council’s mission. To accomplish this goal, a technology governance framework has been developed based on a collaborative model that includes transparency, formal input, review, and approval processes. This policy describes the functions of a technology governance framework and requires effective input and decision-making pertaining to technology principles, procedures, standards and processes.

**II. Purpose of policy**

- A. To establish the technology governance framework necessary to provide appropriate protection and transparent decision-making for the technology assets of the Council. To minimize information risks, manage costs, and optimize benefits, Council units and divisions must ensure that electronic devices and other resources which store, transmit, or process Council data meet technology principles, procedures, and standards established through the technology governance framework.
- B. To delegate roles and responsibilities for the functions involved with technology governance at the Council.

**III. Background and reasons for policy**

Technology governance assists the Council in ensuring technology delivers value to the organization. This value can be measured in terms of alignment with the business; realization of benefits from technology functions, projects and services; and the minimization of risk that may result from technology activities.

The term “technology” is applicable to a wide array of IT and OT used throughout the Council, whether managed by Information Services or the divisions. For purposes of this policy, “technology” includes but is not limited to:

- Telecommunications, Internet/network access, and facilities infrastructure (e.g., voice and data networks, supporting cable, switches, routers, firewalls, network applications, circuits, audio/visual, radio, wireless communications, physical access controls and building automation systems).
- Computing (e.g., cloud services, end-user devices, servers, and development environments for productivity and high-performance computing).
- Enterprise-wide applications including underlying databases and user services (e.g., PeopleSoft, email).
- Unit or division specific applications (e.g. Finance applications, grant management software, Laboratory Information Management Systems, etc.)

- Video (e.g., video applications and storage systems on the network, security video).
- Peripheral technologies (e.g., printing and scanning).
- Technology security (e.g., technology security assessments).
- Operational technology (e.g. sensors and instrumentation; process control equipment [PLCs, DCS, RTUs]; supervisory control elements [HMI, monitoring system, alarm/alert systems, control room workstations] pumps, motors, systems that manage and control plant operations, fareboxes, etc.)

#### IV. Implementation/Accountability

The Metropolitan Council designates the Regional Administrator as the Accountable Authority, authorized to commission and approve work necessary to implement and operationalize a technology governance framework. As the Accountable Authority, the Regional Administrator will appoint the Chair of the Executive Technology Steering Committee (ETSC). The ETSC consists of division level senior executives. The Regional Administrator will work with the ETSC to define and approve the roles and responsibilities for the individuals and groups involved with technology governance at the Council. The ETSC serves a leadership role in defining and directing all technology activities at a high level through review and approval of: (1) the Technology Strategic Plan; (2) technology principles, procedures, and standards; (3) the threshold and criteria that determine the selection procedure for given IT and OT projects; and (4) subgroup charters. Subgroups will provide technical expertise, feedback, cross-divisional awareness, and budgetary oversight that facilitates appropriate cost benefit analyses.

#### V. Technology Principles

The ETSC is responsible for approving technology principles. These principles will provide guidance for the entire Council and are not unique to any division. The technology principles shall articulate the Council's values and rules that can be applied to specific situations. They shall identify the fundamental assumptions held by the Council and the standards and procedures to be followed for technology decision making, communication within and outside the Council, and stewardship of assets.

#### VI. Technology Procedures and Standards

The ETSC is responsible for adopting technology procedures and standards. Technology procedures and standards will serve as controls to guide behavior and the ramifications of failure to comply. Within the technology governance framework, procedures and standards are designed to ensure that technology resources are effectively managed using industry leading practices in support of the Council's mission. The development of effective technology procedures and standards requires both input from individuals who have extensive knowledge on the subject matter and input from individuals affected by the procedure or standard.

The type of technology addressed in the procedures and standards will determine the group or individuals required to comply with the procedure or standard. Failure to comply with procedures and standards may damage a system, risk security, result in loss of technology privileges and/or disciplinary action.

***Related Procedures will be developed within the Technology Governance framework.***

The technology governance framework will be based on the final technology governance framework provided by Elert and Associates. The ETSC, in consultation with the Regional Administrator, will review and approve changes to the technology governance framework as needed.

*Revision/Review Tracking*

Date	Revision No.	Review Only – No changes