Governance

Victorian Government Information and Communication Technology (ICT) Governance

Framework

A framework to describe ICT governance in the Victorian Government

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Purpose

This document is to provide a clear description of the ICT roles and responsibilities at the whole of government and agency levels, as well as guiding principles for establishing ICT governance within agencies.
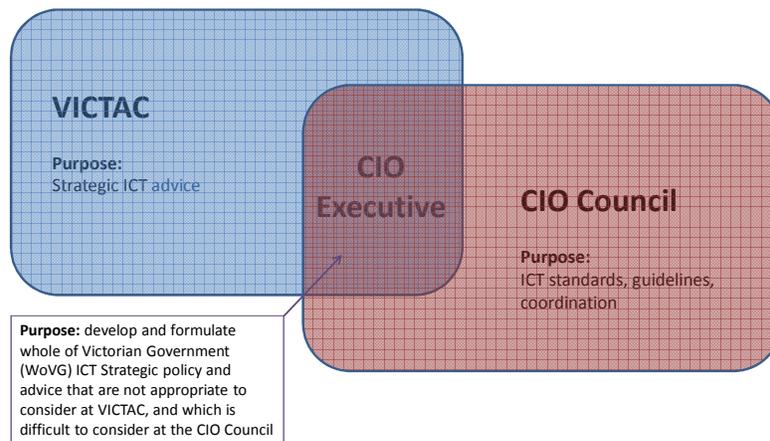
Overview

One of the key drivers for the Victorian Government ICT Strategy released in February 2013 was to close gaps in government ICT leadership, governance and planning.

The success of delivering ICT-enabled government services relies on engagement in, ownership of, and accountability for the efficient, effective and acceptable use of ICT at the highest level across government

The Government has assigned responsibilities to support leadership and delivery of government ICT to the following roles:

- the Chief Technology Advocate (CTA);
- the Victorian Government ICT Advisory Committee(VICTAC);
- the Chief Information Officer (CIO) Executive Council;
- the CIO Council;
- department and agency heads (agency heads); and
- department and agency CIOs (agency CIOs).

The relationship of VICTAC, the CIO Executive Council and the CIO Council is shown in the following diagram:

VICTAC

Purpose:
Strategic ICT advice

CIO Executive

CIO Council

Purpose:
ICT standards, guidelines, coordination

Purpose: develop and formulate whole of Victorian Government (WoVG) ICT Strategic policy and advice that are not appropriate to consider at VICTAC, and which is difficult to consider at the CIO Council

The objectives of this framework are to:

- outline the ICT governance at the whole-of-government level ;
- provide clarity on how to engage with these ICT governance bodies; and
- provide guiding principles for establishing ICT governance within departments and agencies.

The Victorian Government ICT governance responsibilities of the above-mentioned roles are described in **Attachment 1**.

Engagement model for these governance bodies is provided in **Attachment 2**.

Other government bodies that have a role in government ICT are listed in **Attachment 3** for agencies to take into account when making ICT decisions.

Guiding principles for ICT governance, based on the AS/NZA ISO/IEC 38500:2010 Standard (Corporate governance of information technology), are provided in **Attachment4**.

Scope

This framework applies to all government departments and Victoria Police, VicRoads, State Revenue Office, Environment Protection Agency, Public Transport Victoria, Country Fire Authority, State Emergency Services, Ambulance Victoria, Emergency Services Telecommunications Authority, Metropolitan Fire and Emergency Services Board and CenITex.

These agencies are referred to as 'in-scope agencies' in this document.

Audience

This document is intended for all Victorian Government staff who are involved in government ICT and its related activities.

ICT governance bodies

Roles	Description
Agency CIOs	In-scope agency CIOs as nominated by agency heads that oversees ICT related matters in their agencies.
Agency heads	In-scope agency Secretary/CEO that oversees the management of the entire agency, supported by their senior leadership team (including agency CIOs).
CenITex	The shared services agency that provides centralised ICT support to Victorian Government agencies.
CIO Council	Senior executive coordination and collaboration body for ICT management in the Victorian Public Sector (VPS), including ICT architectures, policies and standards, and operational ICT issues. It is chaired by a senior in-scope agency CIO and supported by the CTA. Membership consists of all in-scope agency CIOs.
CIO Executive Council	A small, strategically focused group that supports and collaborates with the CTA in the development and formulation of whole of Victorian Government (WoVG) ICT Strategic policy and advice that are not appropriate to consider at VICTAC, and which is difficult to consider at the CIO Council. This council is chaired by the CTA and its membership consists of selected in-scope agency CIOs that are already members of VICTAC.
CTA	Victorian Government Chief Technology Advocate. This role reports directly to the Minister for Technology for the ongoing development, implementation, monitoring and review of Victorian Government ICT.
VICTAC	Victorian Information and Communications Technology Advisory Committee. This committee, which is chaired by the CTA, is a key strategic ICT advisory body to the Minister for Technology and the CTA. Its membership consists of selected private sector and in-scope agency CIOs.

Further information

For further information regarding this standard, please contact Digital Government Branch in the Department of State Development, Business and Innovation, at digital.government@dsdbi.vic.gov.au.

Version history

Version	Date	TRIM ref	Details
1.0	30 September	DOC/13/210834	Final version

Attachment 1 – Victorian Government governance roles and responsibilities

Roles	Responsibilities				
	Victorian Government ICT Strategic Directions	Victorian Government ICT Policy, Standards and Guidelines + Coordination	Victorian Government ICT investment and procurement	Shared ICT services and infrastructure	Agency ICT planning, governance, and service delivery
CTA	• Accountable for delivering the Victorian Government ICT Strategy (ICT strategy). • Provide an annual report to the Government on the implementation status of the ICT Strategy. • Conduct an annual review and update of the ICT Strategy. • Administer innovation funding to support agencies improving productivity or service. • Provide policy advice and respond to Commonwealth ICT policies and initiatives on behalf of the Victorian Government. • Represent the Victorian Government on the Cross-Jurisdiction CIO Committee. • Chair VICTAC and CIO Executive Council. • Provide support to CIO Council.	• Deliver government ICT policies, standards, guidelines and frameworks in collaboration with the CIO Council. • Provide support to the CIO Council	• Provide advice and feedback, upon requests, to agencies in the development of ICT-dependant business cases for consideration by the Budget and Expenditure Review Committee (BERC). • Provide advice, in consultation with DTF, on High Value High Risk (HVHR) ICT-enabled projects. • Accountable for ICT-related State Purchase Contracts, endorsed by the CIO Executive Council.	• Facilitate the development and solution delivery of shared needs across government.	• Review any major variations of significant impact or risk to the agency annual ICT plans submitted by agency heads.

Roles	Responsibilities				
	Victorian Government ICT Strategic Directions	Victorian Government ICT Policy, Standards and Guidelines + Coordination	Victorian Government ICT investment and procurement	Shared ICT services and infrastructure	Agency ICT planning, governance, and service delivery
VICTAC	• Provide oversight of and direction in the development and implementation of the ICT Strategy. • Provide advice or undertake projects as requested by the Minister or the CTA.		• Review and provide advice on Victorian Government ICT project plans or proposals upon request by the Minister, another Victorian Government Minister or agency head.		• Provide independent assessment for departmental annual ICT plans.
CIO Executive Council	• Support and collaborate with the CTA in development of policy initiatives in support of the delivery of the ICT Strategy.	• Consider and reach consensus on key Victorian Government ICT strategies, policies and initiatives.	• Consider and reach consensus on Victorian Government ICT capability, contracts and procurement decisions to inform the Minister for Technology and the CTA.		

Roles	Responsibilities				
	Victorian Government ICT Strategic Directions	**Victorian Government ICT Policy, Standards and Guidelines + Coordination**	**Victorian Government ICT investment and procurement**	**Shared ICT services and infrastructure**	**Agency ICT planning, governance, and service delivery**
CIO Council	• Raise and propose measures to address risks related to the delivery and implementation of the ICT Strategy. • Facilitate collaboration in the delivery of the ICT Strategy. • Provide advice during the refresh and future development of the ICT Strategy.	• Oversee the development of and approve Victorian Government ICT policies and standards. • Note the Victorian Government guidelines and frameworks. • Foster best practice, and improve collaboration and innovation in Victorian Government ICT by sharing ideas and knowledge. • Identifying shared needs and where practicable developing joint solutions. • Advise VPS senior leadership on information security threats and security risk mitigation strategies. • Submit annual report to State Coordination and Management Committee (SC &MC) on the status of and issues related to the management and implementation of ICT functions in the VPS. • Submit six-monthly reports on government information security to the Deputy Secretaries Leadership Group (DSLG).	• Undertake peer review of significant ICT projects as requested by Council members.	• Develop strategic initiatives to meet shared business objectives and needs. •	• Foster the sharing of information, opportunities and best practice through each agency CIO.

Roles	Responsibilities				
	Victorian Government ICT Strategic Directions	Victorian Government ICT Policy, Standards and Guidelines + Coordination	Victorian Government ICT investment and procurement	Shared ICT services and infrastructure	Agency ICT planning, governance, and service delivery
Agency Heads	• Accountable for contributing to ICT Strategy outcomes, supported by their agency CIO.	• Ensure the implementation of the Victorian Government policies and frameworks in own agency. • Ensure compliance of government ICT policies, standards and guidelines in agency ICT planning and execution.	• Ensure compliance of government investment and procurement requirements within own agency.		• Accountable for the ICT planning, execution and service delivery in their agencies, including information management and information security. • Resolve conflicts identified between ICT Strategy requirements and agency service delivery accountabilities with the CTA. • Ensure Victorian Government ICT governance arrangements are applied and complied across own agency. • Ensure an Information Management Governance Committee (IMGC) is established and maintained to lead, monitor and report on information management. Via own agency CIO to submit: • an annual ICT plan for independent assessment by VICTAC. • major variations of significant impact or risk to the annual ICT plans for review by the CTA.

Roles	Responsibilities				
	Victorian Government ICT Strategic Directions	Victorian Government ICT Policy, Standards and Guidelines + Coordination	Victorian Government ICT investment and procurement	Shared ICT services and infrastructure	Agency ICT planning, governance, and service delivery
Agency CIOs	• Coordinate their own agencies in contributing to ICT strategy outcomes. • Deliver ICT Strategy action items assigned to agencies. • Contribute to the CIO Council.	• Advise on ICT policies, standards and guidelines to the CIO Council. • Contribute to the CIO Council's annual report and information security report.	• Review and validate own agency's ICT expenditure proposals before they are submitted for review. • Coordinate procurement of ICT services/products and resolve issues with third party providers in their own agencies. • Ensure own agency's ICT investments and procurement are aligned with the ICT Strategy and agency strategies.	• Manage relationship and resolve issues relating to shared services. • Mitigate and manage service risks that may impact on agency's service delivery. • Ensure value for money is achieved.	• Deliver ICT planning, governance and manage service delivery • Ensure Victorian Government ICT policies, standards and guideline are applied in their own agencies • Active involvement in agency IMGC.
CenITex	• Contribute to and align service delivery with the ICT Strategy	• Contribute to and align service delivery to Victorian Government ICT policies, standards and guidelines.	• Provide consolidated ICT requirements to the CTA for Victorian Government ICT contracts.	• The CenITex CEO is accountable to the CenITex Board for CenITex service delivery to client departments and agencies. • The Chair of the CenITex Board will resolve disputes between CenITex and service recipients that cannot be resolved between the parties.	• Active involvement with customer agencies to manage delivery of their ICT services.

Attachment 2 - Engagement model for ICT governance bodies

Engage with…	Through the following channels…	If you need to…

CTA	Via agency Minister or senior executive management (Secretary/CEO, Deputy Secretary/Executive Directors, or CIO)	• seek advice on:
		  o matters related to the ICT Strategy, including significant issues or implementation
		  o ICT-related business cases for BERC review
		  o ICT-enabled projects that fit into HRHV categories
		  o WoVG ICT SPC, policies, standards and guidelines, including their implementation
		• seek approval of major variations that have significant impact or risk to agency annual ICT plan.
		• seek innovation funding to improve agency productivity and service

VICTAC	Via agency Minister, agency head or the CTA	• seek advice on Victorian Government ICT plans or proposals
CIO Executive Council	Via the CTA	• seek advice on strategic WoVG ICT policies or procurement contracts
CIO Council	Via agency CIOs	• seek advice on collaboration opportunities across government to achieve ICT Strategy outcomes and discuss sharing opportunities • seek advice on WoVG ICT architectures, policies and standards
Agency heads	Via agency senior management (Deputy Secretary/Executive Director or CIOs)	• clarify the responsibilities for implementing WoVG policies and framework • raise awareness of significant information security threats to own agency • align agency business strategy with ICT planning, execution and service delivery, including information management and information security • provide input or feedback on agency ICT planning, execution and service delivery, including information management and information security

Agency CIOs	Direct contact	• engage with the CTA, CIO Executive Council , the CIO Council and agency heads regarding their ICT responsibilities.
		• validate agency's ICT expenditure proposals before they are submitted for review
		• seek advice on:
		  o the application of the CIO Council policies, standards and guidelines in their own ICT planning and execution
		  o agency ICT capabilities and investments
		  o the Victorian Government ICT policies, standards and guidelines
		  o CenITex-related services and significant issues
		  o information security threats

CenITex	Via agency CIOs for services provided by CenITex	• for significant project/service requests or service issues that cannot be resolved

Attachment 3 - Other government bodies that have a role in government ICT

Roles	Function Summary	Involvement in government ICT	Applicable legislations/policies/ reference reports
State Coordination and Management Committee (SC&MC)	VPS Senior leadership group at the department Secretary level to: • address policy and implementation challenges across government portfolios and at Commonwealth level • promote leadership and information exchange across the Victorian public service • develop an integrated government approach in service delivery and policy development.	• Support the Government ICT Strategy • Note the ICT Strategy annual report before going to the Government for approval	• N/A
Deputy Secretaries Leadership Group (DSLG)	VPS Senior leadership group at the department Deputy Secretary level that develops operational solutions to whole of public service policies and initiatives on behalf of SC&MC.	• Note the six-monthly Information Security report	• [Victorian Government Information Security Management policy, standards and guidelines](#)
[Department of Treasury and Finance](#)(DTF)	For ICT, this Victorian Government department has responsibilities to review key government projects.	• Review ICT-dependant business cases before approved for funding by the Government • Provide advice to the Government on the status of government-funded ICT projects • HRHV reviews ICT-enabled projects that are either high value (>$100 million) or high risk or both • Gateway review process reviews key projects and programs at key decision points	• [DTF Investment professional tool kit, including Gateway products, Investment Management products and Investment Lifecycle and HVHR products](#) • [Project management methodology selection guideline](#)

Roles	Function Summary	Involvement in government ICT	Applicable legislations/policies/ reference reports
Victorian Government Purchasing Board (VGPB)	Develop and approve policies, approve major requisitions from departments, and to discuss procurement policy and practice matters.	• Approve State Purchase Contracts for ICT products	• Financial Management Act 2000 • VGPB Policies
Office of the Victorian Privacy Commissioner	Privacy Victoria regulates how Victorian government agencies and local councils handle personal information.	• Provide advice on privacy issues relating to information management and information security	• Information Privacy Act 2000
Public Record Office Victoria (PROV)	The archives of the State Government of Victoria.	• Issue standards and provide advice on public record management, including electronic records	• Public Records Act 1973
Victorian Auditor-General Office (VAGO)	Provide auditing services to the Victorian Parliament and Victorian public sector agencies and authorities.	• Conduct audits on ICT-related matters in Victorian Government	• Connecting Courts - the Integrated Courts Management System (2008–09:26) • Maintaining the Integrity and Confidentiality of Personal Information
Ombudsman Victoria	An independent officer of the Victorian Parliament who investigates complaints about state government departments, most statutory authorities and local government.	• Conduct inquiries on ICT-related matters in Victorian Government	• Own motion investigation into ICT-enabled projects.pdf (658KB)
Freedom of Information (FOI) Commissioner	The FOI Commissioner ensures the openness and transparency of government in Victoria.	• May request information on ICT-related matters under FOI Act	• FOI Act 2012 (link only works in IE browser)
State Services Authority	SSA has responsibilities to ensure the public sector values and employment principles are followed.	• May conduct inquiries on agencies that have ICT service delivery responsibilities upon the request of a government Minister. • May assist with capability development in ICT and for ICT project boards.	• Public Administration Act 2004

Attachment 4 - Guiding principles for ICT governance

Based on the ISO/IEC standard for corporate governance of information technology (AS/NZA ISO/IEC 38500:2010 Standard), the following principles provide guidance for government agencies to establish ICT governance internally. Senior management mentioned in below guiding principles means the most appropriate level (e.g. agency heads; senior leadership team) within an agency to make decisions.

Principle	Evaluate	Direct	Monitor
1. **ICT Governance has understood and accepted roles and responsibilities**	Senior management should evaluate agency ICT needs and personnel competence in ICT decision making before assigning responsibilities.	Senior management should authorise those with ICT responsibilities to carry out plans accordingly and provide information back to meet their own accountability.	Senior management should monitor that: • appropriate ICT governance systems are in place within own agency • those given ICT responsibilities understand and accept their responsibilities • those given ICT governance responsibilities are performing accordingly.
2. **Business and ICT planning are aligned with each other**	Senior management should evaluate ICT developments and business process with appropriate risk assessment to ensure ICT will provide support for future business needs. The Victorian Government ICT Strategy should be a strong consideration.	Senior management should direct the preparation of plans and policies to ensure agency benefits from ICT developments to meet future business opportunities and challenges.	Senior management should monitor the progress of approved ICT proposals to ensure they are meeting business objectives and achieving benefits in required timeframes and within budget.
3. **ICT investments are made for justifiable reasons**	Senior management should evaluate options of ICT provision, balancing risks and costs before selecting the most appropriate proposals.	Senior management should direct that all ICT investments are made in proper manner with appropriate documentation, while ensuring that: • the investment and procurement comply with government regulations, policies, and requirements • required capabilities are provided • the supply arrangements support agency business needs.	Senior management should monitor IT acquisitions are providing the required capabilities and meeting business needs.

Principle	Evaluate	Direct	Monitor
4. ICT is fit for purpose to meet current and future business requirements	Senior management should evaluate ICT performance in the areas of: • business process support with required ICT capability • risks of disrupted business operations caused by ICT • risks of compromised information integrity and ICT assets • ICT governance performance • ICT decision-making process to ensure timely adoption of IT to support business.	Senior management should direct that: • sufficient resources are allocated for ICT to meet agency business needs within budget constraints and agreed priority • those responsible will ensure that ICT supports the business with proper information management and information security measures.	Senior managements should monitor that: • ICT does support the business • allocated ICT resources and budgets are prioritised to meet business goals • ICT policies, such as information management and information security, are followed accordingly.
5. ICT conforms to all mandatory legislation, regulations and policies	Senior management should evaluate that the use of ICT conforms to: • required government legislations, policies, standards and guidelines • internal and WoVG ICT governance.	Senior management should direct that: • those with ICT responsibility to set up systems to regularly and routinely review that the use of ICT complies with required government legislations, policies, standards and guidelines • internal policies are established and enforced to enable the agency to meet its internal obligations in its use of ICT • ICT staff follow relevant guidelines for professional behaviour and development • all actions relating to ICT be ethical	Senior management should monitor: • ICT conformance through appropriate reporting and audit in a timely and comprehensive manner • ICT activities, including disposal of assets and data, to ensure compliance of government information management and information security obligations.

Principle	Evaluate	Direct	Monitor
6. **ICT policies, practices and decisions are made in respect for all people involved in the process including business, user and supplier.**	Senior management should evaluate IT activities to ensure that all people involved are identified and their needs are considered.	Senior management should direct that: • ICT activities are consistent with identified human behaviour • human behaviour risks, opportunities, issues and concerns may be identified and reported by anyone at any time • these risks are managed following published policies and procedures and escalated to the relevant decision makers.	Senior management should monitor: • ICT activities to ensure identified human behaviours remain relevant and given proper attention • Work practice to ensure that they are consistent with the appropriate use of IT.

How to use these principles

The principles provide high-level guidance and are intended to have long term applicability. By adopting the principles agencies will be well placed to comply with future standards. It is expected that agencies will adopt and expand on the principles to reflect their specific circumstances.