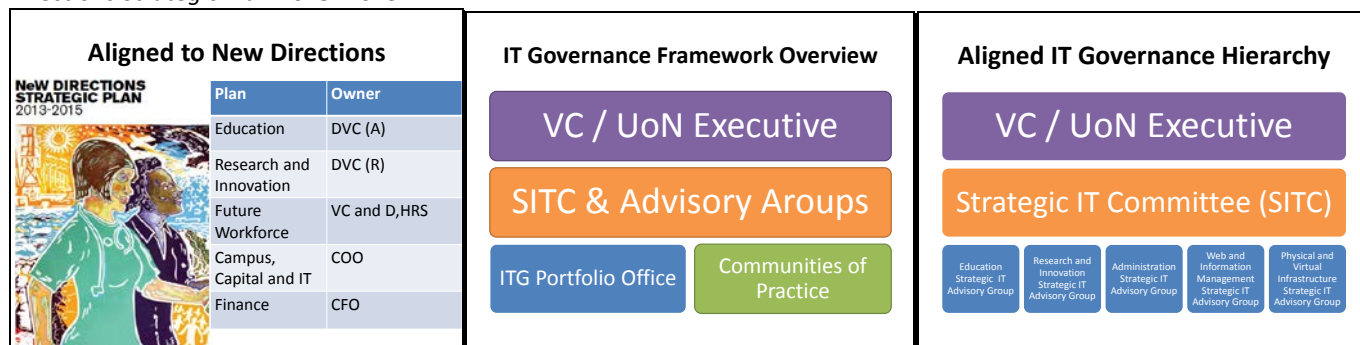


IT Governance Framework Summary

Purpose

This summary provides an overview of the IT Governance Framework the UoN has adopted that is aligned with the *UoN NeW Directions Strategic Plan 2013- 2015*.



To be effective an IT Governance Framework needs to be lightweight, with minimal and clearly justifiable processes, developmentally centred on supporting IT governance people to be effective in their roles, and evolving to support the IT governance decision-making needs of the organisation.

Background

In August 2012 the Vice Chancellor requested an external review of the 2013 IT Program of Work (PoW) be undertaken to determine how best to strategically invest in IT to ensure alignment with the UoN *NeW Directions Strategic Plan 2013-2015*. A further review was undertaken relating to IT project governance resulting in the development of a framework model presented to the Executive Committee 4 February, 2013.

Overview

A key feature of the model is the introduction of a developmental framework that requires strong executive participation and leadership. The framework sets out clear responsibilities for project ownership and includes the establishment of an IT Governance Portfolio Office to oversee project governance.

Key Roles and Responsibilities

ROLE	KEY RESPONSIBILITY
Strategic IT Committee (SITC)	To advise the Vice-Chancellor through the Executive Committee on IT policy, strategy, prioritisation and execution, and governance matters.
Strategic IT Advisory Groups (SAGs)	To facilitate the alignment of IT strategies with University's plans including the University's <i>NeW Directions Strategic Plan 2013-2015</i> .
IT Governance (ITG) Portfolio Office	To provide support, coherence and shepherding to enable IT governance stakeholders to improve their IT governance practices.
Project Business Leaders (PBLs)	Responsible for the projects within their business areas, as assigned.
IT Services	To enable IT project integration into the UoN IT environment
Project Management Office	To provide leadership and guidance for IT project managers and IT program of works.
Communities of Practice (CoP)	To consult, develop and contribute ideas to the Strategic IT Advisory Committees, representing the voice of the University communities.

Strategic IT Advisory Groups' Purpose

- Education Advisory Group
- Research and Innovation Advisory Group
- Administration Advisory Group
- Physical and Virtual Infrastructure Advisory Group
- Web and Information Management Advisory Group

Web and Information Management advisory group encompass holistically work being done around the information life cycle: Strategic Performance management, Web Content Management System (CMS), Library scholarly information, digital records and so on.

Physical and Virtual Infrastructure advisory group will take a life cycle approach to managing infrastructure assets supporting services. Building the framework to achieve effective infrastructure planning and maintenance is a large piece of IT Governance decision making work.

Where there is no clear or obvious alignment of project or initiative and appropriate Advisory Group, the matter will be determined by the SITC. Typically, matters being delegated by the SITC should go to the advisory group that most obviously owns them and would act on them. If a matter is related more strongly to one of the three domains (Education, Research & Innovation or Administration) then SITC should provide business leadership. The Web and Information Management and Physical and Virtual Infrastructure groups act as platforms for matters that span all three domains.

The UoN Strategic Plan *New Directions 2013 - 2015* identifies a number of strategic junctions between constituent plans, e.g. UoN Career Advantage initiative in both Research and Workforce plans. These junction strategies may require special bridging treatment between groups e.g. jointly appointing a project officer who is included in both advisory groups.

The inclusion of adequate IT expertise is necessary and relevant IT skill sets have been included on all advisory groups. These IT staff will be responsible as brokers for getting the IT skills and resources needed by the group they support, not necessarily for providing all of these skills personally. They will also provide advice to the SITC and IT Advisory Group Secretaries on technical terms and processes.

Project Proposals

A simplified form of project approval is in development by the IT Governance Portfolio Office (based on the current UoN project framework) and will be made available for comment via IT Advisory Groups. This framework will include three aspects:

1. Mini projects = projects < \$100k (from IT Advisory Group funds and managed by Project Business Leaders with oversight by the relevant Advisory Group).
2. Minor projects = > \$100K but < than \$1M, oversight of these projects will be delegated to IT advisory groups by the SITC. Wherever possible Project Business Leaders should be included as a member on the advisory group.
3. Major projects = > \$1M (SITC control and responsibility). Projects larger than \$1m are considered major and strategic, and requiring ongoing SITC attention. Special reporting will be required, e.g. these projects will require their own dedicated project governance, in the form of a Project Steering Committee chaired by the Project Business Leader. The SITC may delegate certain oversight responsibilities for large projects to a relevant advisory group or the CIO.

Projects that span more than one advisory group will require collaboration between the Chairs of both advisory groups and possibly the CIO.

Risk and complexity are other factors for consideration. A Mini or Minor project may well deserve greater attention if very complex and risky. Conversely, an expensive project that is a straightforward asset replacement may deserve less attention. Advisory groups should take the lead in establishing proportionate project governance for their projects, in consultation with the SITC for large projects.

The SITC has overall responsibility for IT PoW budget allocation.

Reporting

SITC reports through its Chair to the Vice-Chancellor and UoN Senior Executive. To ensure the governance framework receives the appropriate level of senior leadership, the Vice-Chancellor will initially Chair the SITC. SITC meetings will be scheduled 4-8 times a year, and 1-2 times per quarter.

Advisory Groups are required to meet at least 1-3 weeks before a scheduled SITC meeting. The Advisory Group Chairs are required to provide a written report to the following SITC. Reports are submitted via the IT Governance Portfolio Office. Supplementary verbal reports may be provided at the SITC meeting.

Advisory Group reports should be 1-2 pages in length, summarizing progress in terms of actions taken, and issues with the group's program: its planning, projects and services and insights that are driving it. Aggregate project (traffic light) reports will be available separately to the SITC and its advisory groups via the IT Governance Portfolio Office, based on projects registered in the portfolio office. A schedule is pending.

IT Governance Portfolio Office supports Project Business Leaders to ensure the accuracy and timeliness of all reporting including that of their project managers. Not all project managers will be attached to IT Services – some will be located in the business area - however consistency of reporting by all project managers is required, including the future use of the Enterprise Project Management System (EMPS).

Quarterly reporting the SITC is the recommended minimum for all projects, with additional reporting as required, e.g. for projects in the red, and Major projects. Minor and Major projects will need to report fortnightly to the IT Project Management Office in IT Services given their size and cost. Major projects will usually have their own custom reporting. This will be determined as the process is developed but will usually involve the establishment of a project steering committee.

Project reports should provide their reporting history, i.e. previous dated reports in time series and in this way show their history and progress. The colour coded pattern reveals how the project has been progressed.

Roles and Responsibilities Summary

IT Governance Portfolio Office	Strategic IT Committee	IT Advisory Group / Chairs	Project Business Leaders	IT Services & IT Project Management Office
Key enabler providing the support, coherence and shepherding to enable IT governance stakeholders to improve their IT governance practices.	Reports through its Chair to the Vice-Chancellor and UoN Senior Executive.	Ex- officio members of the SITC	Responsible for the projects within their business areas, as assigned.	Provide Project Business Leaders with Project Management support via Project Managers.
Supports and ensures the quality of the communication and reporting by inducting key IT governance staff, managing standards and consistency, and by ensuring communication of all with valid interest.	Responsible for advising on IT strategy and its execution.	Accountable Chairs and their nominated deputies lead advisory groups, and include Project Business Leaders as per the IT PoW and additional projects.	Responsible for interacting with IT governance and providing documents and reports to the IT Governance Portfolio Office for the information of IT governance groups and the wider university community.	Responsible for the enterprise project management framework and project management information.
Provide aggregate project reports to the SITC and its advisory groups based on projects registered in the portfolio office.	Responsible for Major projects = > \$1M	Provide written reports on advisory group activities to each SITC, via the IT Governance Portfolio Office. Supplementary verbal reports are to be provided at the SITC meeting.	Responsible for fortnightly project status reporting to the Project Management Office (PMO)	Provide specialised IT advice on projects.
Ensure collaboration with and receive assistance from specialised areas e.g. Finance will help ensure high quality financial reporting, Governance will help with establishing university governance.	Provide leadership for IT Policy development	Responsible for Mini projects = projects < \$100k (from advisory group funds and managed by Project Business Leaders) within allocated budget.	Chair Steering Committee for Major Projects.	Provide technical advice and support to advisory groups.
Provide consistent lightweight ITG framework and support – focus for ITG coherence, quality - enables widespread understanding and participation.		Responsibility for Minor projects = > \$100K but < \$1M, reportable to SITC.		Ensure project integration into IT environment

IT Governance Portfolio Office	Strategic IT Committee	IT Advisory Group / Chairs	Project Business Leaders	IT Services & IT Project Management Office
Support streamlined project approval processes – ensures process burden proportionate to project complexity and risk.		Responsible for gathering and considering service feedback as part of their work, in order to drive immediate service improvements, steer projects for greater benefit and ensure client voice in planning and prioritization.		Management the EPMS.
Provide basic project proposal and other compliance – pre-checks project documentation reducing wasted time in formal governance, e.g. at SITC.				
Provide aggregate traffic Light reporting – ensures projects report, take corrective action and otherwise remain visible to governance				
Development for ITG culture and expertise – by explaining ITG processes, inducting new projects and their business leaders and project steering committees				
Maintains and improves ITG standards and processes – reflecting organisational learning and maturity in evolving processes.				
Provides the IT proposal compliance checking before proposals are put to ITG groups.				

University of Newcastle thanks QUT for allowing access to historical QUT Project Management Framework documentation in development of this framework. QUT has since redeveloped its framework, releasing a new Framework in 2013.