ICT Governance Framework

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Context

Why are we doing this?

In February 2017, the Vice Chancellor communicated a new University Strategy to the organisation.

At the same time, a new pan-University ICT Strategy was being developed to define how the University's information and communications technologies will be governed, leveraged and delivered to assist the organisation achieve its strategic objectives. This new ICT Strategy was signed off by the Vice Chancellor in May 2017.

The ICT Strategy identified Governance as an essential capability that is critical to the delivery of the ICT strategic objectives. Governance was also deemed an area where maturity and leadership is required if ICT is to leverage opportunities that will enable it to deliver on the University Strategy.

The KPMG current-state analysis (undertaken in late 2016 as part of the ICT Strategy development) also identified Governance as an area where immediate focus is needed to ensure it is fit for purpose going forward.

> "**Leadership and Governance.** It is apparent that the University is not currently well supported by its ICT. There is an opportunity to establish principle-driven leadership of ICT, supported by a more effective Governance framework, to drive the change to a more functional operating-model for ICT. This would support a longer-term transition from ITS (as an overhead service-provider), to a service-aggregation model that enables the University to better exploit current industry trends, and partnership delivery models." [KPMG report, January 2017]

What is governance?

Governance is described as:

> "IT governance is defined as the processes that ensure the effective and efficient use of IT in enabling an organization to achieve its goals." [Gartner www.gartner.com]

> "…thinking about strategic issues, rather than the operational day-to-day running of the business." [Institute of Directors www.iod.org.nz]

Effective ICT governance will help:

- Define how ICT enables the University achieve its strategic goals
- Improve ICT performance through leveraging opportunities and innovation
- Take an all-of-University view of ICT at a level that is elevated from operational activities
- Ensure there is accountability and oversight of ICT operations and the programmes they support
- Manage ICT risks and minimise the impact to service delivery
- Find the right balance between making short-term gains and building long-term solutions.

This document outlines the ICT Governance Framework that is will enable ICT to deliver on its strategic objectives.

ICT Governance Framework

The ICT Governance Framework has a tiered approach that ensures the governance oversight is appropriate to the activity.

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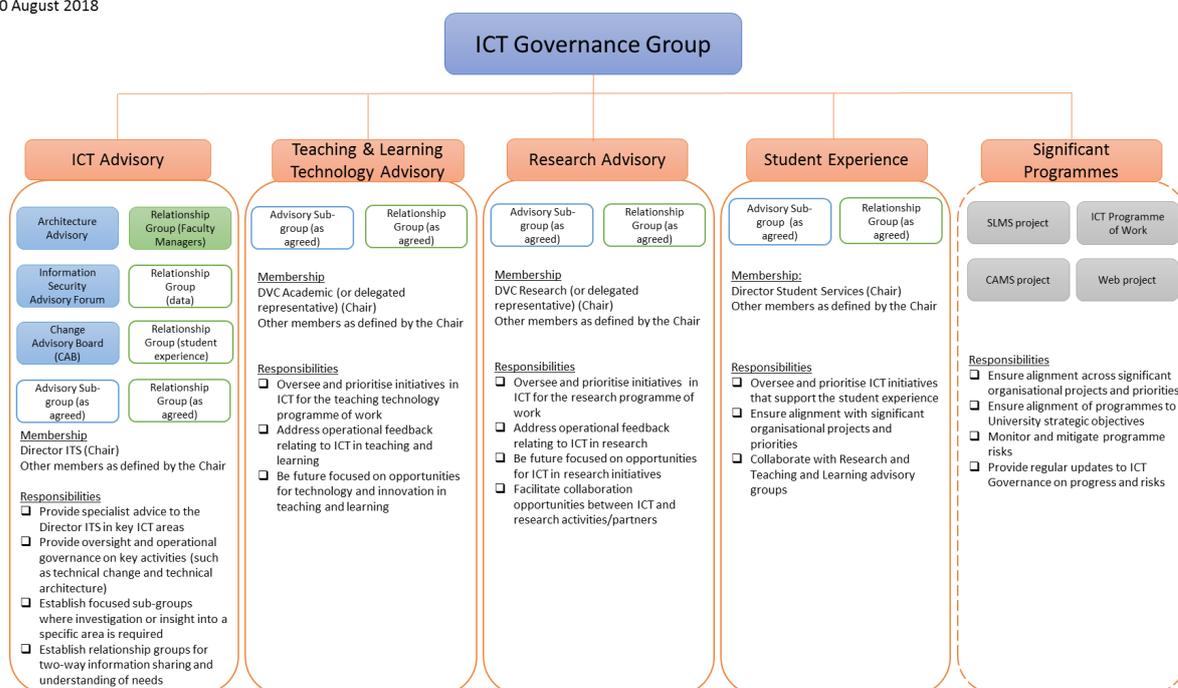
A larger view of this framework is available in Appendix 1.

ICT Governance

ICT Governance is the responsibility of the ICT Governance Group (ICTGG) who have the collective authority for engaging in strategic dialogue for the prioritisation, oversight and risk monitoring of ICT investment, initiatives and programmes for the University.

The ICT Governance Group is made up of a cross-section of senior managers representing key areas of the University (business operations, teaching and learning, and research), and has a defined Terms of Reference outlining its responsibilities and authority. The ICT Governance Group is an advisory committee to the Vice Chancellor and Director ITS.

There are five strategically focused groups that support the ICT Governance Group and these groups are authorised to provide advice, recommendation and/or decisions (within their delegated decision-making authority) on investment, prioritisation and risk assessment on ICT activities in their domain that support the University in achieving its strategic goals.

Each group is led by a senior University manager (each is a member of the ICT Governance Group) who reports periodically to ICT Governance Group for executive oversight of their activities (refer Reporting to ICT Governance Group).

These groups are:

1. *ICT Advisory*

   ICT Advisory is a collection of specialist sub-groups established to provide specific advice, support and information sharing in relation to the management of ICT for the University.

   These sub-groups fall under the jurisdiction of the Director ITS, who has the overarching responsibility for ICT Advisory. The Director ITS can sanction the establishment of the specialist working groups, authorise direct action (within delegated decision-making authority), and provide appropriate updates or escalations to the ICT Governance Group.

   These sub-groups focus on ensuring 'operational ICT' activities are well managed and supported to minimise the risk exposure for the organisation. These sub-groups also connect with key organisational programmes to ensure alignment and consistency across project and operational ICT activities.

   Advisory sub-groups are established where there is a direct requirement for an advisory body to provide specialised knowledge in particular area of responsibility. The advisory sub-groups may be required for a finite period, specific need or on an on-going basis – this is at the discretion of the Director ITS.

   There are three standing advisory sub-groups with a specific mandate:

   - **Architecture Advisory**
     - This sub-group provides oversight and advice to ensure the architectural alignment of technology elements to the Enterprise Architecture Framework
   - **Information Security Forum**
     - A specialist sub-group that provides technical advice and oversight of IT security issues and innovation
   - **Change Advisory Board (CAB)**
     - This cross-University sub-group is responsible for managing and coordinating ICT changes in a way that maximises business benefits and minimises the impact to stakeholder groups.

   Relationship sub-groups bring together key stakeholders who have a direct interest in or are directly impacted by the support or management of ICT. The relationship sub-groups focus on ensuring there is open two-way engagement and communication between the business and ICT teams to keep each other up to date and informed of activities or issues.

   There is one standing relationship group with a specific mandate:

   - **Faculty Managers Working Group**
     - This group shares information on key ICT initiatives that affect the wider business, and contributes the 'business view' to assist with decision-making.

Other relationship sub-groups are established where there is a direct relationship between the services provided by ITS and the group that needs to be fostered to ensure positive outcomes for stakeholders. These sub-groups are established at the discretion of the Director ITS.

A senior ICT manager will be appointed to lead each advisory or relationship sub-group under the guidance of the Director ITS, and an appropriate Terms of Reference defined for each sub-group to provide context for their purpose and their delegated decision-making authority.

2. *Teaching & Learning Technology Advisory*
   This advisory group ensures ICT assists excellence in teaching by supporting the delivery of innovative and quality programmes that meet the needs of a diverse student community.

   The group focuses on how to leverage ICT to better support teaching and learning initiatives, to build awareness of emerging technologies and innovation that enhance the learning experience for student communities, and ensure initiatives align with the strategic objectives in teaching excellence. This group oversee and prioritise initiatives in ICT for the teaching technologies work stream of the ICT programme of work, and address any operational feedback relating to ICT in this area.

   The Teaching & Learning Technology Advisory is the responsibility of the DVC Academic (or their delegated representative) who defines the membership based on the needs of the programme.

   From time to time, additional advisory sub-groups may be established for a specific need or for a finite period. This is at the discretion of the DVC Academic (or their delegated representative).

   A Terms of Reference for the Teaching & Learning Technology Advisory provides context for their purpose.

   Note: A Teaching & Learning Technology group already exists and their remit will be developed further under this governance framework.

3. *Research Advisory*
   This advisory group ensures ICT assists research excellence through partnership, innovation and quality service delivery. This group oversee and prioritise initiatives in ICT for the research work stream of the ICT programme of work, and address any operational feedback relating to ICT in this area.

   The Research Advisory is the responsibility of DVC Research (or their delegated representative) who defines the membership based on the needs of the programme.

   From time to time, additional advisory sub-groups may be established for a specific need or for a finite period. This is at the discretion of the DVC Research (or their delegated representative).

   A Terms of Reference for the Research Advisory provides context for their purpose.

4. ***Student Experience***

   This group oversees ICT initiatives that support the student experience and ensures alignment with organisational priorities. This group may also establish advisory or relationship sub-groups with key staff or student communities for specific investigations or initiatives.

   The group is established based on need, which is determined by the Director Student Services who is responsible for this group.

5. ***Significant Programmes***

   In addition to the four advisory groups, governance exists across all projects and programmes, and takes various forms depending on the size and scale of the activity - some are business led (e.g. SLMS, CAMs), and others are ICT led (e.g. infrastructure projects, corporate application upgrades).

   For the ICT Governance Group to be successful, it must ensure a high-level overview of significant organisational projects/programmes is shared with ICT Governance Group on a regular basis. This will provide consistent information sharing across activities, ensure alignment to achieve strategic objectives, assist with prioritisation of resources and investment decisions, and reduce the potential of decisions being made in isolation of other considerations or activities.

Reporting to ICT Governance Group

The Director ITS will report to ICT Governance Group on a quarterly basis, or as required, to share information pertinent to the ICT Advisory group and the ICT programme of work.

Updates from the Teaching & Learning Technology Advisory will be shared by the DVC Academic (or their delegated representative) on a regular basis.

Updates from the Research Advisory will be shared by the DVC Research (or their delegated representative) on a regular basis.

The Director Student Services will share updates on key Student Experience initiatives on a regular basis.

The appropriate programme sponsor will update the ICT Governance Group on the activities of the significant programmes on a regular basis.

Appendix 1 – ICT Governance Framework

ICT Governance Framework
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ICT Governance Group

ICT Advisory

- Architecture Advisory
- Relationship Group (Faculty Managers)
- Information Security Advisory Forum
- Relationship Group (data)
- Change Advisory Board (CAB)
- Relationship Group (student experience)
- Advisory Sub-group (as agreed)
- Relationship Group (as agreed)

Membership
Director ITS (Chair)
Other members as defined by the Chair

Responsibilities
- ❑ Provide specialist advice to the Director ITS in key ICT areas
- ❑ Provide oversight and operational governance on key activities (such as technical change and technical architecture)
- ❑ Establish focused sub-groups where investigation or insight into a specific area is required
- ❑ Establish relationship groups for two-way information sharing and understanding of needs

Teaching & Learning Technology Advisory

- Advisory Sub-group (as agreed)
- Relationship Group (as agreed)

Membership
DVC Academic (or delegated representative) (Chair)
Other members as defined by the Chair

Responsibilities
- ❑ Oversee and prioritise initiatives in ICT for the teaching technology programme of work
- ❑ Address operational feedback relating to ICT in teaching and learning
- ❑ Be future focused on opportunities for technology and innovation in teaching and learning

Research Advisory

- Advisory Sub-group (as agreed)
- Relationship Group (as agreed)

Membership
DVC Research (or delegated representative) (Chair)
Other members as defined by the Chair

Responsibilities
- ❑ Oversee and prioritise initiatives in ICT for the research programme of work
- ❑ Address operational feedback relating to ICT in research
- ❑ Be future focused on opportunities for ICT in research initiatives
- ❑ Facilitate collaboration opportunities between ICT and research activities/partners

Student Experience

- Advisory Sub-group (as agreed)
- Relationship Group (as agreed)

Membership:
Director Student Services (Chair)
Other members as defined by the Chair

Responsibilities
- ❑ Oversee and prioritise ICT initiatives that support the student experience
- ❑ Ensure alignment with significant organisational projects and priorities
- ❑ Collaborate with Research and Teaching and Learning advisory groups

Significant Programmes

- SLMS project
- ICT Programme of Work
- CAMS project
- Web project

Responsibilities
- ❑ Ensure alignment across significant organisational projects and priorities
- ❑ Ensure alignment of programmes to University strategic objectives
- ❑ Monitor and mitigate programme risks
- ❑ Provide regular updates to ICT Governance on progress and risks