

Discussion Paper – Review of ICT Governance

Background – the External Review of IT

The 2007 Rebecchi review of IT at UNE delivered in April 2007 made a number of key observations, quoted at length below:

The most important general observations of the review are:

- *ICT will not be capable of enabling the institution unless UNE addresses significant historical issues in the area of university standards, the governance of ICT, knowledge and information management, silo management mentalities and funding distributions.*
- *There is an absence of governance and enforceable standards at UNE and furthermore a decision on the part of the University to devolve responsibility for particular activities is often seen as an authority to operate independently of institution wide policies, processes and practices. The observation of one staff member, widely supported by the people interviewed was that at UNE compliance with a university wide directive is of perceived as a choice.*
- *The relatively small size of the institution together with its high ratio of devolved to central IT support staff has the effect of giving UNE one of most devolved IT support models in the sector.*

UNE needs to be aware that devolvement without strong governance, enforceable standards and a commitment to University wide, rather than silo based processes significantly affects an organisation's ability to harness ICT in support of its strategic objectives and as a consequence ICT will be a cost to the organisation rather than being an enabler of the organisation. In fact a key conclusion of the review is that currently ICT at UNE is more an organisational cost than a strategic enabler.

While the review makes observations and recommendations in relation to conventional risk considerations such as data security and business continuity by far the most significant risk to UNE relates to the need to address these historical and less conventional issues.

(Source: External Review of IT 2007 – “ICT Services and Support at UNE”)

These key observations, and subsequent recommendations, have greatly informed the development of the IT Sub-Plan called for by the UNE Strategic Plan 2007-2010.

This paper articulates the agreed recommendations of the Rebecchi Review and draft IT Sub Plan as approved by the External Review and IT Sub Plan Steering Committee. It contains a series of recommendations for the consideration of the ICT Committee for a substantial review of the governance of ICT at UNE.

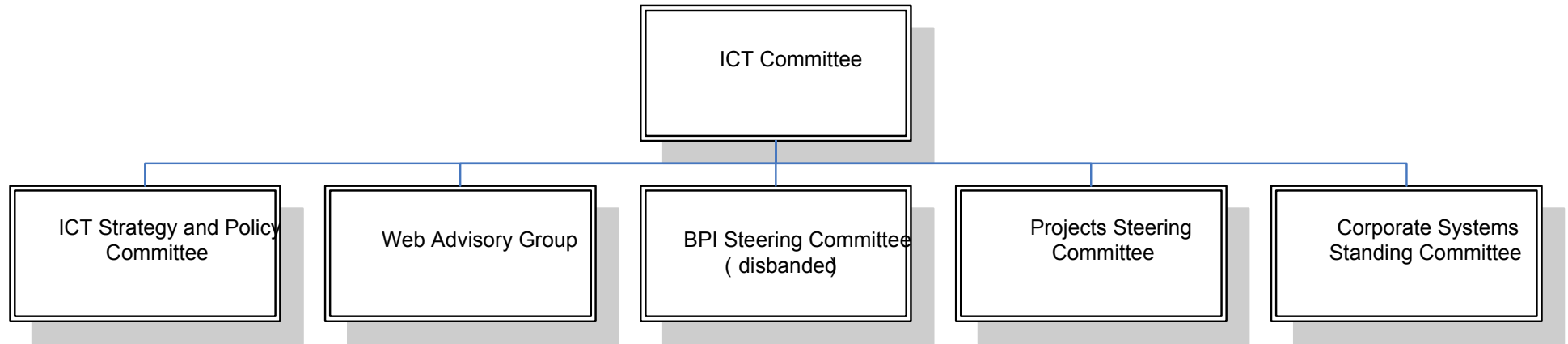
Issues with current Governance of IT

The Rebecchi review made a range of observations related to governance of ICT at UNE. Stakeholder discussions conducted during the course of the preparation of the IT Sub Plan and subsequent implementation plan have reinforced and augmented these observations, as has the experience of a range of stakeholders involved in ICT governing committees. The primary issues identified are as follows:

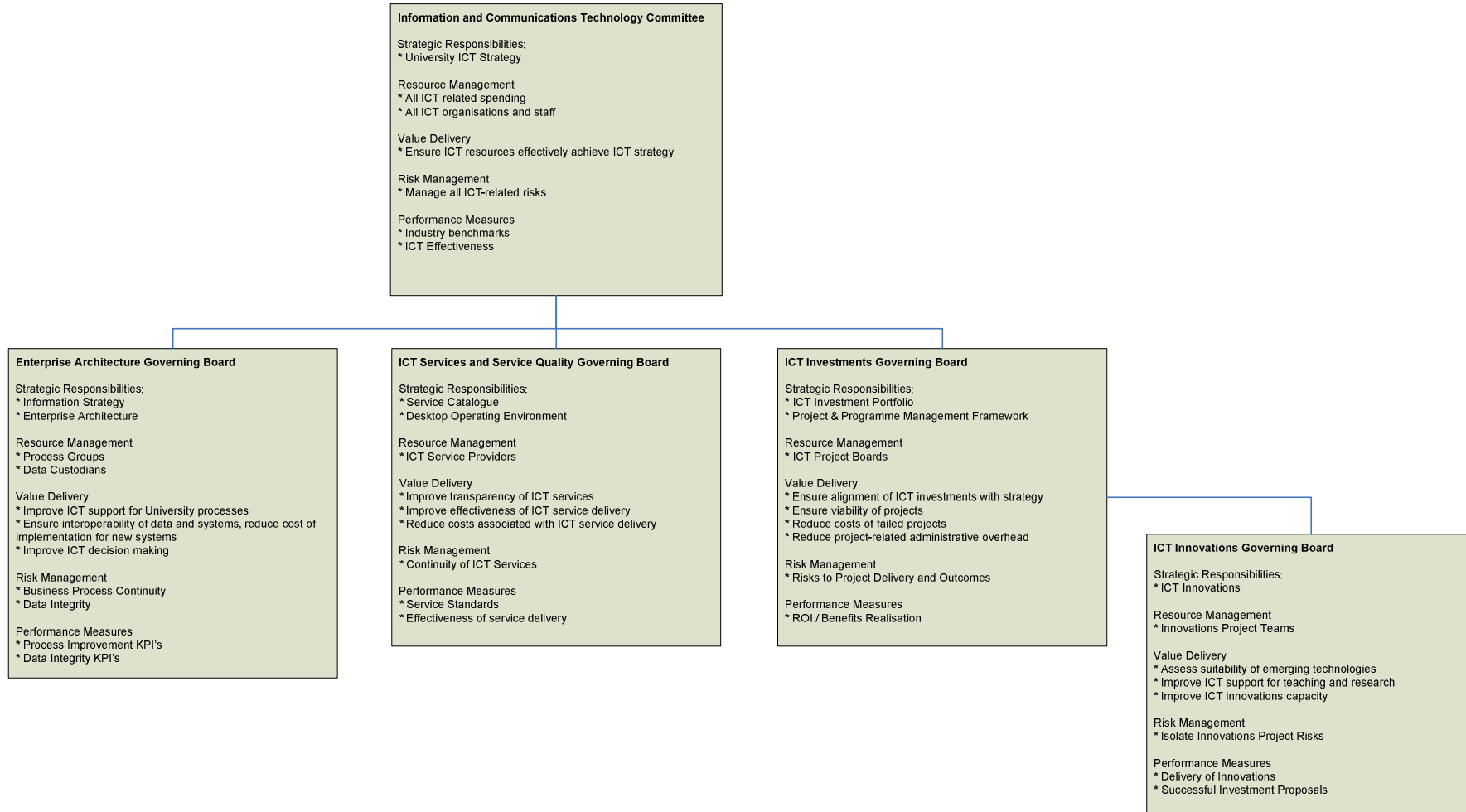
- Governance is focussed on ITD, not a whole of UNE perspective (only about 60% of IT spend is ITD budget)
- There is a lack of clarity around decision making authority and responsibilities
- Governance committees are reliant on very busy senior executive, meetings are infrequent
- Often governance is focussed on operational rather than strategic issues
- IT resource allocation is skewed toward supporting administrative systems and processes, not the core business of teaching and research
- Governing committees typically do not have an ‘operational arm’ to provide detailed decision support information, implement and monitor decisions and this limits their effectiveness
- Governance and management of IT is organised around individual system and business unit “silos” rather than end to end processes
- There is no mechanism to define appropriate IT services and service levels, to define what services are centrally funded vs. subject to cost recovery, or to delegate authority for service provision and monitor performance against delegations
- There is a perception that business cases for IT spending are personality based with lack of rigour and consistency in decision making. Decision making around IT projects is not coordinated, projects are not subject to consistent and regular scrutiny and post-completion reviews are infrequent
- There is no formal support for innovations in IT, and no mechanisms to move from an innovations project to a core, supported system

Furthermore the academic reorganisation and changes to executive positions and portfolios have rendered the membership of ICT governing committees obsolete.

Overview of Current ICT Governance Structure



Overview of Proposed ICT Governance Structure



Rationale

The functions of the proposed governing boards directly address the observed shortcomings of governance of ICT as outlined above. Each governing board is supported by an operational member of staff (in some cases these positions have not yet been established). The terms of reference have been designed to ensure that the governing boards delegate and monitor responsibility and accountability for various ICT related decision making rather than being involved directly in operational decision making. They focus on development of policy, strategy and standards and monitoring adherence. The governing boards take a whole of University view, rather than focussing on the activities of the ITD.

The ***ICT Committee*** is the peak ICT committee. It defines ICT strategy and ensure strategic alignment, and acts as a conduit between ICT governance and University governance and executive management. The ICT committee assumes and delegates decision making authority in ICT related matters and arbitrates where uncertainty or disagreement exists over authority. It monitors the performance of subordinate ICT governing boards. The ICT Committee oversees the University's ICT-related risk exposure. It is supported operationally by the Director, IT.

The ***Enterprise Architecture (EA) Governing Board*** establishes a process portfolio, established process groups (or identifies existing process groups), and ensures that appropriate responsibilities and accountabilities are established for the effective conduct of these processes. The EA Governing Board oversees the establishment of a University Information Management Strategy, and ensures appropriate data quality. It approves standards and recommends policies related to user interface, data interchange and system integration and monitors adherence. The EA Governing Board monitors risks associated with IT support for University processes and data integrity and security. The EA Governing Board is supported by the Enterprise Architect (ITD).

The Services ***and Service Quality (SSQ) Governing Board*** establishes a University ICT Service Catalogue, incorporating core (centrally funded) and non-core (cost recovery or commercial) services and service levels. It delegates authority for service provision and monitors the effectiveness of these delegations. The SSQ Governing Board approves standards and recommends policies related to the provision of ICT services and the supported operating environment. It monitors risk associated with ICT services. The SSQ Governing Board is supported by the Manager, Support Services (ITD).

The ***Investments Governing Board*** monitors the University's IT related investment project portfolio. It reviews business cases for proposed ICT investments and regularly monitors the ongoing validity of the business case. It recommends policies and approves standards relating to the initiation, management, governance and post-completion review of investment projects and monitors adherence to these standards. The Investment Governing board reviews and approves proposals for new investment projects to ensure a valid business case exists and where necessary prioritises investments according to strategic priorities. The Investments Governing Board monitors delivery and outcome risks related to the University's ICT investment

portfolio. It reviews requests for funding of innovations in ICT on an annual basis in consultation with the ICT Innovations Governing Board. The Investments Governing Board is supported by the Project Office (ITD).

The ***Innovations Governing Board*** provides grants to appropriate innovations projects for small scale trials and/or pilot projects of innovative ICT especially for teaching and research. It monitors the success of these pilot projects and makes recommendations where appropriate to the Investments Governing Board for the initiation of new investment projects or to the SSQ Governing Board for the incorporation of new ICT services. The Innovations Governing Board is supported by the Project Office (ITD).

Recommendations

It is recommended that the ICT Committee review its terms of reference, and in particular its membership, to ensure alignment with the current organisational structure.

It is recommended that the ICT Committee formally disband the following ICT Governance Committees:

- ICT Strategy & Policy Committee
- Projects Steering Committee
- Corporate Systems Standing Committee

It is recommended that the ICT Committee establish the following ICT Governing Boards as per the attached terms of reference:

- Enterprise Architecture Governing Board
- ICT Services and Service Quality Governing Board
- ICT Investments Governing Board
- ICT Innovations Governing Board

It is recommended that the ICT Committee consider offering a standing invitation to the chairpersons of the above four committees to attend ICT committee meetings.

Attention is drawn to separate recommendations regarding the Web Advisory Group.

Information and communication Technology Committee

Terms of Reference

Advisory

- (i) To develop, monitor and review policies, procedures, guidelines and strategies with respect to all issues concerning information and communication technology and support at the University and make recommendations about these to the Vice-Chancellor as appropriate;
- (ii) To provide advice to the Vice-Chancellor and the Executive regarding budget and policy implications for new information and communication technology developments, infrastructure and major acquisitions;
- (iii) To consider and report on any matter referred to the Committee by the Vice-Chancellor; and
- (iv) To ensure that recommendations and/or decisions of the Committee embody appropriate attention to quality assurance and are consistent with the UNE Strategic Plan and other relevant UNE Plans.

Reports to

Vice-Chancellor.

Chaired by

Executive Director (Business and Administration).

Membership

- (i) Pro Vice-Chancellor (Teaching and Learning);
- (ii) Pro Vice-Chancellor (Research and Development);
- (iii) Executive Deans;
- (iv) Chair of Academic Board (or nominee);
- (v) Director, Information Technology; and
- (vi) University Librarian.

Co-option

The Committee can co-opt where needed to achieve or maintain a gender balance, where membership does not include at least two women and two men. The Committee can invite individuals to provide additional appropriate expertise as necessary.

Frequency of Meetings

The Committee meets four times per year.

Self-Review

Once in every 12-month period, the Committee shall devote at least part of one meeting to a review of its policies, practices and procedures over the preceding 12 months.

Support

The Information Technology Directorate will provide support.

Innovations Governing Board

Terms of Reference

- i. Foster and support innovations in ICT within the University; oversee the University's ICT innovations budget and the portfolio of ICT innovations projects
- ii. Establish and manage a framework for the allocation of grants to ICT innovations projects to implement, pilot or trial innovative ICT technologies and practices in alignment with University strategic priorities and in anticipation of evolving strategic directions
- iii. Monitor the activities of ICT innovations projects, assessing their progress and provide guidance to project teams
- iv. Monitor the University's portfolio of ICT innovations projects; assess the success or viability of the project deliverables; make recommendations to the ICT Investments Governing Board where appropriate for the review and initiation of projects to implement innovations in ICT
- v. Make recommendations on an annual basis to the ICT Investments Governing Board for an appropriate ICT innovations budget

Reports to

ICT Investments Governing Board

Chaired by

The Chair will rotate annually by election of the members

Membership

Two active teaching staff (one nominee of the PVC/Dean from each Faculty)

Two active researchers (one nominee of the PVC/Dean from each Faculty)

Principal Information Technology Officer

Director, Teaching and Learning Centre

Director, Research Services

Co-option

The Committee can invite individuals to provide additional appropriate expertise as necessary.

Frequency of meetings

The Committee meets four times per year

Self-review

Once in every twelve month period, the Committee shall devote at least part of one meeting to a review of its policies, practices and procedures over the preceding 12 months.

Support

The ITD Project Office will provide support

ICT Investments Governing Board

Terms of Reference

- i. Ensure that ICT investments are aligned with University strategic priorities and are coordinated to eliminate duplication; define and monitor policies and authorise standards and guidelines relating to the initiation, management and post-implementation evaluation of ICT-related projects
- ii. Review project initiation requests, ensuring a valid business case exists; commission the initiation of projects in areas of strategic importance; commission reviews and feasibility studies where appropriate to establish viability or preferred approaches to investment; make recommendations regarding ICT infrastructure investments
- iii. Monitor and support ICT-related project boards and project teams in the implementation of ICT investment projects; ensure that project risks are appropriately managed and that arrangements are in place for post-implementation support; monitor benefits arising from ICT investments
- iv. Identify interdependence, duplication or synergy of activities and deliverables within the University's ICT project portfolio; establish a programme management framework where appropriate
- v. Assess recommendations from the Innovations Governing Board for the initiation of projects to implement innovations in ICT; review annual recommendations for investment in ICT innovations and make recommendations for allocation of funding for innovations projects

Reports to

Information and Communications Technology Committee

Chaired by

Director, Financial Services

Membership

Director, Information Technology
A Pro Vice-Chancellor and Dean
A Head of School
Chair of the Innovations Governing Board
PVC (Academic) or nominee
PVC (Research) or nominee
Chief Development Officer or nominee
Manager, Risk & Audit

Co-option

The Committee can invite individuals to provide additional appropriate expertise as necessary.

Frequency of meetings

The Committee meets four times per year

Self-review

Once in every twelve month period, the Committee shall devote at least part of one meeting to a review of its policies, practices and procedures over the preceding 12 months.

Support

The Projects Coordinator will provide support

ICT Services and Service Quality Governing Board

Terms of Reference

- i. Ensure that University stakeholders receive an appropriate level of ICT services aligned with University strategy; ensure the delivery of these services is efficient and cost-effective
- ii. Define and develop the University's ICT Service Catalogue; distinguish between core services (funded centrally) and non-core services (cost recovery or commercial); define appropriate quality and service levels
- iii. Approve delegations and accountability for the provision of ICT services; monitor the performance of service providers against agreed quality and service levels
- iv. Regularly review a schedule of fees for cost recovery and commercial services
- v. Govern procurement of outsourced ICT services, making recommendations where necessary to appropriate decision-makers
- vi. Recommend initiatives to improve the effectiveness of ICT service delivery
- vii. Develop and monitor policies, guidelines, procedures, standards and strategies relating to the definition and delivery of ICT services
- viii. Develop and monitor policies, guidelines, procedures, standards and strategies relating to University desktop environments with the goal of reducing diversity and complexity and improving effectiveness of support and training

Reports to

Information and Communications Technology Committee

Chaired by

Director, Information Technology

Membership

A Head of School
A Head of Residence
A Student Representative
Director, HRS
Director, Student Administration and Services
Director, Research Services
Director, Teaching & Learning Centre
University Librarian

Co-option

The Committee can invite individuals to provide additional appropriate expertise as necessary.

Frequency of meetings

The Committee meets four times per year

Self-review

Once in every twelve month period, the Committee shall devote at least part of one meeting to a review of its policies, practices and procedures over the preceding 12 months.

Support

The Manager, Support Services will provide support

Enterprise Architecture Governing Board

Terms of Reference

- i. Develop, monitor and review policies, procedures, guidelines and strategies with respect to the University's current and planned Enterprise Architecture
- ii. Establish and monitor the activities of process groups representing key stakeholders in the use of ICT in executing University processes; delegate appropriate authority and accountability to process group leaders, monitor performance indicators related to the effectiveness of ICT in supporting University processes, and ensure alignment of the activities of process groups with University strategic and operational priorities
- iii. Define and monitor the implementation of an information management strategy to ensure the quality, integrity and security of the University's critical data; ensure that a single, authoritative source exists for all critical institutional data, and that appropriate standards are in place for the interaction of University systems with a master data collection; delegate authority and accountability for management of critical University data, and monitor performance indicators relating to its effective management
- iv. Monitor the effectiveness of ICT in supporting University processes and customer needs, recommend initiatives and investments as appropriate to improve effectiveness

Reports to

Information and Communications Technology Committee

Chaired by

Pro Vice-Chancellor (Academic)

Membership

Director, Information Technology
Manager, Applications Management
Chair/Manager of Process Groups

Co-option

The Committee can invite individuals to provide additional appropriate expertise as necessary.

Frequency of meetings

The Committee meets four times per year

Self-review

Once in every twelve month period, the Committee shall devote at least part of one meeting to a review of its policies, practices and procedures over the preceding 12 months.

Support

The Enterprise Architect will provide support