

Sultanate of Oman
Information Technology Authority



IT Governance Charter

Governance & Standards Division

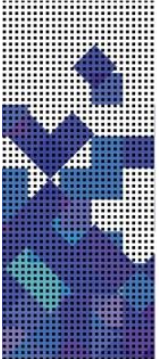
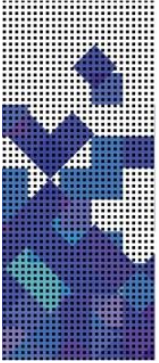


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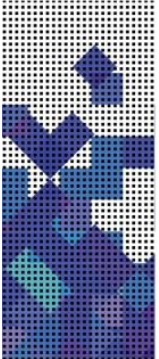
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1 PURPOSE

The purpose of this IT Governance Charter is to provide implementation guidance for the IT Governance Policy and related information technology (IT) management practices.

IT Governance Policy is issued by Information Technology Authority (ITA) and outlines following requirements:

- a. IT Governance Goals and Objectives
- b. Direction for IT Investment Management
- c. Principles of IT Governance and Management
- d. Priorities for IT Governance and Management

To implement the requirements of IT Governance Policy, ITA is publishing this charter. This Charter is a result of extensive research on international standards and best practices and reflects inputs from IT Governance communities and different governance models in public sector organizations.

2 INTRODUCTION

Information Technology (IT) represents a significant investment as well as a significant enabler of the eOman vision, requiring effective governance and planning. Pursuant to, Royal Decree 52/2006, Information Technology Authority (ITA) is responsible for implementation of the Digital Oman Strategy and to provide professional leadership to government agencies.

ITA act as a central IT governing body and coordinate IT planning efforts and strategies for most effective use of resources across the Government. ITA has exclusive responsibility to make recommendations to the Cabinet of Ministers (Cabinet) on all information technology (IT) related matters for the whole of government. Principal responsibilities include:

- Direct IT Governance strategies to government agencies, and advise technology priorities and major IT investments to the Cabinet of Ministers.
- Formulate and maintain policies for the governance and management of IT across the government.
- Commission IT Governance framework for government agencies.
- Commission analyses and research pertaining to IT portfolio management.
- Ensure IT Assurance and compliance activities
- Recommend, to the Cabinet, strategic IT partnerships for the Government.

To achieve the above objective, ITA has established an “**IT Governance Framework**” that provides architectural standards, policies, processes and guidance on the governance and management of resources relating to the use of information & communication technologies (ICT).

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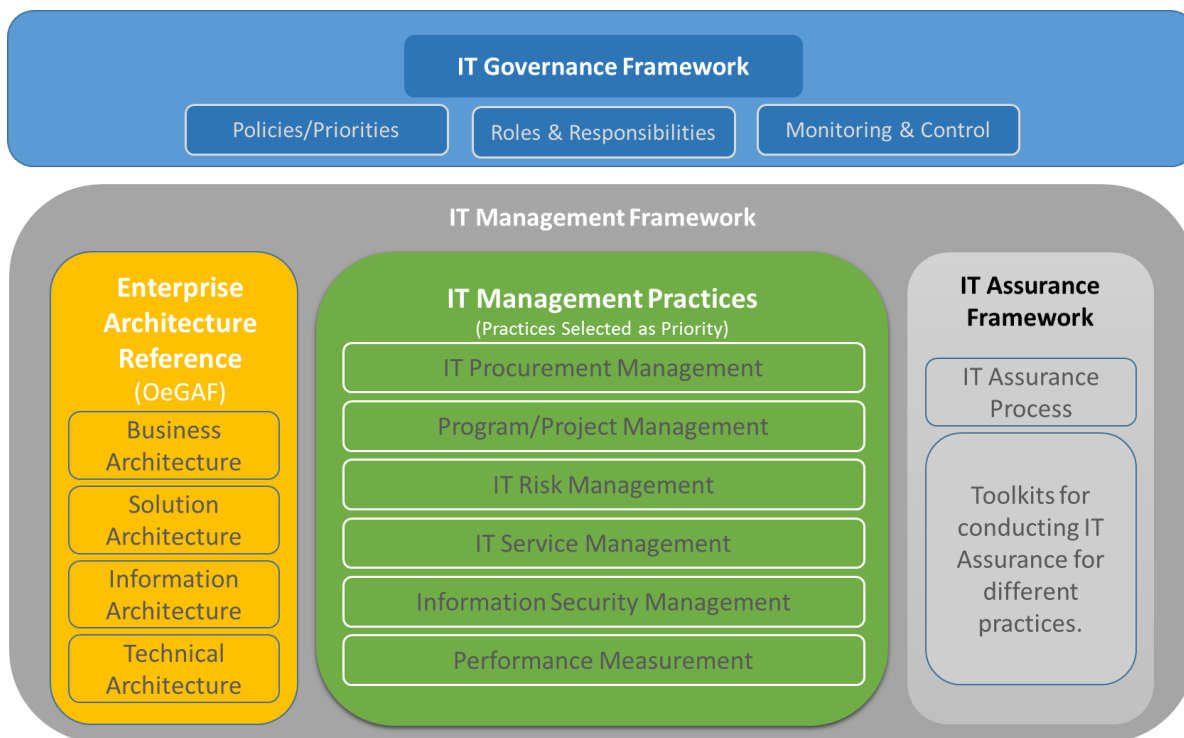


Figure 1: IT Governance Framework

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3 IMPLEMENTING IT GOVERNANCE POLICY

Governance is about providing direction and ensuring that the results are being delivered. To set clear expectations with IT management and operations within government organizations, and to ensure benefit realization and risk optimization in business investments in ICT initiatives, IT Governance Policy defines the primary business goals for IT that each government agency should focus on.

Following sections provide explanation and guidance on implementation of policy requirements.

3.1 IT GOVERNANCE STRUCTURE - IT INVESTMENT COUNCIL

The IT Investment Council (the Council) is responsible for the oversight and delivery of all investment decisions, including the overall strategic direction of the enterprise. The purpose of the IT Investment Council is to ensure the effective and efficient use of technology in enabling the enterprise to achieve its strategy and goals within acceptable levels of risk. The IT Investment Council is tasked with and accountable for ensuring that technology services deliver business value and that expected benefits from new investments are fully realized.

This is a standing (permanent) governance structure. It may be supported by other governance structures — both standing and project (temporary) — as required to effectively achieve its purpose.

Decisions are made by discussing items or issues and coming to agreement. This agreement does not necessarily mean that each member concurs with the decision itself, but rather, supports the decision and will visibly demonstrate that support in the public arena within the company.

Note: The existing structures (if any), like IT Steering Committee/eTransformation Committee/Strategic Planning Committee, need to be enhanced or aligned with the proposed ITGS (IT Investment Council) to assume the accountabilities as defined below and to deliver the required responsibilities.

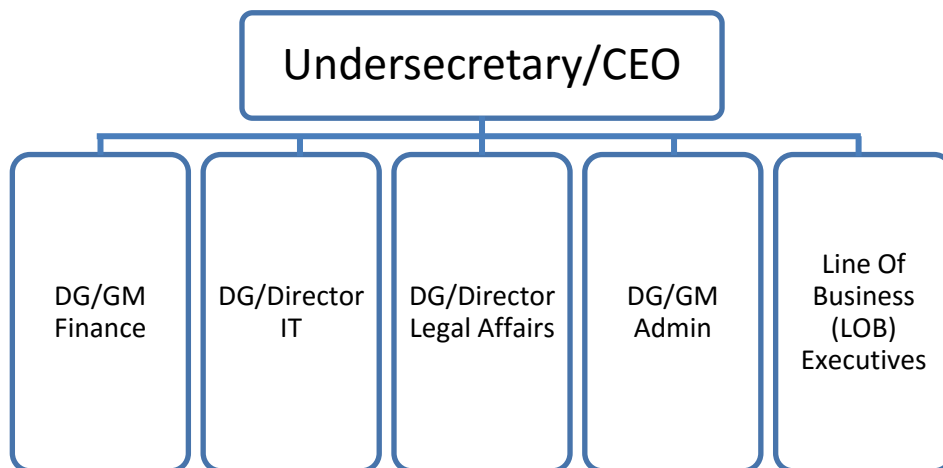
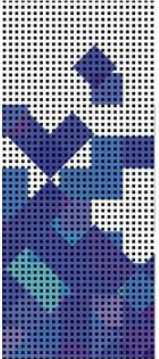
3.2 COUNCIL CHAIR

The IT Investment Council will be chaired by the Undersecretary/CEO of the government agency. The chair position will be a permanent position.

3.3 COUNCIL MEMBERSHIP

The IT Investment Council is composed of the top tier of leaders in the government organization:

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Note: Line Of Business (LOB) Executives - these may be multiple roles representing Agencies' core business units, selected by the Council Chair.

3.4 RESPONSIBILITIES

3.4.1 Responsibilities of the IT Investment Council

The IT Investment Council ensures that there is a business strategy for the enterprise and that IT investments are aligned to this business strategy within acceptable levels of risk (see the Meetings and Types of Decisions section for more discussion about risk).

Responsibilities include:

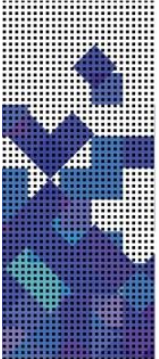
Decide on strategy and capabilities. Determine the corporate strategy, objectives and capabilities of the enterprise. Create a portfolio of assets and investments for the enterprise, and align technology services and investments with the corporate strategy and the portfolio.

Determine the investment approach. Create investment principles that serve to guide investment decisions for the enterprise. Determine the funding sources and financial authority of the board, and establish audit responsibilities and accountabilities.

Balance investment risk. Balance investment risk against potential investment opportunities, selecting those investments that are in line with the risk profile of the enterprise.

Ensure a steady flow of communications. Communicate strategy and board investment decisions to stakeholders to create understanding at all levels of the enterprise about which investments have been approved. Communicate changes to the business strategy that may have an impact on technology services and strategy.

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Deliver results. Ensure the progress of technology projects, services and investments at the strategic level is successful. Resolve issues that impede the effective delivery of investments. Ensure the enterprise and technology strategies are aligned and that deviations are consciously managed.

Improve governance. Continuously assess the effectiveness of the governance process and of the IT Investment Council, and improve.

Decide on quorum and decision making. Determine what represents sufficient meeting attendance and how decisions will be made. Recognize that if people do not attend the meetings, an issue exists. The governance chair then needs to talk to those individuals, and try to re-engage them in the governance process. People tend not to abandon the process if meaningful decisions are to be made that effectively engage their expertise. Design governance meetings with this principle in mind.

3.4.2 Responsibilities of the Director IT

The DIRECTOR IT ensures that the technology strategy is consistent with the business strategy and meets the needs of other lines of business.

Responsibilities include:

Deliver a compelling vision of a future target state and the road map to get there in manageable steps.

Resolve cross-functional issues within the technology strategy.

Implement the technology strategy.

Ensure the enterprise architecture represents the business direction and strategy, as well as incorporates new and relevant technologies as appropriate to advance the mission of the organization.

3.4.3 Responsibilities of the LOB Executives

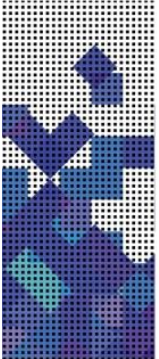
The LOB executives work with the DIRECTOR IT to ensure that the business and technology strategies are clearly understood and executed within their business areas. They are responsible for providing regular reports to the IT Investment Council chair on the progress of business and technology investments and services at an operational level. All executives are accountable to the IT Investment Council for successful delivery of their areas' business outcomes.

Responsibilities include:

Proactively and equally share in discussions to determine the enterprise strategy.

Champion the enterprise and technology strategy within their respective lines of business.
Ensure that LOB operational plans are consistent with the enterprise and technology strategies.

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Ensure that existing and changing business needs are clearly understood by the IT Investment Council and are incorporated into the investment portfolio as appropriate.

Leverage the architectural road map.

Manage interdependencies with other business areas, partners and suppliers created by new investment and change projects. Influence and resolve cross-functional issues that result from any new investment and change projects.

Ensure that benefits from technology investments are completely realized.

3.4.4 Responsibilities of Others (as Required)

Other Council members include the DG/GM Finance, DG/Director legal affairs and DG/GM Admin.

Their responsibilities are:

Offer their unique perspective (legal, HR or finance) to the investment decision at hand.

Provide specific industry insight as it relates to their respective areas — for example, upcoming legal changes, trends in labor markets, and customer changes and preferences — that may influence the enterprise strategy.

Participate as required to become an executive sponsor for initiatives, and ensure those initiatives deliver the expected results.

3.5 EXCEPTION PROCESS

The IT Investment Council should incorporate an exception process into its governance process to create enterprise agility in the marketplace. Exceptions happen, and business changes. The purpose of this exception process is to accommodate these "out of cycle" changes to the business strategy, to capture consumer shifts, to adapt to regulatory change and/or to incorporate innovation into the business model.

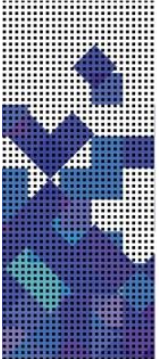
To invoke the exception process, contact the IT Investment Council executive to whom you report, and be prepared to answer the following questions before being guided through the exception process:

What is the opportunity that needs to be discussed?

Why does this opportunity require out-of-cycle attention? For example, is this a competitive opportunity that will help the enterprise advance in the marketplace?

If agreed to by the IT Investment Council, where in the portfolio might the opportunity reside? For example, how will this change be accommodated?

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3.6 MEETINGS AND TYPES OF DECISIONS

3.6.1 Three Key Meetings

- **Meeting 1 — Approve the charter.** Discuss the governance charter, and approve it. Create a "straw model" of the charter prior to the meeting, and review it with a few key stakeholders. Then, discuss and finalize the charter in the meeting itself.
- **Meeting 2 — Establish prioritization criteria.** Discuss and adopt the criteria used to prioritize investment initiatives. This activity is commonly led by the DG/GM Finance, but is discussed by the council since all investment initiatives will use this process. Straw-model the criteria first, and review it with a few key stakeholders. Then, discuss and finalize the criteria in the meeting itself. In the meeting, review the current portfolio against the prioritization criteria, and adjust as required.
- **Meeting 3 — Establish or review the enterprise strategy.** Straw-model the strategy first, review the capabilities required to win in the marketplace and discuss the path forward. Adjust the current portfolio as required.

3.6.2 Additional Topic-Specific Meetings

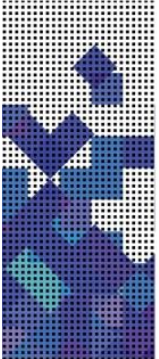
- Determine the investment mix. Approximately 70 percent to "run the business." Is this mix of operating expenditure to capital expenditure appropriate, or does the enterprise need new strategies to invest more in competitive change and advantage? What role does strategic value play in the investment?
- Review the supply pipe. How much demand that comes in should be accommodated?
- Decide on the sourcing strategy. How will demand be met? Should demand be met 100% using internal staff, or a combination of internal staff supplemented with external partnerships?
- Decide on investment hurdle rates or thresholds.
- Develop principles that will guide investment decisions, such as, "The enterprise will purchase applications before developing new applications."
- Discuss other topics that may be identified by the council.

3.6.3 Ongoing Meetings

Ongoing meetings tend to fall into a rhythm. Determine the appropriate rhythm for this council by creating a standard agenda. Ideas include:

- Review the status of major ongoing initiatives, and monitor steps and decisions made by supporting steering committees.
- Review new demand against the prioritization criteria, the active portfolio and the ability to meet demand (the supply pipe).
- Continue to monitor and study competitive shifts in the industry that might impact the business strategy.

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3.6.4 Annual Meetings

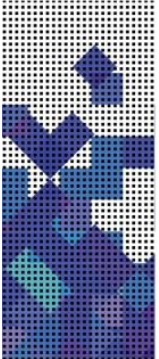
Assess the effectiveness of the council, based on the charter, and update the charter as required to improve performance for the next year.

Assess the effectiveness of the governance process by comparing Council's effectiveness against their purpose and the relationship to one another.

Review the Council charter, and answer the following questions:

- Is the Council effectively achieving its purpose and expected outcomes?
- Are the right stakeholders involved in the process?
- Is the exceptions process effectively capturing new opportunities for the enterprise?

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4 IT MANAGEMENT PRIORITIES

IT governance exists to inform and align decision making for information technology planning, policy and operations in order to meet business objectives, ascertain that risks are managed appropriately and verify that resources are being used responsibly and strategically.

Because information technology services account for significant capital and operational expenses in government agencies, the formal processes within a governance framework ensure that business requirements ultimately drive planning decisions for the development and management of information technology resources. Formalizing governance processes also helps ensure that technology and business leaders are in agreement on what is an appropriate level of risk in the information technology that powers day-to-day operations.

The IT Governance Policy define primary business goals for IT as follows:

- Stakeholder value of business investments in IT
- Financial transparency
- Customer-oriented service culture
- Agile responses to a changing business environment
- Optimization of service delivery costs
- Operational and staff productivity
- Compliance with internal policies
- Product and business innovation culture

According to many prominent groups, including IDC, Gartner Group and Forrester Research, 84% of the Digital Transformation projects fail. The main factors that contribute to the success or failure of the digital transformation projects are:

- Lack of senior management active involvement
- Lack of clear strategy
- Lack of Risk Management

ITA has performed a careful analysis of the factors mentioned above and considering the overall maturity of the government organizations, ITA strongly recommends to the ministries and agencies to establish following practices on high priority to make digital transformations successful.

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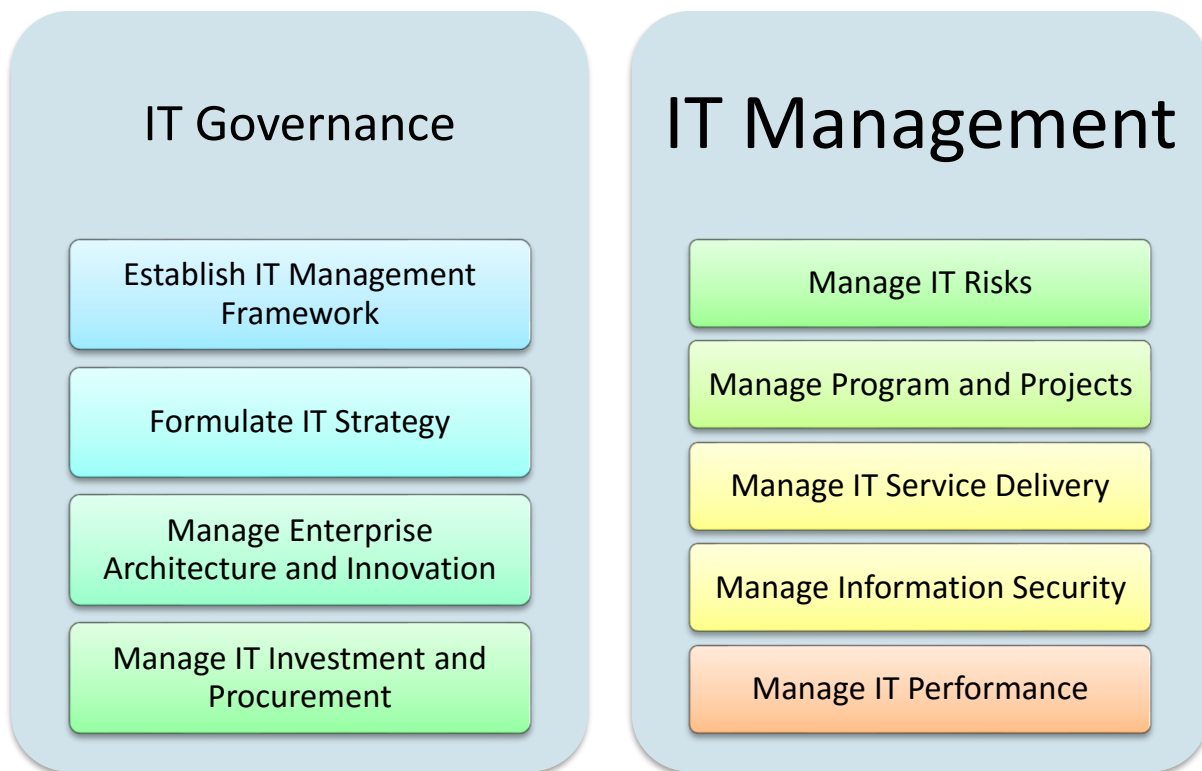
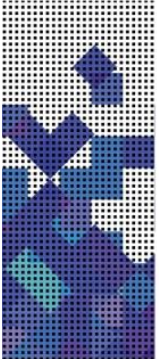


Figure 2: IT Management Priorities

4.1 ESTABLISH IT MANAGEMENT FRAMEWORK

Managing IT Management Framework encompasses clarifying and maintaining the governance of enterprise IT mission and vision; implementing and maintaining mechanisms and authorities to manage information and the use of IT in the enterprise in support of governance objectives in line with guiding principles and policies. Define a consistent management approach covering management processes, organizational structures, roles and responsibilities, reliable and repeatable activities, and skills and competencies.

Government entities should:

- **Define the organizational structure** - Establish an internal and extended organizational structure that reflects business needs and IT priorities. Put in place the required management structures (e.g., committees) that enable management decision making to take place in the most effective and efficient manner.
- **Establish roles and responsibilities** - Establish, agree on and communicate roles and responsibilities of IT personnel, as well as other stakeholders with responsibilities for enterprise IT, that clearly reflect overall business needs and IT objectives and relevant personnel’s authority, responsibilities and accountability.

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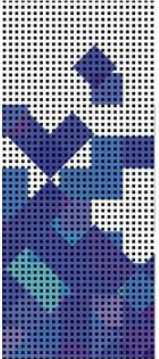


- **Communicate management objectives and direction** - Communicate awareness and understanding of IT objectives and direction to appropriate stakeholders and users throughout the enterprise.
- **Define information (data) and system ownership** - Define and maintain responsibilities for ownership of information (data) and information systems. Ensure that owners make decisions about classifying information and systems and protecting them in line with this classification.
- **Maintain compliance with policies and procedures** - Put in place procedures to maintain compliance with and performance measurement of policies and other enablers of the control framework, and enforce the consequences of non-compliance or inadequate performance. Track trends and performance and consider these in the future design and improvement of the control framework.

4.1.1 Roles and Responsibilities

Key Practices	Accountability	Responsibility	Expected Outcome
Define the organizational structure	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Head of IT • Head of Human Resource 	<ul style="list-style-type: none"> • Definition of organizational structure and functions • Organizational operational guidelines • Communication ground rules
Establish roles and responsibilities	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Definition of IT-related roles and responsibilities • Definition of supervisory practices
Communicate management objectives and direction	<ul style="list-style-type: none"> • Under Secretary/CEO 	<ul style="list-style-type: none"> • Head of IT • LOB Executives 	<ul style="list-style-type: none"> • Communication on IT objectives
Define information (data) and system ownership	<ul style="list-style-type: none"> • LOB Executives 	<ul style="list-style-type: none"> • Business Process Owners • Information Security Officer 	<ul style="list-style-type: none"> • Data classification guidelines • Data security and control guidelines • Data integrity procedures
Maintain compliance with policies and procedures	<ul style="list-style-type: none"> • Under Secretary/CEO 	<ul style="list-style-type: none"> • Head of IT • LOB Executives 	<ul style="list-style-type: none"> • Non-compliance remedial actions

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4.2 FORMULATE IT STRATEGY

Align strategic IT plans with business objectives. Clearly communicate the objectives and associated accountabilities so they are understood by all, with the IT strategic options identified, structured and integrated with the business plans. Provide a holistic view of the current business and IT environment, the future direction, and the initiatives required to migrate to the desired future environment. Leverage enterprise architecture building blocks and components, including externally provided services and related capabilities to enable nimble, reliable and efficient response to strategic objectives.

Government entities should:

- **Understand enterprise direction** - Consider the current enterprise environment and business processes, as well as the enterprise strategy and future objectives. Consider also the external environment of the enterprise (industry drivers, relevant regulations, basis for competition).
- **Assess the current environment, capabilities and performance** - Assess the performance of current internal business and IT capabilities and external IT services, and develop an understanding of the enterprise architecture in relation to IT. Identify issues currently being experienced and develop recommendations in areas that could benefit from improvement. Consider service provider differentiators and options and the financial impact and potential costs and benefits of using external services.
- **Define the target IT capabilities** - Define the target business and IT capabilities and required IT services. This should be based on the understanding of the enterprise environment and requirements; the assessment of the current business process and IT environment and issues; and consideration of reference standards, good practices and validated emerging technologies or innovation proposals.
- **Conduct a gap analysis** - Identify the gaps between the current and target environments and consider the alignment of assets (the capabilities that support services) with business outcomes to optimize investment in and utilization of the internal and external asset base. Consider the critical success factors to support strategy execution.
- **Define the strategic plan and road map** - Create a strategic plan that defines, in co-operation with relevant stakeholders, how IT-related goals will contribute to the enterprise's strategic goals. Include how IT will support IT-enabled investment programs, business processes, IT services and IT assets. Direct IT to define the initiatives that will be required to close the gaps, the sourcing strategy and the measurements to be used to monitor achievement of goals, then prioritize the initiatives and combine them in a high-level road map.
- **Communicate the IT strategy and direction** - Create awareness and understanding of the business and IT objectives and direction, as captured in the IT strategy, through communication to appropriate stakeholders and users throughout the enterprise.

4.2.1 Roles and Responsibilities

Key Practices	Accountability	Responsibility	Expected Outcome
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Understand enterprise direction	<ul style="list-style-type: none"> • LOB Executives 	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Sources and priorities for changes
Assess the current environment, capabilities and performance	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Head of IT • LOB Executives 	<ul style="list-style-type: none"> • Baseline of current capabilities • Gaps and risk related to current capabilities • Capability SWOT analysis
Define the target IT capabilities	<ul style="list-style-type: none"> • IT Governance Structure 	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • High-level IT-related goals • Required business and IT capabilities • Proposed enterprise architecture changes
Conduct a gap analysis	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Head of IT • LOB Executives • Business Process Owners 	<ul style="list-style-type: none"> • Gaps and changes required to realize target capability • Value benefit statement for target environment
Define the strategic plan and road map	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Head of IT • Project Management Office 	<ul style="list-style-type: none"> • Definition of strategic initiatives • Risk assessment • Strategic roadmap
Communicate the IT strategy and direction	<ul style="list-style-type: none"> • IT Governance Structure 	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Communication plan • Communication package

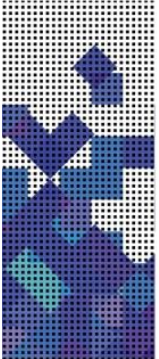
4.3 MANAGE ENTERPRISE ARCHITECTURE AND INNOVATION

Achieve competitive advantage, business innovation, and improved operational effectiveness and efficiency by exploiting information technology developments. Represent the different building blocks that make up the enterprise and their inter-relationships as well as the principles guiding their design and evolution over time, enabling a standard, responsive and efficient delivery of operational and strategic objectives.

Establish a common architecture consisting of business process, information, data, application and technology architecture layers for effectively and efficiently realizing enterprise and IT strategies by creating key models and practices that describe the baseline and target architectures. Define requirements for taxonomy, standards, guidelines, procedures, templates and tools, and provide a linkage for these components. Improve alignment, increase agility, improve quality of information and generate potential cost savings through initiatives such as re-use of building block components.

Maintain an awareness of information technology and related service trends, identify innovation opportunities, and plan how to benefit from innovation in relation to business needs. Analyze what opportunities for business innovation or improvement can be created by emerging technologies, services or IT-enabled business innovation, as well as through existing established technologies and by business and IT process innovation. Influence strategic planning and enterprise architecture decisions.

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Government entities should:

- **Maintain an understanding of the enterprise environment.** - Work with relevant stakeholders to understand their challenges. Maintain an adequate understanding of enterprise strategy and the competitive environment or other constraints so that opportunities enabled by new technologies can be identified.
- **Monitor and scan the technology environment.** - Perform systematic monitoring and scanning of the enterprise’s external environment to identify emerging technologies that have the potential to create value (e.g., by realizing the enterprise strategy, optimizing costs, avoiding obsolescence, and better enabling enterprise and IT processes). Monitor the marketplace, competitive landscape, industry sectors, and legal and regulatory trends to be able to analyze emerging technologies or innovation ideas in the enterprise context.
- **Assess the potential of emerging technologies and innovation ideas.** - Analyze identified emerging technologies and/or other IT innovation suggestions. Work with stakeholders to validate assumptions on the potential of new technologies and innovation.
- **Develop the enterprise architecture vision.** - The architecture vision provides a first-cut, high-level description of the baseline and target architectures, covering the business, information, data, application and technology domains. The architecture vision provides the sponsor with a key tool to sell the benefits of the proposed capability to stakeholders within the enterprise. The architecture vision describes how the new capability will meet enterprise goals and strategic objectives and address stakeholder concerns when implemented.
- **Define reference architecture.** - The reference architecture describes the current and target architectures for the business, information, data, application and technology domains.
- **Select opportunities and solutions.** - Rationalize the gaps between baseline and target architectures, taking both business and technical perspectives, and logically group them into project work packages. Integrate the project with any related IT-enabled investment programs to ensure that the architectural initiatives are aligned with and enable these initiatives as part of overall enterprise change. Make this a collaborative effort with key enterprise stakeholders from business and IT to assess the enterprise’s transformation readiness, and identify opportunities, solutions and all implementation constraints.
- **Define architecture implementation.** - Create a viable implementation and migration plan in alignment with the program and project portfolios. Ensure that the plan is closely coordinated to ensure that value is delivered and the required resources are available to complete the necessary work.
- **Monitor the implementation and use of innovation.** - Monitor the implementation and use of emerging technologies and innovations during integration, adoption and for the full economic life cycle to ensure that the promised benefits are realized and to identify lessons learned.

4.3.1 Roles and Responsibilities

Key Practices	Accountability	Responsibility	Expected Outcome
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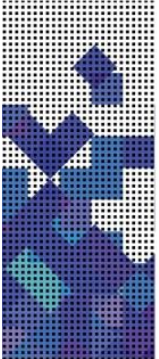


Maintain an understanding of the enterprise environment	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> Head of IT LOB Executives 	<ul style="list-style-type: none"> Innovation opportunities linked to business drivers
Monitor and scan the technology environment	<ul style="list-style-type: none"> Head of IT 	<ul style="list-style-type: none"> Head of IT Information Security Officer 	<ul style="list-style-type: none"> Innovation ideas and possibilities.
Assess the potential of emerging technologies and innovation ideas	<ul style="list-style-type: none"> Head of IT 	<ul style="list-style-type: none"> Head of IT Information Security Officer 	<ul style="list-style-type: none"> Evaluations of innovation ideas Proof-of-concept scope and outline business case Test results from proof-of-concept initiatives
Develop the enterprise architecture vision	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> Head of IT 	<ul style="list-style-type: none"> Defined scope of architecture Architecture principles Architecture concept business case and value proposition
Define reference architecture	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> Head of IT 	<ul style="list-style-type: none"> Baseline domain descriptions and architecture definition Process architecture model Information architecture model
Select opportunities and solutions	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> Head of IT 	<ul style="list-style-type: none"> High-level implementation and migration strategy Transition architectures
Define architecture implementation	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> Head of IT 	<ul style="list-style-type: none"> Resource requirements Implementation phase descriptions Architecture governance requirements
Monitor the implementation and use of innovation	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> Head of IT 	<ul style="list-style-type: none"> Assessments of using innovative approaches Evaluation of innovation benefits Adjusted innovation plans

4.4 MANAGE IT INVESTMENTS

Execute the strategic direction set for investments in line with the enterprise architecture vision and the desired characteristics of the investment and related services portfolios, and consider the

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different categories of investments and the resources and funding constraints. Evaluate, prioritize and balance programs and services, managing demand within resource and funding constraints, based on their alignment with strategic objectives, enterprise worth and risk. Move selected programs into the active services portfolio for execution. Monitor the performance of the overall portfolio of services and programs, proposing adjustments as necessary in response to program and service performance or changing enterprise priorities.

Government entities should:

- **Establish the target investment mix.** - Review and ensure clarity of the enterprise and IT strategies and current services. Define an appropriate investment mix based on cost, alignment with strategy, and financial measures such as cost and expected ROI over the full economic life cycle, degree of risk, and type of benefit for the programs in the portfolio. Adjust the enterprise and IT strategies where necessary.
- **Determine the availability and sources of funds.** - Determine potential sources of funds, different funding options and the implications of the funding source on the investment return expectations.
- **Evaluate and select programs to fund.** - Based on the overall investment portfolio mix requirements, evaluate and prioritize program business cases, and decide on investment proposals. Allocate funds and initiate programs.
- **Monitor, optimize and report on investment portfolio performance.** - On a regular basis, monitor and optimize the performance of the investment portfolio and individual programs throughout the entire investment life cycle.
- **Maintain portfolios.** - Maintain portfolios of investment programs and projects, IT services and IT assets.
- **Manage benefits achievement.** - Monitor the benefits of providing and maintaining appropriate IT services and capabilities, based on the agreed-on and current business case.

4.4.1 Roles and Responsibilities

Key Practices	Accountability	Responsibility	Expected Outcome
Establish the target investment mix	<ul style="list-style-type: none"> • IT Governance Structure 	<ul style="list-style-type: none"> • Under Secretary/CEO 	<ul style="list-style-type: none"> • Defined investment mix • Identified resources and capabilities required to support strategy • Feedback on strategy and goals
Determine the availability and sources of funds	<ul style="list-style-type: none"> • IT Governance Structure 	<ul style="list-style-type: none"> • Head of IT • LOB Executives 	<ul style="list-style-type: none"> • Funding options • Investment return expectations
Evaluate and select programs to fund	<ul style="list-style-type: none"> • IT Governance Structure 	<ul style="list-style-type: none"> • Under Secretary/CEO • Head of IT 	<ul style="list-style-type: none"> • Program business case • Business case assessments

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			<ul style="list-style-type: none"> Selected programs with ROI milestones
Monitor, optimize and report on investment portfolio performance	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> Investment portfolio performance reports
Maintain portfolios	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> IT Governance Structure PMO Office 	<ul style="list-style-type: none"> Updated portfolios of programs, services and assets
Manage benefits achievement	<ul style="list-style-type: none"> LOB Executives 	<ul style="list-style-type: none"> Head of IT Business Process Owners 	<ul style="list-style-type: none"> Benefit results and related communications Corrective actions to improve benefit realization

4.5 MANAGE IT RISKS

Continually identify, assess and reduce IT-related risk within levels of tolerance set by enterprise executive management.

Integrate the management of IT-related enterprise risk with overall ERM, and balance the costs and benefits of managing IT-related enterprise risk.

Government entities should:

- **Collect data.** - Identify and collect relevant data to enable effective IT-related risk identification, analysis and reporting.
- **Analyze risk.** - Develop useful information to support risk decisions that take into account the business relevance of risk factors.
- **Maintain a risk profile.** - Maintain an inventory of known risk and risk attributes (including expected frequency, potential impact and responses) and of related resources, capabilities and current control activities.
- **Articulate risk.** - Provide information on the current state of IT-related exposures and opportunities in a timely manner to all required stakeholders for appropriate response.
- **Define a risk management action portfolio.** - Manage opportunities to reduce risk to an acceptable level as a portfolio.
- **Respond to risk.** - Respond in a timely manner with effective measures to limit the magnitude of loss from IT-related events.

4.5.1 Roles and Responsibilities

Key Practices	Accountability	Responsibility	Expected Outcome
Collect data	<ul style="list-style-type: none"> Head of IT 	<ul style="list-style-type: none"> Head of IT Business Process Owner 	<ul style="list-style-type: none"> Data on the operating environment relating to risk

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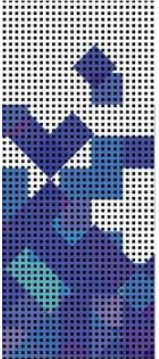
		<ul style="list-style-type: none"> • PMO Office • Information Security Officer 	<ul style="list-style-type: none"> • Data on risk events and contributing factors • Emerging risk issues and factors
Analyze risk	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Head of IT • Business Process Owner • PMO Office • Information Security Officer 	<ul style="list-style-type: none"> • Scope of risk analysis efforts • IT risk scenarios • Risk analysis results
Maintain a risk profile	<ul style="list-style-type: none"> • IT Governance Structure 	<ul style="list-style-type: none"> • Head of IT • Business Process Owner • PMO Office • Information Security Officer 	<ul style="list-style-type: none"> • Documented risk scenarios by line of business and function • Aggregated risk profile, including status of risk management actions
Articulate risk	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Head of IT • Business Process Owner • PMO Office • Information Security Officer 	<ul style="list-style-type: none"> • Risk analysis and risk profile reports for stakeholders • Review results of third-party risk assessments • Opportunities for acceptance of greater risk
Define a risk management action portfolio	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Head of IT • Business Process Owner • PMO Office • Information Security Officer 	<ul style="list-style-type: none"> • Project proposals for reducing risk
Respond to risk	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Head of IT • Business Process Owner • PMO Office • Information Security Officer 	<ul style="list-style-type: none"> • Risk-related incident response plans • Risk impact communications • Risk-related root causes

4.6 MANAGE PROGRAM AND PROJECTS

Manage all programs and projects from the investment portfolio in alignment with enterprise strategy and in a coordinated way. Initiate, plan, control, and execute programs and projects, and close with a post-implementation review.

Realize business benefits and reduce the risk of unexpected delays, costs and value erosion by improving communications to and involvement of business and end users, ensuring the value and

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quality of project deliverables and maximizing their contribution to the investment and services portfolio.

Government entities should:

- **Maintain a standard approach for program and project management.** - Maintain a standard approach for program and project management that enables governance and management review and decision-making and delivery management activities focused on achieving value and goals (requirements, risk, costs, schedule, and quality) for the business in a consistent manner.
- **Initiate a program.** - Initiate a program to confirm the expected benefits and obtain authorization to proceed. This includes agreeing on program sponsorship, confirming the program mandate through approval of the conceptual business case, appointing program board or committee members, producing the program brief, reviewing and updating the business case, developing a benefits realization plan, and obtaining approval from sponsors to proceed.
- **Manage stakeholder engagement.** - Manage stakeholder engagement to ensure an active exchange of accurate, consistent and timely information that reaches all relevant stakeholders. This includes planning, identifying and engaging stakeholders and managing their expectations.
- **Monitor, control and report on the program outcomes.** - Monitor and control program (solution delivery) and enterprise (value/outcome) performance against plan throughout the full economic life cycle of the investment. Report this performance to the program steering committee and the sponsors.
- **Manage program and project risk.** - Eliminate or minimize specific risk associated with programs and projects through a systematic process of planning, identifying, analyzing, responding to, and monitoring and controlling the areas or events that have the potential to cause unwanted change. Risk faced by program and project management should be established and centrally recorded.
- **Monitor and control projects.** - Measure project performance against key project performance criteria such as schedule, quality, cost and risk. Identify any deviations from the expected. Assess the impact of deviations on the project and overall program, and report results to key stakeholders.
- **Close a project or iteration.** - At the end of each project, release or iteration, require the project stakeholders to ascertain whether the project, release or iteration delivered the planned results and value. Identify and communicate any outstanding activities required to achieve the planned results of the project and the benefits of the program, and identify and document lessons learned for use on future projects, releases, iterations and programs.
- **Close a program.** - Remove the program from the active investment portfolio when there is agreement that the desired value has been achieved or when it is clear it will not be achieved within the value criteria set for the program.

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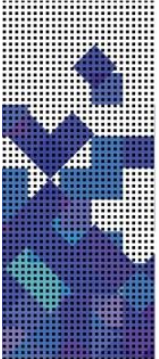
4.6.1 Roles and Responsibilities

Key Practices	Accountability	Responsibility	Expected Outcome
Maintain a standard approach for program and project management	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> Head of IT LOB Executives 	<ul style="list-style-type: none"> Updated program and project management approaches
Initiate a program	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> PMO Office LOB Executives 	<ul style="list-style-type: none"> Program concept business case Program mandate and brief Program benefit realization plan
Manage stakeholder engagement	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> Head of IT LOB Executives 	<ul style="list-style-type: none"> Stakeholder engagement plan Results of stakeholder engagement effectiveness assessments
Monitor, control and report on the program outcomes	<ul style="list-style-type: none"> LOB Executives 	<ul style="list-style-type: none"> PMO Office Head of IT 	<ul style="list-style-type: none"> Results of program performance reviews Stage-gate review results
Manage program and project risk	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> PMO Office Head of IT LOB Executives 	<ul style="list-style-type: none"> Project risk management plan Project risk assessment results Project risk register
Monitor and control projects	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> PMO Office Head of IT Business Process Owners 	<ul style="list-style-type: none"> Project performance criteria Project progress reports Agreed-on changes to project
Close a project or iteration	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> PMO Office 	<ul style="list-style-type: none"> Post-implementation review results Project lessons learned Stakeholder project acceptance confirmations
Close a program	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> PMO Office 	<ul style="list-style-type: none"> Communication of program retirement and ongoing accountabilities

4.7 MANAGE IT SERVICE DELIVERY

Align IT-enabled services and service levels with enterprise needs and expectations, including identification, specification, design, publishing, agreement, and monitoring of IT services, service

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levels and performance indicators. Ensure that IT services and service levels meet current and future enterprise needs.

Government entities should:

- **Identify IT services.** - Analyze business requirements and the way in which IT-enabled services and service levels support business processes. Discuss and agree on potential services and service levels with the business, and compare them with the current service portfolio to identify new or changed services or service level options.
- **Catalogue IT-enabled services.** - Define and maintain one or more service catalogues for relevant target groups. Publish and maintain live IT-enabled services in the service catalogues.
- **Define and prepare service agreements.** - Define and prepare service agreements based on the options in the service catalogues. Include internal operational agreements.
- **Monitor and report service levels.** - Monitor service levels, report on achievements and identify trends. Provide the appropriate management information to aid performance management.
- **Review service agreements and contracts.** - Conduct periodic reviews of the service agreements and revise when needed.

4.7.1 Roles and Responsibilities

Key Practices	Accountability	Responsibility	Expected Outcome
Identify IT services	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • LOB Executives • Business Process Owners • Head of IT 	<ul style="list-style-type: none"> • Identified gaps in IT services to the business • Definitions of standard services
Catalogue IT-enabled services	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • LOB Executives • Business Process Owners • Head of IT 	<ul style="list-style-type: none"> • Service catalogues
Define and prepare service agreements	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • LOB Executives • Business Process Owners • Head of IT 	<ul style="list-style-type: none"> • Service level agreements (SLAs) • Operational level agreements (OLAs)
Monitor and report service levels	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Business Process Owners • Head of IT 	<ul style="list-style-type: none"> • Service level performance reports • Improvement action plans and remediation
Review service agreements and contracts	<ul style="list-style-type: none"> • LOB Executives 	<ul style="list-style-type: none"> • Head of IT 	<ul style="list-style-type: none"> • Updated SLAs

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4.8 MANAGE INFORMATION SECURITY

Define, operate and monitor a system for information security management. Keep the impact and occurrence of information security incidents within the enterprise's risk appetite levels.

Government entities should:

- **Establish and maintain an information security management system (ISMS).** - Establish and maintain an ISMS that provides a standard, formal and continuous approach to security management for information, enabling secure technology and business processes that are aligned with business requirements and enterprise security management.
- **Define and manage an information security risk treatment plan.** - Maintain an information security plan that describes how information security risk is to be managed and aligned with the enterprise strategy and enterprise architecture. Ensure that recommendations for implementing security improvements are based on approved business cases and implemented as an integral part of services and solutions development, then operated as an integral part of business operation.
- **Monitor and review the ISMS.** - Maintain and regularly communicate the need for, and benefits of, continuous information security improvement. Collect and analyze data about the ISMS, and improve the effectiveness of the ISMS. Correct non-conformities to prevent recurrence. Promote a culture of security and continual improvement.

4.8.1 Roles and Responsibilities

Key Practices	Accountability	Responsibility	Expected Outcome
Establish and maintain an information security management system (ISMS)	<ul style="list-style-type: none"> • Information Security Officer 	<ul style="list-style-type: none"> • Information Security Officer • Heat of IT 	<ul style="list-style-type: none"> • ISMS policy • ISMS scope statement
Define and manage an information security risk treatment plan	<ul style="list-style-type: none"> • Information Security Officer 	<ul style="list-style-type: none"> • Information Security Officer • Heat of IT 	<ul style="list-style-type: none"> • Information security risk treatment plan • Information security business cases
Monitor and review the ISMS	<ul style="list-style-type: none"> • Information Security Officer 	<ul style="list-style-type: none"> • Information Security Officer • Heat of IT 	<ul style="list-style-type: none"> • ISMS audit reports • Recommendations for improving the ISMS

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4.9 MANAGE IT PERFORMANCE

Provide transparency of performance and conformance and drive achievement of goals. Collect, validate and evaluate business, IT and process goals and metrics. Monitor that processes are performing against agreed-on performance and conformance goals and metrics and provide reporting that is systematic and timely.

Government entities should:

- **Establish a monitoring approach.** - Engage with stakeholders to establish and maintain a monitoring approach to define the objectives, scope and method for measuring business solution and service delivery and contribution to enterprise objectives. Integrate this approach with the corporate performance management system.
- **Set performance and conformance targets.** - Work with stakeholders to define, periodically review, update and approve performance and conformance targets within the performance measurement system.
- **Collect and process performance and conformance data.** - Collect and process timely and accurate data aligned with enterprise approaches.
- **Analyze and report performance.** - Periodically review and report performance against targets, using a method that provides a succinct all-around view of IT performance and fits within the enterprise monitoring system.
- **Ensure the implementation of corrective actions.** - Assist stakeholders in identifying, initiating and tracking corrective actions to address anomalies.

4.9.1 Roles and Responsibilities

Key Practices	Accountability	Responsibility	Expected Outcome
Establish a monitoring approach	<ul style="list-style-type: none"> IT Governance Structure 	<ul style="list-style-type: none"> Head of IT LOB Executives 	<ul style="list-style-type: none"> Monitoring requirements Approved monitoring goals and metrics
Set performance and conformance targets	<ul style="list-style-type: none"> LOB Executives 	<ul style="list-style-type: none"> Business Process Owners Head of IT 	<ul style="list-style-type: none"> Monitoring targets
Collect and process performance and conformance data	<ul style="list-style-type: none"> Head of IT 	<ul style="list-style-type: none"> Business Process Owners Head of IT 	<ul style="list-style-type: none"> Processed monitoring data
Analyze and report performance	<ul style="list-style-type: none"> LOB Executives 	<ul style="list-style-type: none"> Business Process Owners Head of IT 	<ul style="list-style-type: none"> Performance reports
Ensure the implementation of corrective actions	<ul style="list-style-type: none"> Head of IT 	<ul style="list-style-type: none"> Business Process Owners Head of IT 	<ul style="list-style-type: none"> Remedial actions and assignments Status and results of actions

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