

IT Governance Survey Questionnaire

June 2007

Thank you for participating in this study of information technology (IT) governance in higher education, conducted by the EDUCAUSE Center for Applied Research (ECAR).

If you wish to print a copy of the survey before completing it online, a .pdf version is available in the headers of the Web survey pages and at <<http://www.educause.edu/SurveyInstruments/1004>>.

Our study follows the definition of IT governance developed by MIT researchers Peter Weill and Jeanne Ross, who define it as "specifying the decision rights and accountability framework to encourage desirable behavior in using IT." In particular, we're interested in how institutions make high-level decisions about the use of IT, who makes those decisions, what mechanisms (such as committees) are employed, and how effective respondents think IT governance is in helping institutions achieve key objectives.

Except where we specify otherwise, if your institution has multiple IT units, please answer questions with respect to the entire IT function institution-wide, not just the central IT organization.

Our survey software allows you to:

> **Print.** To *print a blank copy of the survey* before completing it, click "Printable version of this survey" in the header. Once you have completed the online survey, you can print your responses by clicking the "Review" button at the end of the survey.

> **Save partially completed surveys.** To save and return to a partially completed survey, set a Favorite (Bookmark) for the survey and then click the SAVE button. If cookies are enabled in your browser, when you return to the survey you will be taken to the place you left off.

> **Review, revise, and save responses.** You may review your answers before submitting your responses (i.e., before clicking the "Finish" button). Choose the "Review" button to review, print, and save your responses. ***We strongly suggest that you print and save your responses before you submit them.***

Please complete this survey by **July 9, 2007**. As thanks for your time and valuable input, participants will receive a summary of key findings from the study.

We appreciate your time and participation. If you have any questions or concerns, please e-mail <ecar@educause.edu>.

Click the Next button to begin the survey. Once again, thank you for your input!

Section 1: Identification

1.1 Survey ID. *Required. (Available from your e-mail invitation to complete this survey.)*

1.2 Your name. *Required.* _____

Section 2: IT Governance Status and Alignment

2.1 Which of the following best characterizes IT governance at your institution?

- Non-existent: IT governance processes are not applied, and the institution has not recognized the need for them.
- Initial: IT governance processes are informal and uncoordinated.
- Repeatable: IT governance processes follow a regular pattern.
- Defined: IT governance processes are documented and communicated.
- Managed: IT governance processes are monitored and measured.
- Optimized: IT governance best practices are followed, and there are provisions for amending processes.

2.2 Does your institution have a documented plan that outlines strategic priorities for the institution as a whole?

- No
- Yes
- A documented institutional plan is under development.

2.3 Does your institution have an IT strategic plan? *Required.*

- No <Go to 2.5>
- Yes
- An IT strategic plan is under development.

2.4 Which best describes the scope of the IT strategic plan?

- Primarily addresses central IT issues and initiatives
- Addresses institution-wide IT issues and initiatives

2.5_2.11 At my institution...

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Don't know
2.5 Business goals and IT are aligned.						
2.6 Academic goals and IT are aligned.						
2.7 Local IT goals are aligned with institutional IT goals.						
2.8 Strategic priorities are clearly articulated.						
2.9 We are able to develop important IT policies that apply throughout the institution (e.g., security, privacy, business continuity).						
2.10 We are able to implement important IT decisions that apply throughout the institution (e.g., security, privacy, business continuity).						
2.11 We are able to coordinate the activities of IT personnel effectively throughout the institution.						

2.12_2.14 IT governance at my institution...

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Don't know
2.12 Has been actively designed.						
2.13 Is perceived to be the responsibility of the senior IT leader.						
2.14 Can be accurately described by all relevant executives, deans, and department heads.						

2.15_2.19 Please describe your institution's use of the following frameworks in its IT governance processes and structures:

	Do not use	Use selected elements	Use most or all elements
2.15 COBIT (Control Objectives for Information and related Technology)			
2.16 ITIL (Information Technology Infrastructure Library)			
2.17 ISO 17799 (information security management)			
2.18 ISO 9000 (quality management)			
2.19 Other			

Section 3: Drivers and Barriers

3.1_3.11 What are the primary drivers for pursuing formal IT governance at your institution?

Select up to three.

- 3.1 Encouraging/collecting community input
- 3.2 Empowering users/process owners
- 3.3 Transparency in decision making
- 3.4 Promoting an institution-wide view of IT
- 3.5 Aligning IT goals with institutional goals
- 3.6 Applying performance metrics/accountability frameworks to IT
- 3.7 Coordinating decision processes that have separate origins/purposes
- 3.8 Cost reduction/increased efficiencies
- 3.9 Resolving disputes
- 3.10 Regulatory/audit compliance
- 3.11 Other

3.12_3.21 What are the primary barriers to pursuing formal IT governance at your institution? Select up to three.

- 3.12 Lack of adequate funding
- 3.13 Lack of participation from necessary parties
- 3.14 Decentralized/informal institutional culture
- 3.15 Top-down/leadership-driven institutional culture
- 3.16 Lack of guidance from institutional strategic objectives
- 3.17 Lack of institutional leadership support
- 3.18 Governance structures/processes insufficiently coordinated
- 3.19 Difficulty developing campus policies and procedures
- 3.20 IT needs not complex enough to justify
- 3.21 Other

Section 4: Input and Decision-Making in IT Governance

The following questions ask about how decision making is organized at your institution in five key areas related to IT governance. A definition of each decision area precedes questions about who provides input to decisions in that area, and about who makes final decisions.

Definition: *IT principles* are high-level statements about how IT will be used to achieve institutional goals.

4.1_4.9 How often does your institution seek advice or receive input from the following when considering decisions related to IT principles:

	1 Very rarely or never	2	3	4	5 Very frequently or always
4.1 Board of regents/trustees					
4.2 President/chancellor					
4.3 Cabinet-level executives					
4.4 Senior institutional IT leader and/or senior central IT managers					
4.5 Local IT managers					
4.6 Business unit leaders					
4.7 Deans/academic unit leaders					
4.8 Faculty					
4.9 Students					

4.10_4.18 Which of the following at your institution typically make final decisions, individually or as part of a group, about IT principles?

	1 Very rarely or never	2	3	4	5 Very frequently or always
4.10 Board of regents/trustees					
4.11 President/chancellor					
4.12 Cabinet-level executives					
4.13 Senior institutional IT leader and/or senior central IT managers					
4.14 Local IT managers					
4.15 Business unit leaders					
4.16 Deans/academic unit leaders					
4.17 Faculty					
4.18 Students					

Definition: *IT architecture* concerns the technical guidelines and standards used to achieve a desired level of business/academic and technical integration and standardization.

4.19_4.27 How often does your institution seek advice or receive input from the following when considering decisions related to IT architecture:

	1 Very rarely or never	2	3	4	5 Very frequently or always
4.19 Board of regents/trustees					
4.20 President/chancellor					
4.21 Cabinet-level executives					
4.22 Senior institutional IT leader and/or senior central IT managers					
4.23 Local IT managers					
4.24 Business unit leaders					
4.25 Deans/academic unit leaders					
4.26 Faculty					
4.27 Students					

4.28_4.36 Which of the following at your institution typically make final decisions, individually or as part of a group, about IT architecture?

	1 Very rarely or never	2	3	4	5 Very frequently or always
4.28 Board of regents/trustees					
4.29 President/chancellor					
4.30 Cabinet-level executives					
4.31 Senior institutional IT leader and/or senior central IT managers					
4.32 Local IT managers					
4.33 Business unit leaders					
4.34 Deans/academic unit leaders					
4.35 Faculty					
4.36 Students					

Definition: *IT infrastructure strategies* address shared IT services used by multiple systems and applications, providing a foundation for enterprise-wide IT capabilities.

4.37_4.45 How often does your institution seek advice or receive input from the following when considering decisions related to IT infrastructure strategies:

	1 Very rarely or never	2	3	4	5 Very frequently or always
4.37 Board of regents/trustees					
4.38 President/chancellor					
4.39 Cabinet-level executives					
4.40 Senior institutional IT leader and/or senior central IT managers					
4.41 Local IT managers					
4.42 Business unit leaders					
4.43 Deans/academic unit leaders					
4.44 Faculty					
4.45 Students					

4.46_4.54 Which of the following at your institution typically make final decisions, individually or as part of a group, about IT infrastructure strategies?

	1 Very rarely or never	2	3	4	5 Very frequently or always
4.46 Board of regents/trustees					
4.47 President/chancellor					
4.48 Cabinet-level executives					
4.49 Senior institutional IT leader and/or senior central IT managers					
4.50 Local IT managers					
4.51 Business unit leaders					
4.52 Deans/academic unit leaders					
4.53 Faculty					
4.54 Students					

Definition: *Application needs* involve specifying the requirements of major IT applications and choosing applications to meet them.

4.55_4.63 How often does your institution seek advice or receive input from the following when considering decisions related to application needs:

	1 Very rarely or never	2	3	4	5 Very frequently or always
4.55 Board of regents/trustees					
4.56 President/chancellor					
4.57 Cabinet-level executives					
4.58 Senior institutional IT leader and/or senior central IT managers					
4.59 Local IT managers					
4.60 Business unit leaders					
4.61 Deans/academic unit leaders					
4.62 Faculty					
4.63 Students					

4.64_4.72 Which of the following at your institution typically make final decisions, individually or as part of a group, about application needs?

	1 Very rarely or never	2	3	4	5 Very frequently or always
4.64 Board of regents/trustees					
4.65 President/chancellor					
4.66 Cabinet-level executives					
4.67 Senior institutional IT leader and/or senior central IT managers					
4.68 Local IT managers					
4.69 Business unit leaders					
4.70 Deans/academic unit leaders					
4.71 Faculty					
4.72 Students					

Definition: *IT investment and prioritization* concerns how much the institution spends on IT investments, what it spends on, and how competing needs are reconciled.

4.73_4.81 How often does your institution seek advice or receive input from the following when considering decisions related to IT investment and prioritization:

	1 Very rarely or never	2	3	4	5 Very frequently or always
4.73 Board of regents/trustees					
4.74 President/chancellor					
4.75 Cabinet-level executives					
4.76 Senior institutional IT leader and/or senior central IT managers					
4.77 Local IT managers					
4.78 Business unit leaders					
4.79 Deans/academic unit leaders					
4.80 Faculty					
4.81 Students					

4.82_4.90 Which of the following at your institution typically make final decisions, individually or as part of a group, about IT investment and prioritization?

	1 Very rarely or never	2	3	4	5 Very frequently or always
4.82 Board of regents/trustees					
4.83 President/chancellor					
4.84 Cabinet-level executives					
4.85 Senior institutional IT leader and/or senior central IT managers					
4.86 Local IT managers					
4.87 Business unit leaders					
4.88 Deans/academic unit leaders					
4.89 Faculty					
4.90 Students					

4.91 How often in the past two years has your institution formally changed the IT governance *decision-making* process?

- No changes
- 1–2 times
- 3–4 times
- 5 times or more

Section 5: IT Governance Structures and Processes

5.1 Does your institution’s board of trustees/regents/governors have a technology subcommittee?

- No
- Yes
- Don’t know

5.2 Does your institution have a top-level IT steering committee (or IT strategy committee, executive committee, council, etc.) for oversight of major IT policies and initiatives?

Required.

- No <Go to 5.22 >
- Yes <Go to 5.3 through 5.21; then 5.31>
- Don’t know <Go to 5.31>

5.3_5.8 What is the role of the IT steering committee?

	No	Yes	Don't know
5.3 Has advisory role			
5.4 Sets policy			
5.5 Sets priorities			
5.6 Adjudicates conflicts			
5.7 Authorizes funding			
5.8 Other			

5.9 Which best describes the scope of the IT steering committee's responsibility?

- Primarily addresses central IT issues and initiatives
- Addresses institution-wide IT issues and initiatives

5.10_5.19 Which of the following are permanently represented, directly or through delegates, on the IT steering committee?

	Not represented on IT steering committee	Represented on IT steering committee
5.10 Board of regents/trustees		
5.11 President/chancellor		
5.12 Cabinet-level executives		
5.13 Institution's senior IT leader		
5.14 Senior central IT managers		
5.15 Local IT managers		
5.16 Business unit leaders		
5.17 Deans/academic unit leaders		
5.18 Faculty		
5.19 Students		

5.20 Does your institution's senior IT leader chair the IT steering committee?

- No
- Yes
- Don't know

5.21 My institution's IT steering committee contributes effectively to institutional IT governance.

- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

5.22_5.30 What are the primary reasons why your institution does not have an IT steering committee? Select up to three.

- 5.22 Prefer distributing function across multiple standing committees
- 5.23 Prefer using ad hoc committees as needed
- 5.24 Prefer to preserve IT management freedom of action
- 5.25 Prefer personal advisory relationships
- 5.26 Relevant decisions are made at executive level
- 5.27 Insufficient stakeholder interest/willingness to participate
- 5.28 IT governance process not sufficiently formalized
- 5.29 IT governance needs not complex enough to justify
- 5.30 Other

5.31_5.38 Which of the following committees are involved in IT governance at your institution?

	No	Yes	Don't know
5.31 Standing administrative IT advisory committee			
5.32 Teaching/learning IT advisory committee			
5.33 Research IT advisory committee			
5.34 IT architecture committee			
5.35 IT initiative-specific committees (e.g., ERP, security, business continuity)			
5.36 Institutional budget committee			
5.37 Faculty senate committee			
5.38 Other			

5.39 Does IT governance at your institution participate in institutional budgetary processes?

- No
- Yes

5.40 Do library leaders participate directly in your IT governance processes?

- No
- Yes

5.41 At my institution, relevant constituencies are kept well-informed about IT governance processes and decisions.

- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

5.42_5.48 Which methods does your institution use to communicate about IT governance processes and decisions?

	No	Yes	Don't know
5.42 Periodic newsletters/e-mails			
5.43 Senior leadership announcements			
5.44 Faculty senate/council			
5.45 Staff/faculty orientation			
5.46 Documentation on Web			
5.47 Campus newspaper			
5.48 Other			

5.49 Does IT governance involve formal review and approval of IT projects at your institution? *Required.*

- No <Go to Section 6>
- Yes
- Don't know <Go to Section 6>

5.50 How are projects chosen for review?

- All projects. <Go to 5.52_5.56>
- Decision to review is made case by case. <Go to 5.52_5.56>
- Projects meeting a certain cost threshold. <Go to 5.52_5.56>
- Projects meeting some other specified criteria.

5.51 Describe: _____

5.52_5.56 Indicate whether the project review process...

	No	Yes	Don't know
5.52 Evaluates projects for alignment with institutional IT goals.			
5.53 Evaluates projects for compliance with IT architectural standards.			
5.54 Typically involves more than a single review (e.g., concept, full proposal, milestones).			
5.55 Requires tracking the status of projects once approved.			
5.56 Requires assessing the results of completed projects.			

Section 6: IT Performance and Accountability

6.1_6.6 At my institution...

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Don't know
6.1 We agree on measurable goals for IT.						
6.2 We organize regular measurement and reporting of IT performance.						
6.3 We make IT decisions on the basis of measured IT results and performance.						
6.4 We incorporate measurement and reporting in our IT governance process.						
6.5 We regularly review the effectiveness of IT governance processes.						
6.6 Our most important stakeholders are satisfied with our IT services and operations.						

6.7_6.12 Does your institution make use of any of the following as part of its IT governance processes?

	No	Yes	Don't know
6.7 Service level agreements			
6.8 Balanced scorecard			
6.9 Malcolm Baldrige process and criteria			
6.10 Constituent satisfaction surveys			
6.11 External review of the IT function			
6.12 Institution-designed performance measures			

Section 7: Assessing IT Governance Performance

7.1_7.4 How important are the following outcomes at your institution, on a scale from 1 (not important) to 5 (very important)?

	1 Not important	2	3	4	5 Very important
7.1 Cost-effective use of IT					
7.2 Effective use of IT to enhance teaching and learning					
7.3 Effective use of IT to enhance research					
7.4 Effective use of IT to enhance administrative processes					

7.5_7.8 How influential is IT governance at your institution in producing the following outcomes, on a scale from 1 (not influential) to 5 (very influential)?

	1 Not influential	2	3	4	5 Very influential
7.5 Cost-effective use of IT					
7.6 Effective use of IT to enhance teaching and learning					
7.7 Effective use of IT to enhance research					
7.8 Effective use of IT to enhance administrative processes					

7.9_7.17 Overall, which of the following are typically most responsible for successful IT governance outcomes at your institution? Select up to three.

- 7.9 Skills/personalities of key individuals
- 7.10 Informal relationships among concerned parties
- 7.11 Formal IT governance structures (e.g., committees) and processes
- 7.12 Inclusion/participation of stakeholders
- 7.13 Guidance from institutional strategic objectives
- 7.14 Performance metrics/frameworks
- 7.15 Communication of IT governance processes and decisions
- 7.16 Support of executive leadership
- 7.17 Other

7.18_7.26 Overall, which of the following are typically most responsible for unsuccessful IT governance outcomes at your institution? Select up to three.

- 7.18 Skills/personalities of key individuals
- 7.19 Informal relationships among concerned parties
- 7.20 Absence or inadequacy of formal IT governance structures (e.g., committees) and processes
- 7.21 Non-inclusion/non-participation of stakeholders
- 7.22 Lack of guidance from institutional strategic objectives
- 7.23 Absence or inadequacy of performance metrics/frameworks
- 7.24 Failure to communicate IT governance processes and decisions
- 7.25 Lack of support of executive leadership
- 7.26 Other

7.27_7.32 At my institution, IT governance...

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Don't know
7.27 Makes timely decisions.						
7.28 Achieves transparency in decision making.						
7.29 Balances institutional and local/departmental needs.						
7.30 Builds support for IT through inclusion.						
7.31 Is effective overall.						
7.32 Works in practice the way it's supposed to work in theory.						

7.33 Please share any thoughts you may have on the strengths and weaknesses of your institution's IT governance processes.

Section 8: About You and Your Institution

8.1 Your position. Required.

- President/chancellor
- Vice president/provost/vice provost or equivalent (non-CIO)
- Senior-most IT leader (e.g., CIO or equivalent)
- Director of administrative computing
- Director of academic computing
- Other IT management
- Other administrative management
- Other academic management
- Other

8.2 Is the senior-most IT leader (e.g., CIO) at your institution a member of the president/chancellor's cabinet?

- No
- Yes

8.3 I am personally very involved in IT governance at my institution.

- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

8.4 Is your institution part of a university system-wide organization?

- No
- Yes

8.5 What best characterizes your institution in terms of adopting new technologies?

- Early adopter
- Mainstream adopter
- Late adopter

8.6 How many individuals at your institution carry the title CIO or a close equivalent (e.g., CIO of main campus, medical school, business school, etc.)?

- 0
- 1
- 2
- 3
- 4
- 5
- More than 5
- Don't know

8.7 Estimate the percentage of full-time equivalent (FTE) institutional IT personnel that report to departments outside central IT.

- 0
- 1–10
- 11–20
- 21–30
- 31–40
- 41–50
- 51–60
- 61–70
- 71–80
- 81–90
- 91–100
- Don't know

8.8 Estimate the number of e-mail systems in use throughout your institution.

- 1–5
- 6–20
- 21–50
- 51–100
- Over 100
- Don't know

Section 9: Conclusion

9.1 May we contact you to obtain further insights or clarifications on your responses?

No <Go to 9.3>

Yes <Go to 9.2>

9.2 If yes, what is your e-mail address? _____

9.3 We are committed to continually improving our surveys. All comments are welcome and will be considered. _____

You have reached the end of the survey. Thank you! Please consider *saving and printing* your responses by clicking the “Review” button now. Once you have done so, **click the “Finish” button to submit your survey.**

Full ECAR studies are available either through subscription or purchase at the ECAR Web site (<http://www.educause.edu/ecar/>).

If you have any questions or concerns, please e-mail <ecar@educause.edu>.