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<td>1.5 – 1.6</td>
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<td>1.7</td>
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Executive Summary

The goal of this report is to provide information on the IT Transformation Program (ITTP) Phase III: Transition Planning and Implementation work from July 2004 through June 2005.

In September 2004 six senior directors were appointed to provide leadership and direction for the new ITS organization. Those directors are part of the Senior Management Team (SMT). Over the next few years as part of the IT Transformation Program, the SMT will focus on putting in place the people, processes, and technology to create and manage the whole front line delivery experience for the clients, leveraging technology in support of campus goals, and providing a comprehensive oversight process design to protect the campus information assets and electronic systems.

Major accomplishments during this period are summarized as the following:

- Developed an IT services delivery framework.
- Collaborated with the divisions to design and implement a client relationship management organization that employs divisional liaisons as key client advocates for client needs and services.
- Drafted an IT governance model.
- Developed a set of alternate budget planning scenarios that are aligned with varying candidate IT services and service levels.
- Conducted the first strategic governance retreat in February 2005 with campus leadership.
- Completed the senior-level organization design and began recruitments and hiring of senior managers, key mid-level managers and specialists.
- Collaborated with the divisions on transitioning IT staff into the ITS organization.
- Developed and implemented a strategic communication plan.
- Worked with the Executive Budget Committee (EBC) to gain approval of the principles of transitioning IT staff into the ITS organization.
- Identified a workable ITS funding envelope for 2005/06.

As Phase III: Transition Planning and Implementation continues, the SMT will focus on the following work:

- Continue to hire key staff members to help build the foundation of the new organization.
- Execute a staff transition process that will align the skills and interests of all IT staff with roles and positions in ITS.
- Continue to develop an implementation sequence plan that identifies the order in which IT services and people for units and/or functions will be consolidated.
- Identify IT services that must be maintained while building out a new set of centrally provided services as part of the new ITS Service Catalog.
- Implement a new ITS Support Center that will eventually consolidate multiple existing Help Desk functions while maintaining existing client support for the campus.
Now that year one of Phase III is complete, the SMT have begun to immediately focus efforts during the months of August through October 2005 to transition IT staff from the divisions into the ITS organization.

For more information and monthly updates, please visit the IT transformation web site: http://its.ucsc.edu/transformation
1 Overview

IT Transformation Program (ITTP) is focused on creating an IT services delivery framework that offers consistency and predictability in client service levels, aligns with campus strategic goals and priorities, improves cost management and security risk, and offers a dynamic, responsive organization. The program consists of three phases:

- **Phase I: Data Collection and Service Design Visioning**  
  July - December 2003
- **Phase II: Detailed Service Design Planning**  
  January - June 2004
- **Phase III: Transition Planning and Implementation**  
  July 2004 – June 2006

As part of the reorganization efforts, and the hiring of the new senior directors, the dissolution of Communication and Technology Services (CATS) as a campus entity was complete on February 18, 2005. In addition to CATS, the Chancellor's Office Administrative Systems and Technology (COAST) and Media Services staff were officially integrated into ITS.

As work continues through the transformation process, the ITS organization is focused on the following goals:

- Align IT resources with campus priorities
- Stabilize core IT services including security
- Create a responsive, client-centered IT organization
- Leverage IT investments

Along with these goals, the organization remains true throughout the transformation process to these four critical features:

- **Client-focused**: The intent is to create a dynamic IT organization that can respond effectively to changing client needs and priorities.

- **Services based**: Faculty, staff and students will know what services they are getting and what they are not getting through reference to a comprehensive services catalog.

- **Expanded shared technology support**: As servers are consolidated clients will have access to centrally provided storage and backup services. ITS will be better equipped to address growing security concerns.

- **Strategically aligned**: Using a strong governance process and strategic management, ITS will align IT services and resources with campus priorities.
2 Building ITS

The new ITS organization was officially established in September 2004 by hiring six new senior directors to lay the foundation for the subsequent transformation phases in terms of working with campus leadership to confirm ITS funding and direction, detailed organizational design, and the development of key guiding frameworks.

Building ITS includes developing a new organization structure, creating a service delivery framework, establishing a governance model, developing a new support center, transitioning IT staff, and defining a workable funding envelope. Building the organization is an ongoing process through 2006.

2.1 Organization Structure

2.1.1 New Organization Units and Goals

In September 2004 the senior directors were hired to lead the ITS organization. The directors are part of the ITS Senior Management Team (SMT). In addition to the existing ITS units, Media Services and Instructional Computing, the following goals and priorities for each new functional area over the next few years reflect the overall critical aspects and goals of the consolidated organization.

**Application Solutions** is responsible for managing the design and development of IT applications for the campus, which include application development and management, and data architecture. Goals include:

- Provide technical leadership and support to Business Transformation Program efforts (including Enterprise Time & Attendance (ETA) and e-Procurement).
- Provide ongoing support to enterprise applications.
- Assess and inventory existing departmental applications and web sites.
- Develop and implement standards and frameworks for departmental applications and web sites.

**Client Relationship Management (CRM)** is responsible for managing all aspects of ITS working relationships with its clients to render high quality service delivery and to maximize client satisfaction. Goals include:

- Implement consolidated help desk and workstation support function for the campus.
- Develop service plans in conjunction with divisional liaisons.

**Core Technologies** is responsible for managing all consolidated IT systems resources and for providing a secure and stable computing environment for the campus. Goals include:

- Develop and implement server consolidation strategy.
Create an information security framework that provides a secure and stable computing environment for the campus.

**IT Services** is responsible for the design, implementation, and delivery of a defined set of IT services (IT Service Catalog) that meet the needs of customers and the campus. Goals include:

- Define IT services and negotiate service level agreements for all services in the IT service category.
- Design a framework for IT services which supports a diverse range of services and customers.
- Define services to be provided both globally to all customers and locally to meet the needs of specific customer groups.
- Define framework with process for IT service level management and service evolution in conjunction with campus priorities.

**Office of Portfolio Management (OPM)** is responsible for developing communications and project management methods and standards, and ensuring that projects are informed by and align with strategic campus and division initiatives. Specific OPM services will include strategic planning and assessment, program management, project management, communication, and professional development. Goals include:

- Mentor IT staff on concepts and building blocks of program management.
- Provide ITS training and staff development.
- Develop and implement an ongoing strategic planning process for ITS that aligns divisional priorities with overall campus goals.
- Develop and implement performance measurement process for ITS.

### 2.1.2 Detailed Organization Charts

New organization charts for ITS and for each unit have been created and are available online [http://its.ucsc.edu/about_us/org_chart.php](http://its.ucsc.edu/about_us/org_chart.php). As new positions are created and people transition into the organization, the charts will be updated frequently to reflect those changes resulting from the transformation process.

### 2.1.3 Divisional Liaisons

The divisional liaison (DL) plays a critical role in assuring close IT alignment between an academic and administrative division, the activities of ITS, and the campus at large. Each DL works to understand the division’s needs and to plan, coordinate, and manage the delivery of IT services to meet those needs. As an ITS advocate, the DL also plays a primary role in engaging the division in campus-wide IT initiatives, IT planning and portfolio management, IT standard and policy setting, and IT operational governance.

The DL is responsible for managing key client relationships within the division and building an effective working relationship between the division and ITS. In February 2005 interim DLs were identified. Recruitments for the DL positions are currently taking place.
2.2 IT Service Delivery Framework

The IT Service Delivery Framework developed during Phase III has proven to be an excellent tool for communicating the scope and nature of global and local IT services to be delivered on campus.

An IT service is defined as…

- …an IT function done for a customer that provides value.
- …a measurable “product” which is the basis of doing business with the customer.
- …delivered through a series of implemented processes and/or activities.
- …what the campus is willing to pay for.

During Phase II, ITS noted two general directions for IT Services—those that were more campus-wide and associated with standards and efficiencies, and those that were responsive to the local needs of units or divisions. While the term “bronze” was intended to cover both, there were expressed concerns that bronze was one direction—either ITS would be averaging services and losing the local nimbleness critical to the campus, or not be realizing any standards or efficiencies with all services remaining locally focused. As a result, ITS has developed an IT Service Delivery Framework with four classifications that expands on the notion of bronze and addresses concerns.

The four classifications include campus “Global” services as well as divisional or unit “Local” and “Add-On” services delivered by ITS and “Blue Diamond” services delivered by the divisions. These classifications allow ITS to leverage consolidated IT resources for both standardized services and the varied services that are critical to divisions or units.

Global Services

- Characteristics: common applicability; are mandatory; generally support the campus mission; include enterprise applications.
- Delivery: Global services will be delivered centrally to maximize leverage of campus resources across the campus.

Local Services

- Characteristics: Importance to a subset or the campus; essential for an individual or unit, but not offered globally; generally support the divisional or unit mission; enhanced level of service to meet local needs.
- Delivery: Local services will be delivered centrally to maximize leverage of campus resources.

Add-on (Fee for Service)

- Characteristics: Discretionary; finite/temporary; ad hoc; outside global priorities but a department that needs this service is willing to pay for it; entrepreneurial prototypes.
- **Delivery:** Add-on services are delivered centrally at the discretion of the unit.

**Blue Diamond (Services delivered by the divisions)**

- **Characteristics:** Intrinsic to a process that is not IT centric; functionally-oriented with subject matter expertise necessary; not of mutual benefit if IT delivers services – risk may be too high.
- **Delivery:** Blue diamond services are delivered or acquired by the unit.

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<tr>
<th>IT Service Lines and Examples</th>
<th>Personal Solutions Services</th>
<th>Campus Solutions Services</th>
<th>Instructional Services</th>
<th>Research/Infrastructure Services</th>
<th>Building Block Services</th>
<th>Community/Compliance Services</th>
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<tr>
<td><strong>DIVISION DELIVERY</strong></td>
<td>&quot;Blue Diamond&quot;</td>
<td>Telescopes</td>
<td>TBD</td>
<td>QB3, Kilocluster</td>
<td>Functional Roles</td>
<td>Campus Experts - e.g. Police, Student Judicial</td>
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<td><strong>IT DELIVERY</strong></td>
<td>Add-Ons</td>
<td>Out-of-Warranty Repair</td>
<td>More Apps or Web sites</td>
<td>TBD</td>
<td>More file storage</td>
<td>More project mgmt</td>
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<tr>
<td><strong>LOCAL</strong></td>
<td>Specialized Software Support (open source, video editing, reporting)</td>
<td>Division/Dept Apps</td>
<td>Specialized Learning Spaces or Instructional Support</td>
<td>Cluster Support Enhanced network or security services</td>
<td>Local project managers, e.g. for division/dept projects</td>
<td>Local security or compliance services</td>
</tr>
<tr>
<td><strong>GLOBAL</strong></td>
<td>Support Center; Desktop Support; Campus Std Software; Accounts</td>
<td>Enterprise Apps</td>
<td>Learning Spaces Instructional Support Learning Management Systems</td>
<td>Network: Telecomm; Server Admin; Security Architecture</td>
<td>Project mgmt training</td>
<td>PIL, HIPAA compliance Security training and practices</td>
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*Figure 1: IT Service Delivery Framework*
**IT Service Catalog**

The IT service catalog will eventually list and describe all the IT services including global, local, and add-on. Services are considered in service lines such as:

<table>
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<th>Service Line</th>
<th>Examples</th>
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| Personal Solutions    | • Support desk  
                       | • Desktop technical support  
                       | • Equipment management  
                       | • Standard HW configuration and load sets  
                       | • Local IT service level agreements  
                       | • Specialized services available to subset of campus  
                       | • Divisional liaison between campus needs and ITS organization |
| Campus Solutions       | • Tech staff for enterprise applications  
                       | • Support for small and medium applications  
                       | • Includes portal and web presence  
                       | • Application architecture for thoughtful integration of campus data |
| Instructional Services | • Learning spaces refer to labs, classrooms, etc.  
                       | • Instruction support provides direct assistance to faculty teaching classes  
                       | • Equipment and software must be covered elsewhere if not funded via IT  
                       | • Components of service areas listed as "TBD" are to be determined pending the work of the Instructional Technology Review |
| Infrastructure Services| • Network  
                       | • Telecommunications  
                       | • Server administration  
                       | • Security architecture |
| Building Block Services| • Project management skill development, coaching and tools  
                       | • Strategy & planning tools and expertise aligns IT with campus goals  
                       | • Services management formalizes delivery and quality of IT services to clients (SLA, service catalog, etc.) |
| Internal Services      | • CIO and core financial support in foundation  
                       | • Administrative support  
                       | • Financial support  
                       | • Communication  
                       | • Training to be distributed to ITS staff |

A first step in detailing IT services was completed in March 2005 with the service mapping, a process whereby ITS partnered with each division to inventory all IT services and map the service to the individual service provider. This informs both the transitional service catalog for the division, i.e. what services they will continue to deliver to customers through transition, as well as an overall IT service catalog for global and local services. The evolution of the service catalog is in figure 2.
Another important step has been in defining and costing a range of service levels by service category. This exercise was the basis for an exercise called “Alignopoly” which allowed governance committees to evaluate service level options and recommend priorities by service category.

Once the IT service catalog is ready for distribution, it will describe services that are visible to the clients as end users. There is another set of services required to deliver these client services. These internal services are behind the line of visibility and include servers and security, project management, portfolio management training, quality assurance, and other IT infrastructure projects. One way to think of this is that the clients of these services are within the IT organization itself.

### 2.3 Governance

The Information Technology (IT) governance defines the processes, decision rights, and accountability at various levels of the institution to manage the ITS function. IT governance ensures that the activities and efforts of the ITS function are congruent with campus, divisional and department objectives, priorities and needs. The overall goal is to maximize the value created for the campus by its IT investments. IT governance also enables synergy of individual IT initiatives through the establishment of standards, policies and practices.
Figure 3: IT Governance Chart

The ITS Governance chart illustrates the proposed governance structure. Governance is separated among a number of domains:

**Strategic Governance:** Ensuring that ITS remains aligned and responsive to overall strategic campus priorities and needs.

**Functional Governance:** Ensuring that ITS resource allocation and portfolio decisions remain congruent with strategic governance needs, and serve the needs of divisions and units. This domain of governance also ensures that major operational issues are escalated appropriately.

**Technical Governance:** Ensuring that the integrity of campus standards and IT architectures are applied, preserved, and evolved in a practical manner to create systems synergy, protect security, and enable data integrity and reuse.

**Organizational Working Group:** Coordinating, compiling, synthesizing and integrating the work of organizational entities and governance committees.
Goals of the IT governance model include the following:

- Provide a fast, flexible, and effective process.
- Strategically align decision-making and accountability with the campus.
- Be selective and apply best thinking within the layers of the organization so that only key decisions are sent through governance.
- Measure IT performance and value to assess how governance process should evolve.

### 2.4 Funding

Throughout Spring 2005 the campus Budget Office and ITS steadily progressed toward a workable funding envelope (size of the ITS organization) and funding model (method in which funds will be allocated to cover the funding envelope).

In July 2005 the ITS funding was approved for the 05/06 fiscal year. A multi-year funding plan was developed to increase support for ITS over the next five years by providing additional core funding, realigning existing campus resources, and by changing the rate structure for core IT services such as network and telephone.

During the 05/06 fiscal year, ITS is charged with developing an “information worker” metric which will be used as a way to allocate costs for global IT services. This will be a major project involving broad participation from the campus community and will allow for the creation of a scalable metric that will position ITS with a funding base that expands with campus growth.
3 Refining ITS

After the ITS organization was established and the senior directors in place, work to refine the organization began in November 2004. SMT focused on developing the organization’s framework and how to make it work in a consolidated environment. Projects included development of a staff transition plan, support center project plan, instructional technology services review, security governance, and developing a server/storage consolidation plan.

3.1 Staff Transition

IT staff transition planning begun in Phase III in collaboration with the campus Staff Human Resources (HR). Staff HR created a high-level framework to aid the leadership involved in the Business Transformation (BTP) and Information Technology Transformation (ITTP) Programs in the planning for the movement of staff. As well, the guidelines promote open and consistent communication about the critical issues associated with staffing the new organizations.

These guidelines were approved by the Executive Budget Committee (EBC) in November 2004 after comments were collected from the campus community. These guidelines are online at: [http://shr.ucsc.edu/campuswide-announce-pol-prog/ebc-staffing/_ebc-staffing.htm](http://shr.ucsc.edu/campuswide-announce-pol-prog/ebc-staffing/_ebc-staffing.htm)

Career Transition Advisory Group

The Career Transition Advisory Group (CTAG) was formed in January 2005 to advise ITS senior management on planning strategies and activities for transitioning IT staff.

The goal of this effort is to design an approach to affect the orderly transition of IT staff into the new organization. The intent is to maximize the opportunity for IT staff to be placed in their “highest and best value” positions. CTAG’s work will continue through Phase III.

Transitioning IT staff into the new organization was targeted for completion in June 2005, however, this activity generated considerable discussion at all levels, with requests for individual meetings with ITS senior directors to review and clarify the principles for determining the final staff outcome.

Since February 2005 ITS has engaged each division and department in service mapping discussions and how best to transition staff into the new organization, resulting in refinements to the plan, and an understanding of some of the concerns as consolidation moves forward.

Transitioning IT staff into ITS will begin during the 05-06 Academic Year.

The Executive Budget Committee (EBC) approved the following principles for transitioning staff: [http://its.ucsc.edu/transformation/pdf/in_out_principles.pdf](http://its.ucsc.edu/transformation/pdf/in_out_principles.pdf)
3.2 Support Center Project

During Phase III the ITS Support Center Project Plan was developed. This project aims to implement a single integrated Support Center capability that will provide all IT-related client support for the entire campus.

Benefits to implementing an integrated Support Center are as follows:

- The Support Center is a cost saving implementation that not only manages client requests and queries but acts as a repository of information about the campus overall IT performance, reducing the total cost of ownership of network devices, applications, and services.

- A consolidated Support Center empowers clients to focus on their objectives and to utilize technology without having to spend a significant amount of time maintaining and troubleshooting the potential problems associated with the use of technology.

- The collection of experience gained from troubleshooting can be shared across the organization allowing staff to resolve similar recurring problems or to identify root cause fixes that eliminate the problems completely.

- A consolidated Support Center serves as the foundation for ensuring that client service satisfaction is continually assessed to facilitate ITS alignment with campus priorities.

This process is open and inclusive as it touches every campus resource that uses technology. To ensure comprehensive input, the project team utilizes the following existing committees to reach a broad audience for valuable feedback:

- Information Technology Committee (ITC)
- IT Career Transition Advisory Group (CTAG)
- IT Envoy Program
The future state vision of an integrated ITS Support Center, as seen in figure 4, will provide the following:

- All IT-related client support for the campus.
- Incident support and access to IT services (IT Storefront).
- All assistance currently provided by IT related campus Help Desks to support faculty, staff, and students.
- Enterprise Application support.

The work of the Support Center team continues throughout Fall 2005 with a targeted implementation set for Winter 2006.
3.3 Core Technologies

During Phase III the Core Technologies management team evaluated a number of initiatives and provided data to campus leaders to confirm priority and phasing. Initiatives considered include:

- Server consolidation
- Storage consolidation
- Security assessment
- Security architecture
- Network and Telecommunication upgrade
- Operations Upgrade

The campus will benefit greatly from consolidating distributed workload in server administration, security, and network administration. Unfortunately the campus cannot leverage these opportunities until appropriate infrastructure is in place. Evaluation and planning for this infrastructure is Core Technologies critical next step.

3.4 Security Governance

The campus acknowledges the critical ongoing need to provide a comprehensive oversight process designed to protect its information assets and electronic systems. A campus security committee was formed in June 2005 to provide oversight regarding the IT security processes and systems. This committee reports to the campus Information Technology Committee (ITC), an advisory committee to the Campus Provost/EVC.

The IT Security Committee’s charge is to coordinate and direct the development of appropriate campus policy and will oversee the recently-initiated Campus Security Policy program as well as provide advice regarding education and communication that may be needed to support the policy and compliance measures developed.

The IT Security Committee will also suggest resources needed for the campus to manage IT security. These will be balanced with what are considered to be reasonable and acceptable levels of risk to be assumed by the campus. IT Security Committee work continues throughout 2006.

3.5 Instructional Technologies Review

A committee was formed in May 2005 to evaluate how services are provided by Instructional Computing and Media Services. The committee reviewed faculty and campus requirements for instructional support. The committee is currently developing a pre-implementation planning process that will be followed by implementation. The purpose of reviewing Instructional Computing and Media Services is to ensure that ITS is providing services that meet campus needs and to improve efficiency.
4 Implementation

During the next stage of Phase III, July 2005 through June 2006, ITS will begin to implement the projects outlined in this report. As well, divisional IT staff will transition into the new organization throughout Fall 2005.

Those divisions include IT staff from Physical and Biological Sciences, Social Sciences, Humanities, Arts, Library, Student Affairs, University Relations, Business Administrative Services, University Extension, and School of Engineering.

The IT staff are currently working directly with their divisional IT liaison (DL) to create a transition plan that outlines how services and staff transition over time into ITS Global Services or Local IT Services (LITS).

![Figure 5: Transition and Implementation Timeline](image-url)
4.1 Next Steps
As work continues throughout the next stage of Phase III, the SMT is immediately focused on the following next steps:

- Compile the information already gained from previous phases.
- Synthesize data and pre-populate Divisional Transition Plan documents.
- Conduct pre-meeting with assistant deans and divisional liaisons for each division to present approach and next steps.
- Conduct several “all hands” meetings in each division to introduce plan, hear issues, and present next steps.
- Teams prepare to participate in completing transition plans and get ready to implement.

4.2 Resources

- IT Transformation Web Site: http://its.ucsc.edu/transformation/
- ITS News and Events: http://its.ucsc.edu/newsletter/
- IT Governance: http://its.ucsc.edu/governance/
- Feedback: http://its.ucsc.edu/transformation/feedback.php