Information Technology Services
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THE UNIVERSITY
OF QUEENSLAND
AUSTRALIA

CREATE CHANGE

IT Governance and Management Framework

Contents

Approvers

- Chief Information Officer (CIO)
- Chief Operating Officer (COO).

Revision history

Version	Date	Author	Changes
V0.1	01/05/2017	Sasenka Abeysooriya	First draft
V0.11	10/07/2017	Paul Sheeran and Sasenka Abeysooriya	Second draft
V0.12	21/07/2017	Paul Sheeran and Sasenka Abeysooriya	Final incorporating changes from ITS SMG, UQ Librarian and Director RCC.
V1.0	28/07/2017	Paul Sheeran and Sasenka Abeysooriya	Final version endorsed by SITC (formerly SIMC).
V1.01	04/10/2017	Mark Richardson	Minor wording changes and alterations.
V1.02	16/01/2018	Mark Richardson	Minor formatting changes.
V1.03	14/02/2018	Mark Richardson	Added terms of reference for ITSM Committee.
V1.04	26/04/2018	Mark Richardson	Updated SITC terms of reference.
V1.05	03/04/2019	Paul Sheeran and Mark Richardson	Minor edits to reflect changes since last version.
V1.06	17/12/2022	Ellee McClymont	Comprehensive updates to committee terms and structures based on a full review. Endorsed by the COO.

1.   Purpose and scope

This document defines Information Technology (IT) governance and management at The University of Queensland (UQ). It describes the structures, processes and mandates that support and enable the governance and management of IT across Information Technology Services (ITS) and IT departments within faculties and institutes.

This framework aims to:

- provide a consistent approach to IT governance (across ITS and local IT) aligned with UQ's Governance and Management Framework and Strategic Plan

- establish governance structures and define a decision-making model to ensure that IT-related decisions and processes are effectively overseen, fit for purpose, and aligned to UQ's Strategic Plan

- articulate principles for IT governance

- ensure compliance with legal, contractual and policy requirements that impact the IT function

- provide a basis for the efficient and effective management of IT services aligned with the direction set by UQ's governing bodies.

This framework will support IT to effectively engage with stakeholders, manage risks, optimise resources and deliver benefits to the University.

2.   Principles

IT governance at UQ is based on a number of key principles.

- **One UQ approach**: IT governance decisions are made holistically and applied consistently, transparently, flexibly (if required) and equitably across the University.

- **Strategic alignment**: IT priorities, decisions and investments are aligned to UQ's Strategic Plan and informed by stakeholder requirements to deliver optimal benefits for the University.

- **Industry alignment**: IT will align with industry best practices, frameworks, and standards where appropriate.

- **Continuous improvement**: IT will monitor the effectiveness and performance of its governance structures and management processes to inform decision-making and ensure IT continues to deliver value to the University.

- **Prioritise sustainability:** IT governance decisions are made with consideration of fiscal and environmental sustainability to reduce waste, complexity, and overlap of services. IT will align with the UN sustainable development goals where possible.

- **Informed decision-making:** IT governance decisions are informed by UQ's risk appetite and any investment or resource considerations.

3.   IT governance and management structure

IT governance involves:

- evaluating stakeholder requirements to determine IT strategic objectives and priorities

- setting direction through prioritisation and decision-making

- monitoring performance and compliance against the agreed direction and objectives.

IT management plans, acquires/implements, runs and monitors activities in support of the direction and objectives set by IT governance.

3.1   Governance

IT governance aligns with the UQ Governance and Management Framework and UQ-wide decision-making bodies and authorities. The diagrams below identify the UQ committees that the IT function interacts with, and the links to IT governance and management bodies. These links are indicated with dotted lines.

The following relationships exist between elements of IT governance and UQ committees and governance bodies.

3.1.1   Strategy, master planning and investment
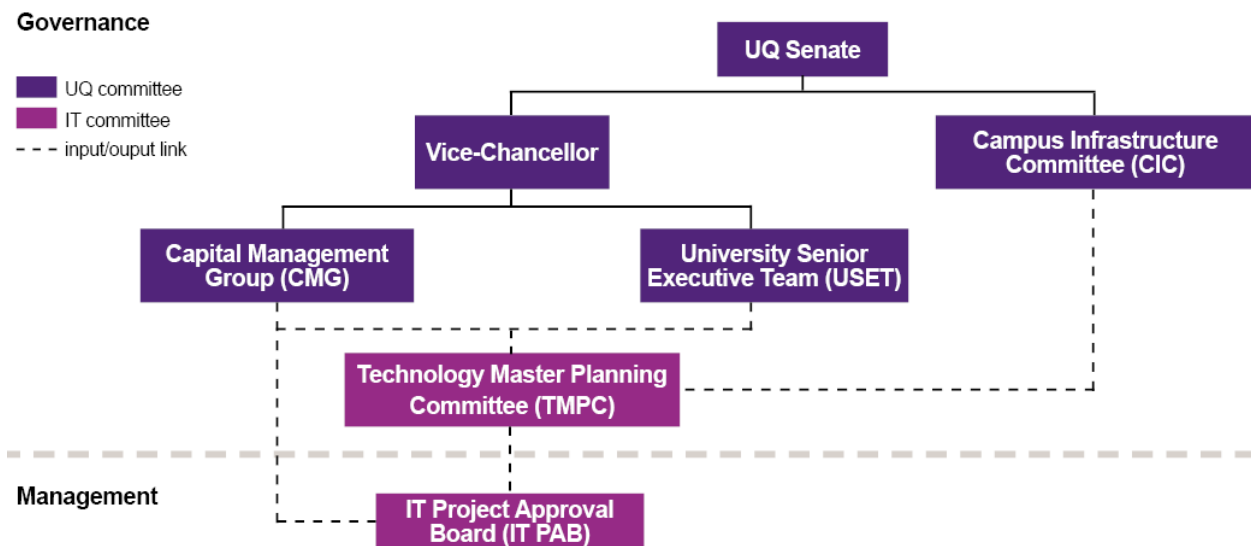
Strategy and master planning

The Technology Master Planning Committee (TMPC) endorses and oversees the development of the Technology Master Plan, which is approved by University Senior Executive Team (USET). The TMPC also approves roadmaps, monitors the execution of the Master Plan, and makes key strategic decisions relating to principles and initiatives in the plan. The Campus Infrastructure Committee (CIC) must also be informed of any new or updated IT strategies and plans.

Investment and portfolio development

Early proposals regarding IT portfolios and programs of work are reviewed by the TMPC to ensure alignment with the Technology Master Plan. IT portfolio submissions are reviewed by the IT Project Approval Board (IT PAB) before final approval is sought from the Capital Management Group (CMG). The CMG reviews all capital proposals that require Vice-Chancellor or Senate approval, using criteria based on the key requirements and principles in the University's Project Governance and Management Framework. See the Appendix for a summary of this process flow.

Project governance
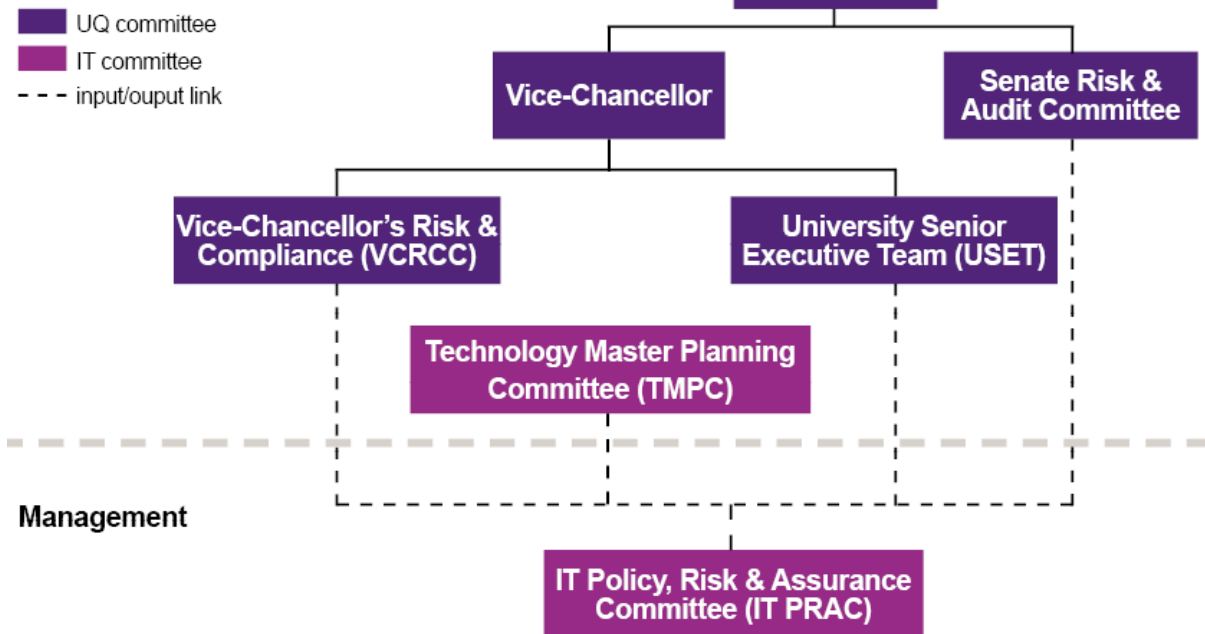
IT projects operate in adherence with the UQ Project Governance and Management Framework. This includes the project approval process (via IT PAB), project phases (proposal through to closure and benefits realisation) project reporting and monitoring, responsibilities of key roles (e.g. project sponsor, project manager), and responsibilities of project steering committees.

Contract delegations

The UQ Senate makes delegations and sub-delegations, and the Schedule of Contract Delegations and Sub-delegations defines who can enter into ICT contracts for UQ.

3.1.2   Policy, risk and compliance

Governance

- UQ committee
- IT committee
- - - input/ouput link

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                                    ┌──────────────┐
                                    │   UQ Senate  │
                                    └──────────────┘
              ┌───────────────────────────┴──────────────┐
      ┌────────────────┐                          ┌──────────────────┐
      │ Vice-Chancellor│                          │ Senate Risk &    │
      └────────────────┘                          │ Audit Committee  │
                                                  └──────────────────┘
   ┌───────────────┴───────────────┐
┌──────────────────┐      ┌──────────────────────┐
│Vice-Chancellor's │      │ University Senior     │
│Risk & Compliance │      │ Executive Team (USET) │
│     (VCRCC)      │      └──────────────────────┘
└──────────────────┘
           ┌────────────────────────┐
           │ Technology Master      │
           │ Planning Committee      │
           │      (TMPC)            │
           └────────────────────────┘
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Management

IT Policy, Risk & Assurance Committee (IT PRAC)

Policy

- The Provost (via the Vice-Chancellor's Risk and Compliance Committee) approves substantive changes to the Information and Communication Technology (ICT) Policy.

- The Vice-Chancellor (via the University Senior Executive Team) approves substantive changes to the Information Management Policy, Cyber Security Policy, and UQ-wide IT frameworks.

- The Chief Information Officer approves changes to IT procedures, guidelines, technical standards, local frameworks and local operating procedures.

- The IT Policy, Risk and Assurance Committee (IT PRAC) reviews and endorses all IT policy documents.

Risk

The UQ Senate approves UQ's risk appetite statement and UQ's Enterprise Risk Management Framework, which informs IT risk management. IT also reports on risk (including specific reports relating to cyber security) to the Vice-Chancellor's Risk and Compliance Committee and the Senate Risk and Audit committee. The IT PRAC develops, endorses and monitors the annual IT top 10 risks and mitigation actions, which are then reported up to UQ's risk governance committees.

3.2   Management

The Chief Information Officer (CIO) is accountable for the IT function at UQ. The CIO is supported by three committees, who are authorised to either act on behalf of the CIO, or who make recommendations to the CIO. The committee structure is illustrated in the diagram below.
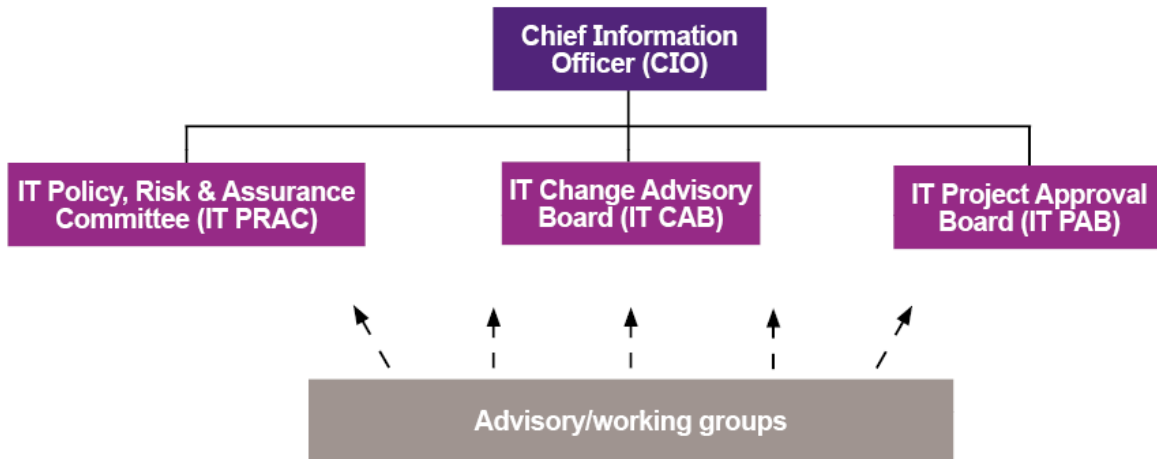
Additional advisory, engagement, or working groups may also exist to support the management of IT but these are not within the scope of this framework. Information on additional groups is available via the IT Governance web page.

Each committee's mandate relates to one or more key IT management focus areas, as outlined below.

Information Technology Policy, Risk and Assurance Committee (IT PRAC)

- risk management

- assurance and compliance monitoring

- policy development and review.

Change Advisory Board (CAB)

- technical change management

- incident management.

IT Project Approval Board (IT PAB)

- investment management

- portfolio, program, and project management.

3.2.1   Cyber security risk management

Cyber security is a top risk for the University, and in order to manage this risk appropriately the IT PRAC will increase its focus on IT risk and compliance monitoring (which includes cyber and information security).

In 2022-23 IT will also develop additional cyber security compliance and risk management structures to manage this risk effectively across UQ.

3.2.2   IT operations management

IT has identified that oversight of operations management is a current gap and area of opportunity. A future operations committee could provide oversight and coordinate activity regarding the following operational areas and issues:

- performance monitoring and process improvement

- asset management

- service management

- business continuity management

- enterprise software management

- standard ways of working/operating model development

- incident management.

At present, IT does not have the resources or capacity to prioritise the development of a committee or structures to address operations management holistically. In 2023, once the Technology Master Plan has been finalised, IT will look to commence work to mature its operations management capabilities.

3.2.3   Committee transparency and visibility

IT uses the IT Governance web page to provide transparency regarding the governance and management of IT. Additionally, this page:

- provides opportunities for all staff to provide feedback on IT policy documents, master plans, discussion papers and operating plans (in addition to dedicated consultation plans targeting specific stakeholders)

- increases the transparency and visibility of IT governance and management committee decisions, discussions, outputs and outcomes

- provides opportunities for UQ staff to contribute agenda items and present at committees where appropriate

- increases awareness of IT committees, initiatives and achievements.

Content of web pages

- Terms of reference and secretary contact details for all IT committees.

- IT working groups: group objectives, members, and key contact details where appropriate.

- Technology Master Planning Committee: agendas, decisions and actions, document packs (certain items may be available on request only due to sensitive information).

- IT Policy Risk and Assurance committee: agendas, decisions and actions, document packs (certain items may be available on request only due to sensitive information).

3.2.4   IT policy documents

The following documents have been developed to support a consistent approach to the governance and management of the IT function:

- Enterprise IT Strategy *- to be replaced by the Technology Master Plan*

- Cyber Security Strategy *- to be replaced by the Technology Master Plan*

- Information Governance and Management Framework

- UQ-wide IT policies, procedures, and guidelines

- IT local frameworks, standards, and procedures.

These documents are developed in alignment with the UQ Governance and Management Framework and the IT Policy Development and Management Procedure.

4.   Committee terms of reference

4.1   Technology Master Planning Committee (TMPC)

Objectives

The Technology Master Planning Committee (TMPC) oversees the development and execution of the Technology Master Plan, monitors the plan's progress and performance, and makes strategic decisions regarding execution of the plan. The committee's key objectives are:

- Review and endorse the Technology Master Plan for approval by USET and the Vice-Chancellor.

- Approve roadmaps, strategies and discussion papers that support the Technology Master Plan (and review and update these annually or as required).

- Direct the commencement of initiatives to execute the Technology Master Plan by reviewing annual IT portfolio proposals and endorsing or recommending changes.

- Monitor the execution of the Technology Master Plan, and endorse changes to the plan as required (based on progress).

- Make decisions regarding changes to the plan and its core initiatives.

- Act as champions for the Technology Master Plan and its associated initiatives.

Membership

- Chief Operating Officer (Chair)

- Chief Information Officer

- Deputy Vice-Chancellor (Academic)

- Deputy Vice-Chancellor (Research and Innovation)

- an Executive Dean

- an Institute Director

- ITS Associate Director, IT Governance (Secretary).

Meeting processes

- Meets three times a year (Q1, Q2, Q4).

- Out of session meetings may take place via email.

- 70% of members must be in attendance.

- Attendance is defined as in-person, by phone, by video call.

- Members cannot delegate attendance and must be in attendance to vote.

- Agenda and documentation should be provided at least one week prior to the meeting where possible.

- Members should read all documentation prior to the meeting.

- The committee can create sub-committees or working groups and direct them to complete tasks in support of the Technology Master Plan.

4.2   IT Policy, Risk and Assurance Committee (IT PRAC)

Formerly the IT Governance Committee.

Objectives

The IT Policy, Risk and Assurance Committee (IT PRAC) aims to support effective IT policy development (i.e. policies, procedures, standards) and implementation, while monitoring IT risk and compliance. The committee's key objectives are:

- Provide a forum for UQ representatives to discuss and provide feedback on compliance with policies, procedures or external instruments (e.g. legislation).

- Review policy documents with regards to UQ and IT quality standards, and requirements around monitoring, assurance, and implementation.

- Endorse IT policy documents to the CIO (and in some cases the Vice-Chancellor) for approval.

- Review results from assurance and compliance assessments and provide recommendations where results indicate there are compliance issues, additional risks or inadequate processes or controls.

- Review IT policy implementation outcomes across UQ.

- Develop and endorse the IT top 10 risks and associated mitigation actions.

- Discuss IT risks above UQ's appetite and recommend mitigation actions.

- Discuss open actions resulting from internal audits, external advisory, and external audits/accreditations, and recommend actions where actions continue to exceed their due date or cannot be completed.

Reporting

IT PRAC will receive the following reports:

- quarterly cyber security risk dashboard

- outstanding actions register reports

- quarterly software compliance report/asset management compliance report

- select reports relating to compliance with IT policy documents and federal or state legislation, regulations and policies

- select reports relating to IT risk management.

Membership

- CIO (Chair)

- University Librarian

- Chief Technology Officer, Research Computing Centre

- Director, Governance and Risk

- a Faculty Executive Manager

- Deputy Director, Digital Learning

- Director, Cyber Security

- a Deputy Director (Operations)

- Associate Director, IT Governance

- IT Strategy, Policy and Assurance Officer (Secretary)

- additional staff may be asked to join periodically to provide specific expertise.

Meeting processes

- meets every 2 months

- certain meetings will have standard agenda items (e.g. determining annual IT top 10 risks)

- attendance is defined as in-person, by phone, by video call

- meetings can be held out of session for ad-hoc decisions and items for noting

- members may delegate attendance to an equivalent peer (e.g. FEM from alternate faculty)

- members must be in attendance to vote.

4.3   IT Project Approval Board (IT PAB)

Objectives

The UQ IT Project Approval Board (IT PAB) is responsible for the portfolio of IT projects and programs including all IT projects and programs at The University of Queensland. The primary function of IT PAB is to assess, approve and prioritise, or decline new project and program proposals.

IT PAB has authority to undertake the following:

a) Approve or decline all UQ virtual project and program proposals, inclusive of IT components within non-IT projects.

b) Determine suitability of proposals in the context of the UQ virtual landscape and architecture.

c) Direct proposals to further SME review.

d) Authorise and prioritise ITS resource allocation and scheduling for projects and programs.

e) Determine required oversight and governance of virtual projects and programs across UQ.

f) Consider, approve, and prioritise virtual projects and programs for inclusion in any virtual submission to the Capital Management Group (CMG); subsequently authorise allocation of approved CMG funds to virtual projects and programs within IT capital portfolios; authorise changes to budget allocations for virtual capital projects and programs within IT capital portfolios.

g) Authorise changes to schedule for all virtual projects and programs where changes impact ITS resource allocation, virtual capital budget allocations, or other project performance indicators.

h) Formally close virtual projects and programs.

i) Review submissions endorsed by other UQ committees and/or refer submissions to other UQ committees or functional area executives to ensure appropriate endorsement.

Membership

- CIO (Chair)

- Deputy Director, Infrastructure Operations, ITS

- Associate Director, Customer Support Services, ITS

- Associate Director, IT Governance, ITS

- Deputy Directors, Applications, Delivery and Support, ITS

- Director, Cyber Security, ITS

- Portfolio Manager, ITS (Secretary).

Review criteria

Members will review each project and program proposal against some or all of the following criteria:

- Submissions comply with relevant UQ and IT policies and procedures, including approved IT standards and frameworks.

- There is evidence of requirement for the proposal, and the proposed solution is appropriate for the identified requirement.

- The proposal supports the execution of the Technology Master Plan or UQ Strategic Plan.

- The proposed solution does not introduce overlap in functionality with existing solutions.

- The proposal has clear support from a local executive sponsor, and (or) business owner.

- The estimated cost is realistic, and the budget source is identified.

- The cost is commensurate with the expected benefits.

- Key stakeholders have been identified and engaged; change impact is understood and managed.

- Required roles are appropriately allocated such as a qualified project manager and technical lead.

- Necessary resources have been appropriately identified.

- Project effort and duration has been realistically scoped.

- Dependencies on other projects have been identified and planned.

- Impact on ITS resources and established initiatives and projects/programs is manageable.

- Appropriate planning for benefit and risk identification and management is evident.

- Appropriate governance is planned or in place.

Operation

- IT PAB meets weekly; members and guests attend in person or remotely.

- Quorum is 60% of filled voting positions.

- Out of session PAB meetings are managed via SharePoint.

- Meetings can be cancelled at the discretion of the CIO or delegate chair.

- Submissions may be approved, not approved, or asked to return with further information.

- IT PAB records are stored via SharePoint and access is managed by the PAB Secretary.

PAB terms of reference review

The PAB terms of reference will be renewed annually. The terms are subject to consultation with ITS senior managers and the Information Technology Policy, Risk and Assurance Committee (IT PRAC).

4.4 IT Change Advisory Board (CAB)

The IT Change Advisory Board (CAB) is an advisory body that reviews proposed technical changes, assesses risks and ensures adequate communications are undertaken for the proposed change, before advising on CIO's behalf to proceed or amend a significant change request. This committee supports the implementation of the IT Change Management Procedure and oversees all significant changes to IT services at UQ.

Objectives

The CAB is responsible for providing guidance and advice on all IT changes as required. The committee's objectives are to:

- Review significant change requests.
- Review emergency changes and provide feedback to the service support teams.
- Review changes post-implementation if the change did not complete as approved by the CAB.
- Review significant changes post-implementation.
- Review change freeze requests from service and business owners.
- Compile reports as required to track change outcomes, including success/failure rates and emergency changes.
- Provide guidance to requestors on pre-approved changes.
- Conduct post-incident report reviews for IT incidents and track remediation actions.
- Define change freeze periods for approval from the ITS Senior Management Group.

Change review criteria

- Ask probing questions to understand the scope and impact of a change.
- Review change risk and impact assessments.
- Confirm resource requirements for the change.
- Ensure that the change implementation plan is adequate.
- Confirm that a thorough change communication is undertaken with the right stakeholders at the right level.
- Review the impact on other services and/or infrastructure due to the change.
- Ensure business approval has been received.
- Ensure proposed scheduled times are appropriate.
- Make recommendations to reduce risks and/or improve likelihood of success.

Membership

- Senior Manager, Infrastructure Services (Chair)

- Manager, Infrastructure Operations Centre

- Manager, Infrastructure Design and Innovation

- Manager, Applications Administration

- Senior Manager, Enterprise Applications

- Manager Database Administration

- Relationship Manager

- Manager, Service Operations

- Associate Director, Library Technology Services

- Security Architect

- an Institute Senior IT Manager

- Manager, Research Infrastructure Services.

A representative for each change under review (e.g. the team change manager, change coordinator, other suitable delegate) must also attend.

Subject Matter Experts (SMEs) may be called upon to provide advice on change requests.

Terms and processes

- seeks approval from the ITS Senior Management Group on change freeze periods

- meets weekly

- attendance is defined as in-person, by phone, by video call

- members must be in attendance to vote

- a Virtual Change Management Group (VCMG) operates 'online' to review standard changes

- 75% of filled voting positions in attendance.

IT Governance
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