Introduction

Enterprise Systems (ESs) are software applications that have broad institutional impact and support campus-wide administrative and academic functions. These systems typically address information management needs. They consist of business rules and business processes made operational through application-layer software. They rely for integration, performance and security on the underlying networks, systems, storage and presentational layers.

There are few if any aspects of University business which are not critically dependent on ESs. The need for a governance framework and management responsibilities that ensure security, availability, and integrity follows. The complexity of design and the cost of implementation drive the associated accountability and planning responsibilities.

Operational benefits such as improved efficiency; faster response times and enabled clients, can be diluted through organisational barriers, resistance to change and/or a lack of consultation and education. Governance has to extend to these issues and management has to mount programs to ensure benefits are realised.

This document describes a framework for governance and management surrounding Enterprise Systems, from a broad University perspective. It compliments and depends upon the delegations and responsibilities of senior managers and the companion framework for managing risk and determining institutional responsibilities.

Principles:

Governance and management arrangements for ESs are required to give the University confidence that:

- risks are identified and managed;
- business rules and processes are tightly coupled to purposes;
- a clear information model exists;
- documentation is comprehensive;
- University information has integrity and is preserved;
- systems are available, robust and secure;
- operational responsibility and authority are clearly assigned;
- performance is monitored;
- systems are responsive;
- effective planning processes are in place.

Management Structure:

- Business rules and processes are clustered around key business areas;
- Responsibility for a cluster of business processes assigned to the Director (the cluster owner) of an associated area;
- Responsibility for the systems, their implementation and operation, is assigned to Director, Corporate Information Systems;
- For each cluster a Business Solutions Group (BSG function) is established under the direction of the owner and a Systems Support Group (SSG function) is established under the Director, CIS;
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- For each cluster an Operations Management Group (OMG) is established, co-chaired by the owner Director and the Director, CIS.

The roles of these three groups are:

  o **Business Solutions Group**
    The role of the Business Solutions Group is to provide the operational support of business processes within the relevant cluster. These will include:
    - On going business process review
    - Drafting proposals to support new and improved functionality
    - Preparation of system change requests
    - Validation of data integrity
    - Change and communication management
    - Systems acceptance testing and quality assurance
    - Training and implementation, and
    - Documentation.

  o **Systems Support Group**
    This group, established by the Director CIS, will provide operational support for systems:
    - access and security
    - performance
    - maintenance
    - integration
    - conversion
    - upgrades
    - testing
    - monitoring, and
    - documentation.

  o **Operations Management Group**
    The Operations Management Group will oversight cluster services to ensure quality business and information processes are being delivered. This oversight will include:
    - Determining future priorities;
    - Supporting and approving changes to business processes;
    - The identification and mitigation of risk;
    - In conjunction with the Director CIS, establish appropriate management of:
      → change;
      → business processes;
      → resources.

- For new clusters or for major changes to existing clusters or their implementations, a Major Change Steering Committee is established with the following role:
4. Management Processes

These include:

- **Day-to-day operations**
  - Systems monitoring
  - Production scheduling
  - Database administration and tuning
  - Helpdesk services
  - Migration between operational and development environments
  - Application of patches and fixes
  - Testing and quality control
  - Documentation/version control

- **Security**
  - Update and maintenance of access controls
  - Application specific security
  - Role-based security (profiles)

- **Minor change**
  - Coding and application of change requests
  - Testing and acceptance of changes
  - Migration of approved changes to production

- **Major change**
  - Changes resulting from structural adjustments (college initiative)
  - Associated resources implications
  - Preparation of proposals and associated business cases to support major change

- **Reporting**
  - Reporting against performance measures
  - Reporting against audit recommendations/reviews
  - Reporting against statutory requirements

- **Risk**
  - Identify risks
  - Plan for risk mitigation

5. Resource Issues

The establishment of a funding model that supports the development and life extension of enterprise systems is fundamental to their management. Typically:
Division of Information

- The BSG role is resourced within the budget of the owner Director's area, based on annualised system support estimates. DoI resource the corresponding SSG role.
- Software licensing and Vendor costs are carried by DoI for registered applications.
- Major change commitments are carried by a Project resourced by the University at the time of commitment to the change;
- Platform (back-office) costs are carried by DoI;
- Life-cycle and life-extension analyses are used by the University to provide for future major change cost where prudent to do so;
- Education and training costs are carried by DoI or the owner Director's area depending on content (business processes or technical skills etc).
Funding Major Change

Background

1. Recently the University moved from funding major changes to enterprise systems through a rolling asset management model to a ‘one-off’ funding model affecting both major business reengineering and technology uplift driven changes. This change brings with it the need for a revised approval process. This paper is forms part of the Enterprise Systems Governance documentation.

Context

1. Business reengineering changes improve the match between the enterprise systems University business processes.
2. Technology uplift changes improve technology platforms to ensure stability of business processes.
3. Technology uplift and business reengineering are often incorporated in a single plan to take advantage of their interdependencies.
4. Changes requiring substantial resources in addition to those available from normal budget units are designated ‘major’.
5. The Enterprise Systems Management Framework sets out the process for bringing change proposals forward.
6. The ‘Business Owner’ is responsible for business reengineering, and Director, CIS is responsible for technology uplift.
7. To assist in anticipating major changes, the Business Owners maintain individual plans setting out multi-year forecasts of change.

Principles

1. Major technology uplift change to be based on systems cost and risk to the University of not making the change.
2. Major business reengineering change to be based on:
   a. solving pressing problems;
   b. ensuring University objectives can be met in a timely way;
   c. realising potential efficiencies;
   d. estimated returns viewed as an ‘investment’
   e. CASPC endorsement with respect to scope, priority and integration.

Process

1. Proposals for funding technology uplift to be prepared by the Dir. CIS, for business reengineering by the Business Owner(s) and where change involves both, the two aspects should be clearly identified within a single proposal coordinated by the Director CIS.
2. Approval in principle for funding should be sought as early in the planning process as practicable.
3. Proposals, accompanied by a detailed project plan, to be submitted to the Pro Vice-Chancellor and Director, Policy and Planning (Resources) for recommendation to the Vice-Chancellor, taking the broader University context into account.
The Enterprise Systems Management Framework is endorsed by the following:

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<thead>
<tr>
<th>Name (Position)</th>
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<tbody>
<tr>
<td>David Sturgiss (Director, Finance and Business Services)</td>
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<td>Ian McMahon (Director, Research Office)</td>
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<td>Ron Watts (Director, Human Resources)</td>
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<td>Tim Beckett (Director, Student Academic Services)</td>
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<td>Rick Van Haeften (Director, Corporate Information Services)</td>
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