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Achieving your
Mission through
Information
Governance

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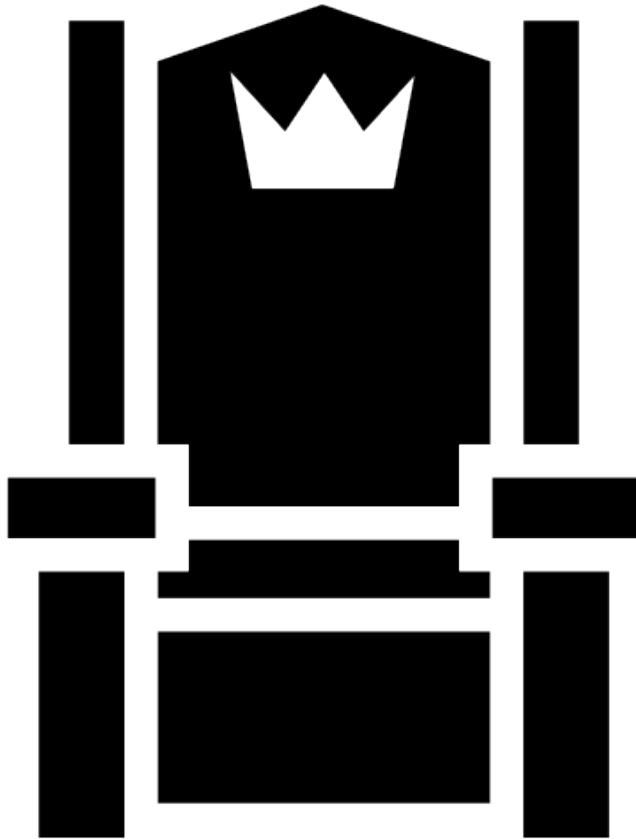
What is IT Governance?

Peter Campbell – Senior Strategic Consultant, Marcum Technology

What is Technology Governance?

- Technology (or IT) Governance encompasses the oversight, policies, and procedures that tie systems, software, and technical infrastructure to organizational vision and strategy.
- IT Governance aligns technology selection, implementation, and use to core business processes and strategies.
- Accordingly it is not about technology. It is about how technology supports the mission.
- While IT has a large role to play in enacting the policies and procedures related to IT governance, it is an organization-wide framework and implementation should be led from the top.

Why Govern Technology?



- A well-implemented governance framework supports and improves:
 - Budget Development
 - Human Capital
 - Procurement
 - The Return on Investments (ROI)
 - Information Security, and
 - Organizational Culture.

Governance Frameworks

- One way to implement a governance approach is to use a technology governance framework.
- Frameworks can be thought of as outlines that you use to build the fully -thought out policies and procedures from.
- Popular frameworks include COBIT 2019, CMMI, and ITIL.



The Role of Technology



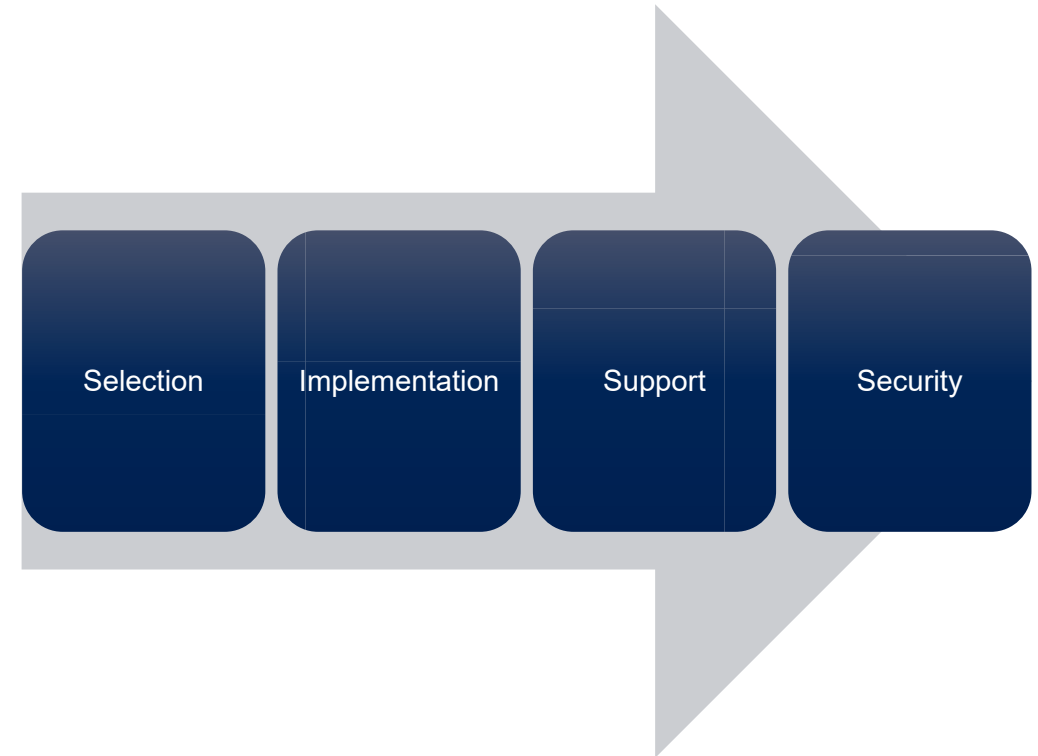
- Technology is more than just a tool.
- It's not an easily replaceable commodity, like the typewriters and telephones that it superseded. Business software is far more complex.
- Use of technology permeates our work. We can't delegate all technology tasks to the technical staff.

The Role of Technology

- Technology
 - Automates redundant tasks and streamlines manual processes.
 - Provides multiple powerful communication tools.
 - Allows us to analyze data sets that would be unwieldy to work with in paper format.
- IT manages the technology, but the Executive Team needs to own the strategy and oversight of technology use.
- Tech strategy needs to be represented on the Executive Team in the form of a CIO, VP IT, or Director.

The Four Main Areas of IT Governance

- Technology Selection
 - Who decides what software to buy and how are the choices justified?
- Implementation
 - How is the software configuration determined? How does it integrate with existing systems?
- Support
 - How are users trained and empowered to fully use the systems?
- Security
 - How is sensitive data secured? How are risks mitigated?



Technology Selection

- Staff and management should agree that a new system needs to be implemented.
- Clearly understood and agreed upon goals should drive the selection.
- When systems are being upgraded or replaced, the organization should clearly understand what the old system lacked and what the new system will enable.
- Users, technologists, and key decision makers should all be involved in the selection and accountable for it.
- The more costly in terms of budget, resources, and organizational impact the project, the more rigorous the selection process should be.

Implementation

- Prior to designing complex, key systems, perform business process analyses to refine and create processes for automation.
- Clearly identify project roles and accountability.
- Vet the vendor's implementation process – does it serve your goals or theirs? Bring in outsourced experts and project managers if necessary.
- Make sure that there's a training plan both for implementation and post-rollout.
- Evaluate and plan for staffing changes in response to the new system and processes.

Support

- Determine what technology management and support can be outsourced and what's best kept internal.
- Identify an outsourcer (if needed) with experience in your field and services that you require.
- Implement a support request process with strong communication and accountability.
- Train staff.
- Allocate technology resources equitably.
- Establish minimum requirements for office tech and a budget plan to support it.

Security

- Organize your file and information systems in ways that isolate and protect sensitive data.
- Use network security to limit access to systems where sensitive data is stored.
- Use a security framework like NIST 800-171 or ISO27001 to fully mitigate risk.
- Stay aware of current threats and protection trends, as cybercrime is evolving.

A Culture of Governance



- Frameworks help to establish governance.
- Governance is a discipline that works best once it's institutionalized.
- It's not about what you do with technology as much as it is how you do it: mindfully, proactively, equitably, and with full accountability.
- Successful governance structures are developed with organizational culture in mind – both in how the governance should mesh with the culture and how it should change and improve it.

Frameworks in 10 minutes

Greg Blake, CIO and Vice President of Administration at
Idaho Housing and Finance Association

Certified by ISACA in Governance of IT Enterprise (CGEIT)



You don't have to be a genius or a visionary or even a college graduate to be successful. You just need a framework and a dream.

— *Michael Dell* —

What are Frameworks

- **Standards, Methodology, Best Practices**
- Rooted in good IT governance
- Frameworks are a concept
- **This is how you run an IT Department!!!!**
- It's an evolution



**If he only had a framework
for locking a bike**



Why do I need a Framework

- **Strategic alignment** of the business with IT
- Gives your company an IT competitive advantage
 - Technology justification
 - Cost containment
 - Change management
- Balances the value creation and value protection
 - **Conformance vs Performance**

Expert Insight: 'The Old "IT Department Just Says NO" Will No Longer Suffice'

by Michael Hiskey | December 08, 2017

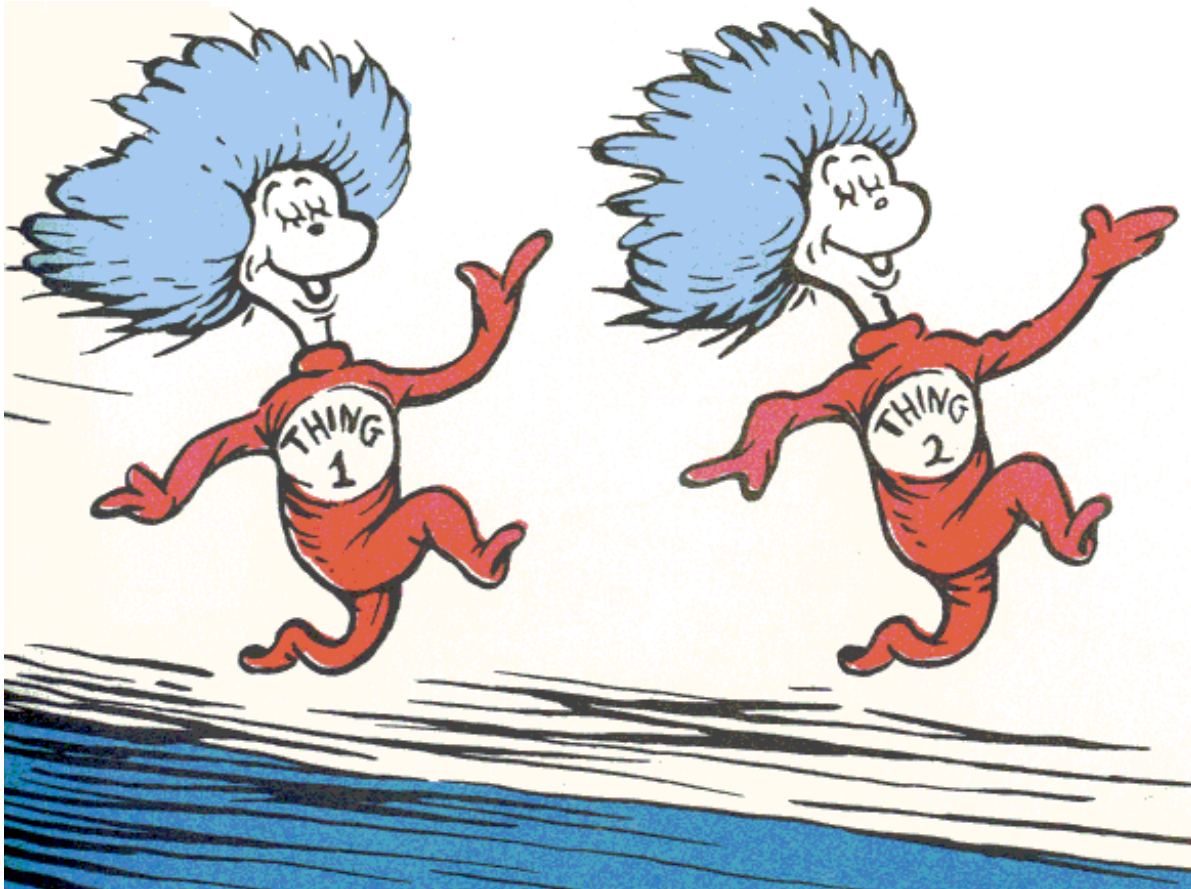


*This post originally appeared in The Innovation Enterprise on Nov. 27th**

The Innovation Enterprise recently sat down with Michael Hiskey, Chief Strategy Officer at Semarchy who are supporting the Chief Data Officer Summit in New York on December 11 & 12.

Michael is a long-time data industry executive, who spends his days reinventing how technology can help improve business outcomes. An accomplished writer, speaker and blogger, he enjoys telling stories of ingenuity and innovation. He currently

Conformance vs Performance



- **Conformance**

- Compliance
- Sarbanes Oxley (SOX), SOC II, Graham Leach Bliley
- Value Protection
- Use – **COSO Framework**

- **Performance**

- Business Goals and Objectives
- Value Creation
- Use a - **Balanced Scorecard**

I'm in
compliance
with a locked
computer
room



Frameworks and Standards

Framework Categories	Frameworks	Standards
Governance	COSO / COBIT 2019	ISO 38500
Service Management	ITIL v3	ISO 20000
Risk Management	COSO / COBIT 2019	ISO 31000
Architecture	TOGAF v9.2	ISO 42010
Project Management	PMBOK / PRINCE2	ISO 21500
Quality Assurance	Six Sigma	ISO 15504
Software Development	Waterfall, Agile	ISO 12207
Cyber Security	NIST / COBIT 2019	ISO 27001

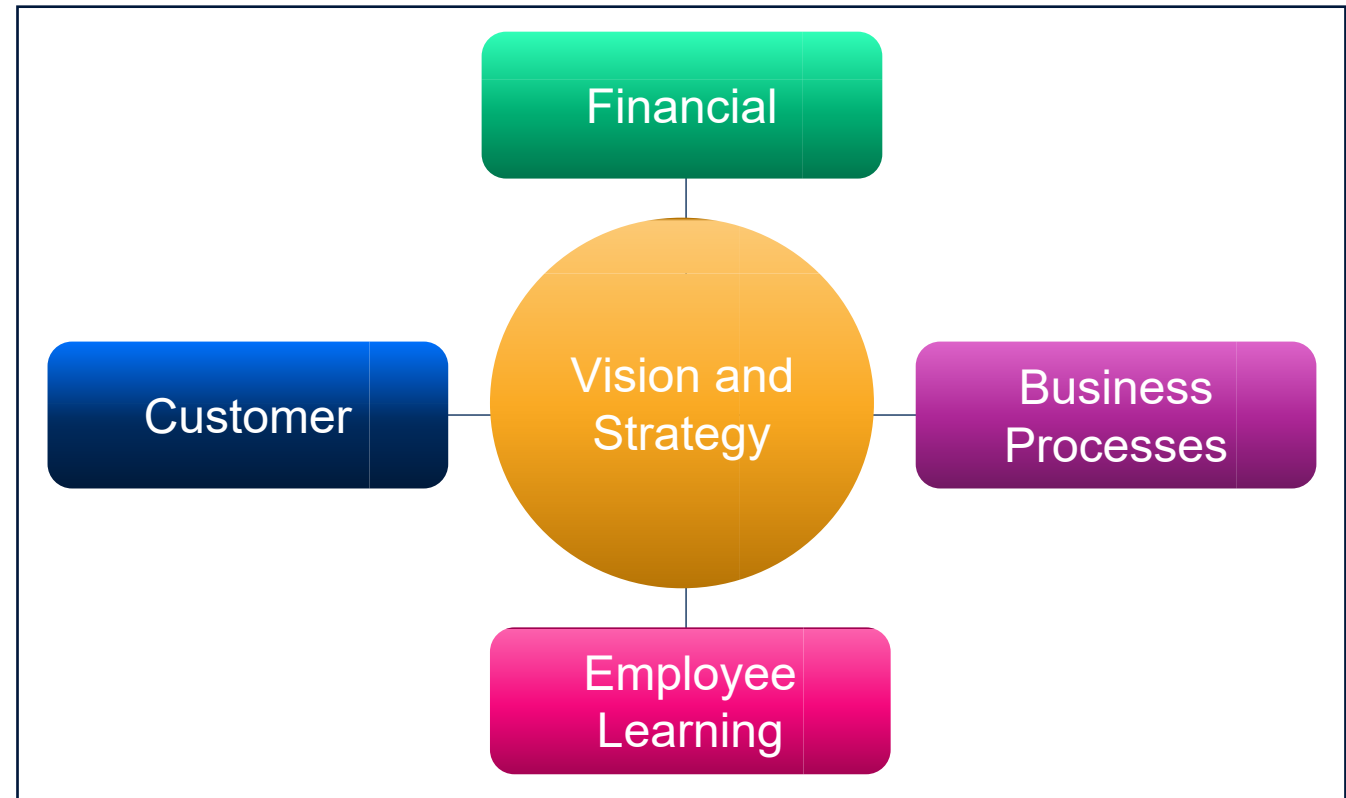
A close-up photograph of a bright green tree frog perched on a branch. The frog's mouth is wide open, showing its pinkish-purple interior. It has small, dark eyes and a textured, bumpy skin. The background is a blurred, light-colored wall.

Look into my eyes

**The two frameworks you
need to know**

The Balanced Scorecard?

- **Management Report**
- **Performance Metric**
- **Perspective**
 - Customer
 - Financial
 - Business Processes
 - Employee/Learning
- **Perspective Elements**
 - Goals
 - Measures
 - Targets
 - Initiatives

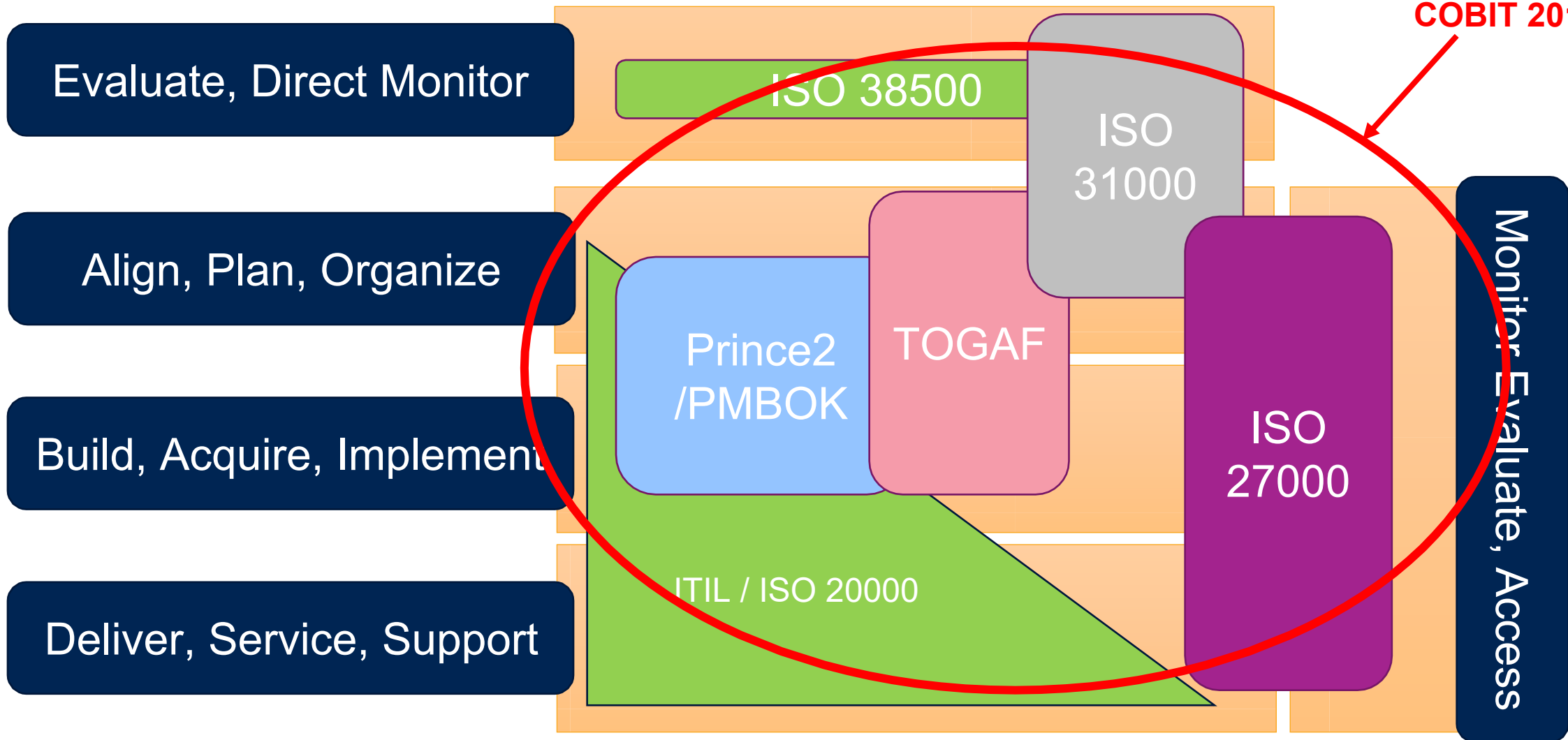


The greatest Framework COBIT 2019



No, not Covid-19

All encompassing framework



Framework evolution at



**Idaho Housing
and Finance**
Association

www.idahohousing.com

2010

- ITIL – Help Desk / Service Management
- Balance Scorecard – Board Presentations

2011

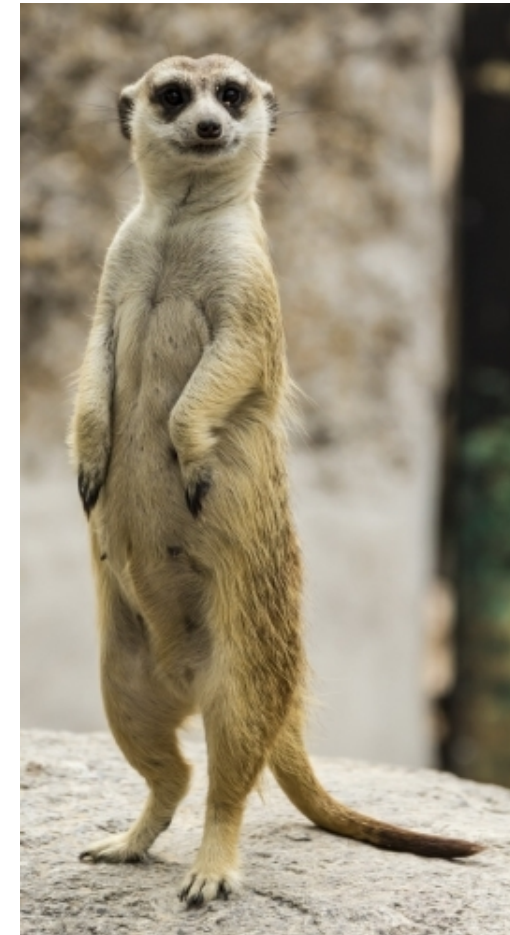
- COBIT 5 (Framework for SOC II type II)
- TOGAF (Enterprise Architecture Document)

2012

- PMBOX – Framework for Project Management
- Six Sigma – Project Management QA

2013

- NIST – Cybersecurity Framework
- Agile – Software Development
 - Black box penetration test (red team, blue team)



Takeaways

- Learn the different Frameworks
 - Especially COBIT 2019, Balanced Scorecard, ITIL, and NIST
- Use the elements that make the most sense for your company
- Teach your staff the Frameworks
- Implement the Frameworks gradually



Case Study: Vermont's COVID-19 Mortgage Assistance Program

David Chien – Director of Information Technology, Vermont Housing Finance Agency

IT Governance was in Many Ways, the Key to this Program's Success

- VHFA was tapped by the State of Vermont to develop and administer a program to distribute Federal CARES Act funds to Vermont homeowners who have faced economic hardships due to COVID-19, causing them to miss mortgage payments.
- A culture of strong IT governance allowed VHFA's technology team to support the Agency's mission by developing and launching this program in an extremely accelerated timeline, in conjunction with program staff.

Numerous aspects of the program required extensive IT involvement

- New website built from scratch to provide information about the program, receive applications and communicate with applicants.
- New toll-free number & revision of phone auto-attendant phone tree.
- Deployment of softphone for VHFA staff to communicate with applicants while working remotely.
- New shared email box for staff to communicate with applicants & loan servicers, facilitating efficient communication.
- Data entry from website to internal VHFA SQL database.
- Development of SQL reporting for QC and data reporting to State.

Challenges

- Very rapid timeline (approximately 6 weeks) from initial concept, through development, testing, and public launch.
- VHFA has a small (3-person) IT staff, with some program staff having SQL skills.
- Development of program required frequent and close collaboration between multiple agency departments.
- All VHFA staff have been working remotely since mid March.

Rapid Timeline for Program Development and Administration

- Initial discussions started in early June. IT involved in these discussions at the outset.
- Development of program started in earnest in mid June with demo ready for leadership review on July 2.
- Program announced at Governor's July 10 COVID-19 briefing. Publicity via media and social media started immediately thereafter.
- Program went live on July 13 (Phase 1).
- Phase 1 of program closed on August 31.
- Phase 2 of program went live on September 1.
- Distribution of funds has begun. All funds to be distributed by late December.

Strong IT Governance Allowed us to Rapidly Implement Program Changes After Launch

- Different income eligibility threshold for one county in the state, and income thresholds were increased mid-Program.
- Legal language had to be changed mid-Program (after hundreds of applications already accepted) requiring applicants to re-certify. We accomplished this electronically, greatly speeding up this process.
- Revision of process to collect information from co-borrowers.
- Program expanded to increase number of missed payments that it will cover.
- Program expanded to include mobile home owners in mobile home parks.
- Revised program to cover missed property taxes if not escrowed.
- Expanded eligibility by lowering the required number of missed payments.
- Structuring program this way allowed us to quickly reach out to applicants who had previously been denied and were now eligible to re-apply due to changes in the program guidelines.

What Did We Learn?

- A culture of IT governance allowed us to develop and launch the program in a very compressed timeframe.
- IT involvement throughout allowed us to quickly implement changes to the program without delay.
- We were able to develop, test, launch, and administer this program with all staff working remotely.
- Doing this program this way allowed us to have rapid access to program data and demographics, facilitating quick responses to marketing and reporting to State government.
- Communication, communication, communication!!!

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