

# Governance Model

Automated Briefing and  
Correspondence

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# Introduction

## Background

Briefing and correspondence are important aspects of how the government makes decisions, communicates and engages.

The [Victorian Government's Information Technology Strategy 2016-2020](#) called for the development of a statement of direction (SOD) to streamline, automate and digitalise briefing and correspondence approval processes, incorporate digital document management and create clear accompanying data on the authority and status of documents.

During an assessment performed in 2017 it was determined that the current briefing and correspondence templates, processes and systems were inconsistent, complicated, resource intensive and time-consuming and seen as:

- compromising the ability to be responsive
- complex and resource intensive
- preventing knowledge and capability portability (between organisations)
- reducing the reliability of captured records
- creating an administrative burden, version control and duplication issues (due to hardcopy documents, physical (or wet) signatures manual to semi-automatic processes).

The [Automated Briefing and Correspondence Statement of Direction](#) (ABC SOD)<sup>1</sup> identifies the need for a Whole of Victorian Government (WOVG) governance model (including business rules), common process and common templates to drive digitisation and automation, standardise and improve practice, and ensure a co-ordinated approach to the control and management of briefs and correspondence (B&C) processes and systems.

A co-ordinated approach to the control and management of B&C processes and systems will:

- increase the government's productivity, responsiveness and compliance
- reduce the time it takes to administer and approve briefs and correspondence
- help the government in its transition to a digital workplace by reducing the government's dependency on hardcopy and manual processes
- reduce the impact of caretaker period, machinery of government and executive and ministerial preferences.

The ABC SOD identified that while there are variations in each department's processes, there is also a high degree of commonality and potential for a consistent WOVG approach. Common processes and digitisation will reduce the government's dependence on hardcopy records and semi-manual briefing and correspondence processes and remove current inefficiencies and redundancies through process reengineering (rather than just putting manual processes online) and the digitalisation and automation of workflows and approval processes.

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<sup>1</sup> Approved by the Victorian Secretaries Board in August 2017.

## Purpose of this document

This document details the proposed governance model for the implementation of the WOVG briefing and correspondence common process, business rules and common templates (and down-the-track the operation of a common ABC system).

The document works its way through Vision and Objectives before detailing the structures, relationships, roles and responsibilities of the governance model.

The intended audience is any stakeholder responsible for B&C people, process and technology.

## Scope of the ABC Governance Model

The automated briefing and correspondence governance model (the governance model) outlines the governance structure, roles, relationships, accountabilities, responsibilities and reporting lines. It re-iterates approved objectives and expands on directions regarding automation (workflow), digitisation (digital records), digitalisation (end-to-end digital processes), digital versus manual notation, approval and delegation, and monitoring and reporting of operational status and performance for briefing and correspondence and a WOVG briefing and correspondence system.

The governance model applies to:

- **Briefs:** a preparation of advice for decision by at least the next level up (in the department, Minister or Cabinet). Brief types include standard; event; correspondence response; regulatory; cabinet; adjournment debate and cabinet submission.
- **Parliamentary questions:** includes possible parliamentary questions, questions on notice; questions without notice; constituency questions. All parliamentary questions are considered a form of brief.
- **Correspondence:** hardcopy and electronic correspondence that is from entities external to the receiving department that requires a response. This correspondence could be addressed to the Premier, Minister, secretary or department from someone outside the department.



It should be noted that initially Cabinet briefs and parliamentary questions will not be in-scope for the governance model or the WOVG ABC Governance Group (see WOVG ABC Group below).

## Derivation, scope, glossary and approach

### Derivation

This governance model is derived from the Automated Briefing and Correspondence Statement of Direction.

## Scope of applicability

All departments and Victoria Police, referred to collectively as ‘departments’, are formally in-scope. While not required, the standard may be adopted by agencies and partner organisations, if desired.

## Glossary

The glossary of terms and abbreviations used in this document are defined in the Automated Briefs and Correspondence Glossary.

**ABC:** The use of the abbreviation ‘ABC’ for Automated Briefs and Correspondence generally refers to the proposed operational model. This operational model includes the governance and operational structures and staff; policies, standards, guidelines, common processes, common templates and any ICT solutions or products used by departments.

**ABC Governance Model:** Where distinction is required between the proposed ABC operational system and the ABC Governance Model, reference is made specifically to the ABC Governance Model.

**B&C:** A further distinction is drawn between the proposed ABC system itself, and the document elements that the ABC is intended to manage. That is, the briefs and correspondence that are currently managed by the departments are referred to collectively as B&C.

## Approach

This governance model is based on the Australian Standard AS ISO/IEC 38500:2016 Information technology - Governance of IT for the organization. Further, it proposes a structure that makes use of existing governance bodies and a set of enablers that facilitate the delivery of the objectives.

# ABC Vision and Objectives

## Vision

“Briefings and correspondence are managed using a common modern system and consistent processes, improving quality and reducing overhead”

Automated Briefing and Correspondence Statement of Direction (ABC SOD), August 2017

## Business objectives

The ABC SOD defines the following business objectives:

- Improve briefing and correspondence processes, efficiency and effectiveness.
- Increase cross-government productivity through the use of a common system, governance model, and consistent formats and processes.

- Reduce the government's dependency on hardcopy and manual briefing and correspondence processes through digitalisation and automation of workflows and approval processes.
- Increase records management compliance and reduce the cost of hard-copy storage of temporary and permanent records.
- Provide the ability to monitor, manage and report on briefs and correspondence to determine real-time status.
- Increase the government's responsiveness by reducing the time it takes to administer and approve government briefs and correspondence.
- Reduce caretaker period and machinery of government transfer costs through consistent and easily-transferred digital storage and access to briefs and correspondence.
- Improve usability and enable mobile-device delivery through a Software-as-a-Service delivery model (cloud computing).
- Mitigate the need for multiple procurements by each department; realising economies of scale, a reduction in deployment timeframes, and avoiding costly upgrade projects to on-premise installations.
- Provide an implementation approach that does not require all departments to move at once (no 'big bang' project) and instead allows staged adoption when departments are ready.

## ABC Enablers

The ABC SOD vision and business objectives have been translated into a set of enablers that outline functional elements and capability required, including:

1. **Commitment** – the government is committed to the ABC programme (as confirmed by the approved ABC SOD) and effective governance by people at all levels of government across all departments.
2. **Roles and responsibilities** – accountabilities are clearly understood within roles and responsibilities (governance and operational) at the departmental and WOVG levels.
3. **Monitoring and reporting within departments** - regular monitoring, assessment and reporting is undertaken within departments to determine real-time status and identify performance improvement opportunities.
4. **Digital end-to-end** - information is managed digitally, with the digital record the official record, within a digital, end-to-end workflow.
5. **Consistency of process** - there are common processes, business rules and templates to drive a uniform approach and outcomes within and across departments.
6. **Resourcing, capability and support** - there is an adequate level of qualified resources for departments to meet agreed outcomes and standards.
7. **Risk management** - risks are identified, assessed, managed and escalated to appropriate governance or operational roles.

8. **Change control** – only approved change to ABC is implemented - in a controlled and managed fashion.

## Enabler 1 – commitment

The government is committed to the ABC programme (as confirmed by the VSB approved ABC SOD) and effective governance by people at all levels of government across all departments.

### **Rationale:**

The 2010 Australian National Audit Office (ANAO) publication titled [Effective Cross-Agency Agreements](#) stated that successful across government initiatives commonly had a documented agreement (e.g. a memorandum of understanding (MOU)) but “the success of cross-agency arrangements is often dependent on relationship management and the good will and cooperation of the respective parties”.

Therefore, the stakeholders of the ABC governance model should proactively promote the intent and the benefits of the ABC (e.g. a philosophy and strategy of continuous improvement in ABC governance performance is adopted) to drive rapid uptake and adherence to common process and templates.

### **Implications:**

- Promotion of a cultural shift. A communication program is developed for, and executed by, the key governance stakeholders to underscore the benefits and other critical messages to the department and individuals, of the new approach.
- Uptake rate and performance requirements for the common processes are incorporated into performance management planning.

## Enabler 2 – roles and responsibilities

Accountabilities are clearly understood within roles and responsibilities (governance and operational) at the departmental and WOVG levels.

### **Rationale:**

Stakeholders need to understand what they are accountable for within the common roles and responsibilities needed to drive the governance and operation of ABC within their own department, other departments and at the WOVG level.

- Productivity is maintained:
  - During changes of machinery of government. That is, as business units and sections moving to new departments, B&C execution will be almost precisely as it was before the move. The need to relearn B&C will be minimal.
  - When individuals involved in B&C move to other business units and departments. That is, common roles and responsibilities minimise learning curves and increase the portability of knowledge.
  - As the influence of executive and ministerial preferences is greatly reduced. That is, there is little scope to increase or decrease the already defined and approved roles,



responsibilities and accountabilities without resorting to proposing change via the common governance process.

- Accountability for legislative, regulatory and administrative compliance is highlighted.
- Ensures the separation of duties between the government and the public sector. That is, the integrity of briefing and the authority of the public sector's position is safeguarded by clearly outlining the role of the public sector (as authoring and owning B&C), and the government (as approving or rejecting recommendations or advice).

**Implications:**

- The governance structure, its positions and roles are clearly defined and communicated.
- The relationships between the governance entities are understood, as are escalation thresholds and processes (particularly for risk and issue management).
- Common processes and templates are developed enabling the operational roles to be fully defined.

## Enabler 3 – monitoring and reporting within departments

Regular monitoring, assessment and reporting is undertaken within departments to determine real-time status and identify performance improvement opportunities.

**Rationale:**

Responsiveness and productivity are improved:

- By being able to determine real-time status. That is, prompts and or reminders can be sent to people who are slow to respond to or deal with B&C.
- By identifying performance improvement opportunities. That is, if there are consistent delays at specific points in the process then these can be identified, and steps taken to address the problem.
- By being able to confirm compliance.

**Implications:**

- Identification of and compliance with applicable legislation, administrative regulation and cabinet directives.
- WOVG policies, standards and guidelines are developed. These will include (within standards) the definition of:
  - key performance indicators (KPIs) and tolerances such that departments can readily identify opportunities for improvement
  - departmental reporting format and frequency.
- Non-conformance reporting, and escalation mechanisms are defined (incl. roles and responsibilities).
- Issue investigation and corrective action mechanisms are defined.

## Enabler 4 – digital end-to-end

Information is managed digitally, with the digital record the official record, within a digital end-to-end workflow.

### **Rationale:**

- Responsiveness and productivity are improved:
  - by reducing the need to ‘walk the document’ around (the office and or the city) to obtain input or approval
  - with greater flexibility of (authorised) access. That is, by being able to access and process B&C on iPads, ‘phones and laptops, people could then work outside of the constraints of being in the office or in physical proximity to their colleagues
  - by allowing quick access to relevant historical and current documents
  - by reducing multiple points of handling
  - by allowing real-time tracking of B&C. That is, in real-time, the current state and location of a document can be viewed.
- Reduces the administrative burden, cost and environmental impact of paper and managing hardcopy records.
- Improves information security by embedding WOVG information security standards (e.g. password standards, ensuring only authorised people can access and perform particular functions).
- Increases the potential for cross government collaboration and co-production.
- Enhances the separation of duties between the government and the public sector. That is, digital end-to-end workflow in conjunction with defined roles and responsibilities mean that the government’s role in B&C can be more clearly delineated and monitored.
- Where a common, cloud-based ICT approach is adopted by departments, further efficiencies accrue as the consistent technology approach drives:
  - standardised contracts (reduced contract management and procurement costs)
  - licence cost reductions (more licence numbers push the government to demand lower per-unit licence costs)
  - (potentially) common support arrangements (e.g. help desk)
  - further productivity gains as the common interface reduces learning curves for new starters and machinery of government changes
  - reduced costs associated with system upgrades, modifications and interfacing (e.g. no more multiple, department-based development of interfaces to departmental TRIM)
  - improves security via a common, higher level profile (including common Identity and Access Management)
  - improves, and makes more consistent, compliance to legislation and regulation
  - supports greater consistency of work practice (process and template use).

### **Implications:**

- End-to-end workflow (digitalisation) is implemented. This is highly related to understanding the roles and responsibilities as these are effectively enforced within a digital environment.

- Hardcopy to digital conversion (digitisation) is implemented. Retrospective digitisation only occurs where there is a business need.
- Transition from physical (wet) to electronic approval and signatures.
- The official record for B&C is digital.
- Adequate support arrangements are defined and put in place (e.g. departmental help desk).
- In order to move to a common, cloud-based ICT approach across departments:
  - Nomination of a target ICT system by WOVG
    - A department becoming a lead by adopting the target ICT system
    - Nomination of a target ICT system by WOVG
    - Establishment of a state purchasing contract covering the target ICT system, contractual, procurement and support arrangements.
- cohesive management of metadata.

## Enabler 5 – consistency of process

There are common processes, business rules and templates to drive a uniform approach and outcomes within and across departments.

### Rationale:

- Productivity is improved:
  - by promoting consistent and better practice. That is, better practice embodied in common processes business rules, common terminology and common templates will reduce complexity and resource intensiveness (e.g. reduces the burden and time delays associated with multiple edits, format changes etc.).
  - during changes of machinery of government. That is, as business units and sections moving to new departments, B&C execution will be almost precisely as it was before the move. The need to learn a different B&C process and or use different templates will be minimal.
  - when individuals involved in B&C move to other business units and departments. That is, common processes, embedded business rules and templates minimise learning curves and increase the portability of knowledge.
  - as there is reduced scope to change already defined and approved processes without resorting to proposing change via the common governance process. That is, the integrity of briefing and the authority of the public sector’s position is safeguarded by clearly outlining the role of the public sector (as authoring and owning B&C), and the government (as approving or rejecting recommendations or advice).
- Increases cross government collaboration and co-production.
- Enhances the separation of duties between the government and the public sector. That is, common processes and business rules highlight where the cross-over is from the public sector to the government.
- Accountability for legislative, regulatory and administrative compliance is highlighted, by embedding compliance in the business process via common business rules.

### Implications:

- Common processes are used by all departments.
- Common and specific roles / functions are defined for the end-to-end execution of the common processes (e.g. author, endorser, approver etc.).
- Common templates (once defined – out of scope of this project). Common templates will further enhance productivity as familiarity with forms as well as process, will reduce time for completion and learning curves.
- Common terminology is defined and used. That is, a Brief which is prepared for the Minister should be called by the same name within and across departments (e.g. a Ministerial Brief).
- Training and support material including guides, are developed.

## Enabler 6 – resourcing, capability and support

There is adequate level of qualified resources for departments to meet agreed outcomes and standards.

### Rationale:

- As a key and underpinning enabling function, the Enablers assume that departments will have adequate, trained and skilled resources to operate the ABC and achieve agreed outcomes and standards. Further, that these resources are supported with adequate reference material.

### Implications:

- Departmental (and WOVG) common functions (potentially multiple functions per Role) are defined.
- Competency requirements (and accompanying training and education options) are to be defined for all governance and operational roles. This includes the WOVG Operational Management role, as well as Centralised Departmental coordination role and the roles within the common processes.
- Common process design and the setting of tolerances for performance against KPI's include resourcing assumptions (i.e. tolerances, Standards etc. may have an impact on resourcing).
- Training and support material including guides, are developed.

## Enabler 7 – risk management

Risks are identified, assessed and escalated to appropriate governance or operational roles.

Risks to be covered by the ABC risk management activities include:

- ABC governance risks
- ABC operational (process) risks
- Note that ABC content risks, (e.g. political risks) would continue to be managed by departments.

### Implications:

- Risks are proactively identified and managed – in most cases by the centralised departmental coordinator within each department.

- Risk management (including processes and templates) is defined.
- Governance bodies have a recurrent agenda item on risk and issue status.

## Enabler 8 – change control

Only approved change to ABC is implemented - in a controlled and managed fashion.

### Implications:

- Change management process is defined and implemented.
- Change management covers:
  - External to ABC generated change, (e.g. new, amended or removed legislation or cabinet directive)
  - Internal to ABC generated change, (e.g. department requested functional enhancement)

## Governance Structure

As outlined earlier, one of the key underpinning Enablers for the ABC is clarity around roles and responsibility in governance and operation – both within departments and at the WOVG level.

This section details the proposed Governance Structure, its constituent bodies and their individual scope, accountabilities, function and membership – such that the required clarity is achieved.

The proposed Governance structure acknowledges and makes use of existing structures and their current accountabilities, whilst also introducing new governance bodies specific for the ABC purpose, as well as supporting operational roles.

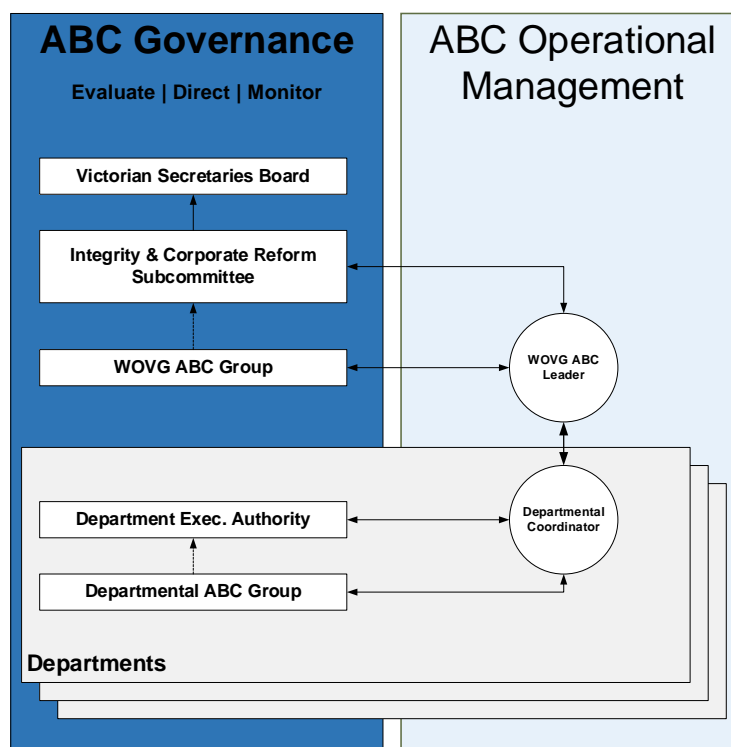


Figure 1 - ABC Governance Structure

In broad terms:

- As the current 'owner' of the ABC SOD, the Victorian Secretaries' Board (VSB) will approve the ABC governance model, the common processes, policies and standards.
- The VSB will delegate accountability for the ABC (i.e. the ABC SOD, ABC governance model, the common processes, policies and standards etc.), to its subcommittee, the Integrity and Corporate Reform Subcommittee (ICRS).
- The ICRS will own all elements of the ABC (that is, governance itself, the ABC SOD, policies, standards and guidelines, common processes and templates etc.). The ICRS has an approval function for all the elements it owns, as well as for changes to these elements.
- Recommendations are brought to the ICRS after consideration and endorsement by the WOVG ABC Group. This group takes a WOVG perspective, whilst at the same time being cognisant of departmental impacts.
- Coordination of this activity and administrative support for the WOVG ABC Group is provided by the WOVG Coordinator.
- The centralised Departmental Executive Authority ensures conformance to the ICRS owned Governance Model, Policies and Standards, as well as the common processes and templates.
- Recommendations are brought to the centralised Departmental Executive Authority after consideration and endorsement by the Departmental ABC Group. This group takes a Departmental perspective, whilst at the same time being cognisant of Business Unit impacts.
- The centralised Departmental Coordinator monitors departmental performance and reports conformance or otherwise to the Departmental Executive Authority, as well as supplying administrative support to the Departmental ABC Group.
- The Operational Support Roles liaise with each other to identify, and coordinate the progression of, changes and improvements to appropriate levels within the ABC Governance Structure.

The rest of this section specifies the governance bodies that make up the governance structure, as well as each governance body's scope, function and composition.

The governance structure includes:

- Governance bodies (Board/Committee)
  - Victorian Secretaries Board (VSB) (existing body)
  - VSB Integrity and Corporate Reform Subcommittee (existing body)
  - WOVG ABC Group (new body)
  - Departmental Executive Authority (probably an existing body – for example, one executive or the Executive Leadership Team)
  - Departmental ABC Group (new body)
- Coordination / management Roles
  - WOVG ABC Leader
  - Departmental ABC Coordinator.

## Victorian Secretaries' Board

The Victorian Secretaries' Board comprises the Secretaries of each department, the Chief Commissioner of Police and the Victorian Public Sector Commissioner. The board is chaired by the Secretary of the Department of Premier and Cabinet.

The Victorian Secretaries Board authorised the ABC SOD and it is assumed that the Board will define and delegate the authority to the VSB Integrity and Corporate Reform Subcommittee (ICRS).

## VSB Integrity and Corporate Reform Subcommittee

The ICRS will be delegated the authority from the VSB directing the governance and operation of the ABC governance model and the implementation of the ABC SOD.

### **ABC Scope:**

- By delegation from the VSB, the ICRS is accountable for the implementation and operation of the ABC.
- Under this delegation, the ICRS is the owner of:
  - ABC SOD.
  - ABC governance model.
  - ABC common processes and templates.
  - WOVG ABC change process.
  - ABC policies and standards.
- Driving criteria is the delivery against WOVG ABC objectives and realising WOVG ABC benefits.

### **ABC Function:**

- Approves, endorses (up to VSB) or notes presented material.
- Considers WOVG perspective of owned elements.

## WOVG ABC Group

The WOVG ABC Group is to identify and develop recommendations regarding the governance and operation of the ABC governance model and the implementation of the ABC SOD.

### **Status:**

- To be implemented as a stand-alone ABC group.

### **Scope:**

- Responsible for the development, implementation and operation of the ABC governance model and the Automated Briefing and Correspondence Statement of Direction.
- The Owner of:
  - ABC guidelines.
- Endorses and presents recommendations to the ICRS regarding changes to:

- Governance Model.
- Common Processes.
- WOVG ABC change process.
- ABC policies and standards.
- Approve changes to:
  - ABC guidelines.

**Function:**

- Considers changes (Add/Amend/Delete) to ABC elements.
- Considers WOVG ABC objectives and realises WOVG ABC benefits.
- Considers Departmental perspective on impacts/implementation.

**Composition/membership:**

- Chair:
  - Appointed from a driving and influential Department.
  - At least Deputy Secretary (or Executive Director delegate) level.
- Membership
  - Voting members - all Departments and Victoria Police
  - Departmental Coordinator (see below) or member of the departmental ABC Group (see below).
  - Associates – WOVG Coordinator, PROV, OVIC and Cenitex.

## Departmental Executive Authority and ABC Group

The ABC governance model expects departments to establish and maintain department level functions and responsibilities for implementing the ABC governance model and driving the objectives of the ABC. In the ABC governance model, these responsibilities have been categorised under the headings:

- Departmental Executive Authority
- Department ABC Group

### Departmental Executive Authority

The departmental executive authority is a function to be allocated to a single person who is accountable for the management of briefs and correspondence across the department.

This authority will:

- monitor the operation of departmental Briefs and Correspondence
- respond to and implement directives of the WOVG ABC as articulated in the approved ABC governance model and directive of the ICRS of the Victorian Secretaries Board
- be accountable for:
  - conformance to WOVG ABC policy and standards.
  - compliance with all relevant legislation (national, state and department specific),



regulatory and administrative requirements and ensure the department's audit and compliance program measures ABC compliance.

- nominate a senior representative to the WOVG ABC Group.

### **Departmental ABC Group**

The departmental ABC group (or similar) will:

- Endorse and present recommendations to the departmental executive authority regarding changes to:
  - Departmental briefs and correspondence
  - Department proposed changes to WOVG ABC governance model, common process, policies/standards/guidelines and common templates
  - Department work practices with regards to Briefs and Correspondence.
- Advise and respond to briefs and correspondence proposals from WOVG ABC Group.

### **ABC operational support roles**

The ABC governance model also recognises the operational management roles:

- WOVG ABC Leader
- Centralised Departmental ABC Coordination

#### **WOVG ABC Leader**

The WOVG ABC Leader is an individual with day-to-day / line management of WOVG ABC. This role provides WOVG coordination of the ABC, as well as administrative support for the WOVG ABC Group.

This role will:

- Identify and manage improvements to the ABC - via the governance process where appropriate. For example, if there are changes in legislation that may require changes in business rules or standards.
- Liaise with the departmental ABC coordinators to identify potential improvements from a departmental perspective.
- Manage risk and issue escalation at the WOVG level.

#### **Centralised Departmental ABC Coordination**

Each department is to maintain a central coordination function for departmental briefs and correspondence.

This function will:

- report to the departmental central authority for briefs and correspondence.
- report on, departmental performance including:
  - conformance or otherwise to WOVG Standards and compliance with relevant legislation.
- supply administrative support to the departmental ABC Group.

- identify and manage (including escalate) risks and issues.

## ABC Governance Model

The ABC Governance Model (governance model) provides a conceptual view of the governance of ABC across government and within departments (see Figure 2 - ABC Governance Model below). It is designed to outline the interaction of the WOVG elements of the Governance model with the departmental operational processes. That is, at a high level, the WOVG ABC governance model will define and own the governance model, the common processes, common templates and associated policies, standards and guidelines. Proposals for change are evaluated, and performance (against Standards) as well as compliance (with legislation etc.), are monitored.

Naturally, departments will have their own governance / control of their ABC processes and templates; which will drive adherence to their own and WOVG Policies and Standards. The ABC governance model has been designed and constructed for the clearly defined purpose of administering the B&C common processes.

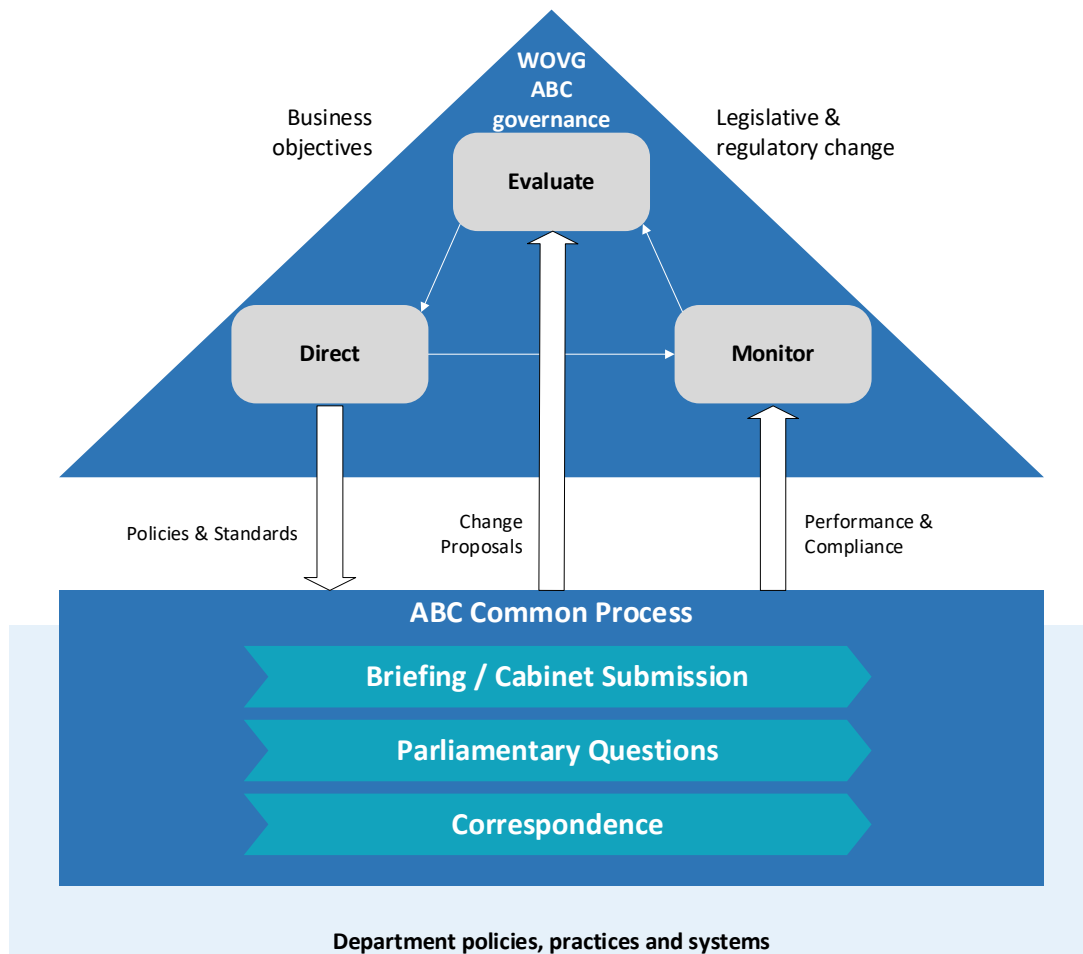


Figure 2 ABC Governance Model

## ABC governance tasks

The three main governance tasks of the ABC governance model are:

1. **Evaluate** implementation options and change proposals.
2. **Direct** the preparation and implementation of common processes, common templates and associated policies and standards.
3. **Monitor** conformance to standards, and performance against business objectives.

The ABC governance model identifies the following governance responsibilities:

1. Ownership, oversight and guidance to support the consistent implementation of:
  - (a) the ABC SOD
  - (b) the business objectives for the ABC
  - (c) the governance model
  - (d) common processes and common templates
  - (e) policies, standards and guidelines
2. Ensuring compliance with legislation and administrative regulations and any changes that may impact on the ABC common processes
3. Evaluation of proposals for change (enhancement) to the WOVG ABC

Appendix A - Governance Tasks (Evaluate/Direct/Monitor) by Governance Body lists the activities to be undertaken by each ABC governance body to fulfil the evaluate, direct and monitor responsibilities of the governance model.

## Common process and templates

Departments are to use an ABC Common Process and set of templates for all briefs and correspondence at the portfolio, branch/unit, division and departmental level.

## Department policies, practices and systems

Departments are to action policies and standards, including practices and systems that align with the ABC SOD.

## Risk Management

Departments are to identify, manage and treat risks associated with B&C using the department's defined risk management process.

Risk associated with the ABC or the ABC governance model is to be escalated via the department ABC Group to the WOVG ABC Leader.

The WOVG ABC Leader is responsible for the management of escalated risk, nominating treatment for approval by the WOVG ABC Group. If a control for the risk is identified, i.e. a

permanent change to the ABC governance model in response to the risk, then this control is to be implemented using the ABC governance model change control process.

## Change Control

Change requests associated with the ABC and the ABC governance model are to be managed by the WOVG ABC Leader.

Proposed change to the ABC and the ABC governance model is to be reviewed by the WOVG ABC Group, taking into consideration:

- The objectives and requirements of the ABC SOD.
- The impact of the change to the ABC governance model and the departments B&C practices and systems.
- The cost benefit of the change.
- The ability of departments to implement the change in the required timeframe.

Change to the ABC governance model is to be approved by the ICRS.

## Implementation Elements and Horizons

### Elements

The ABC governance model supports and is supported by:

- ABC SOD.
- ABC Policy.
- ABC Governance Standard.
- ABC Common Process Standard.
- ABC Common Templates Standard.
- ABC Monitoring and Reporting Standard.
- ABC Guideline.
- ABC brief and correspondence templates.

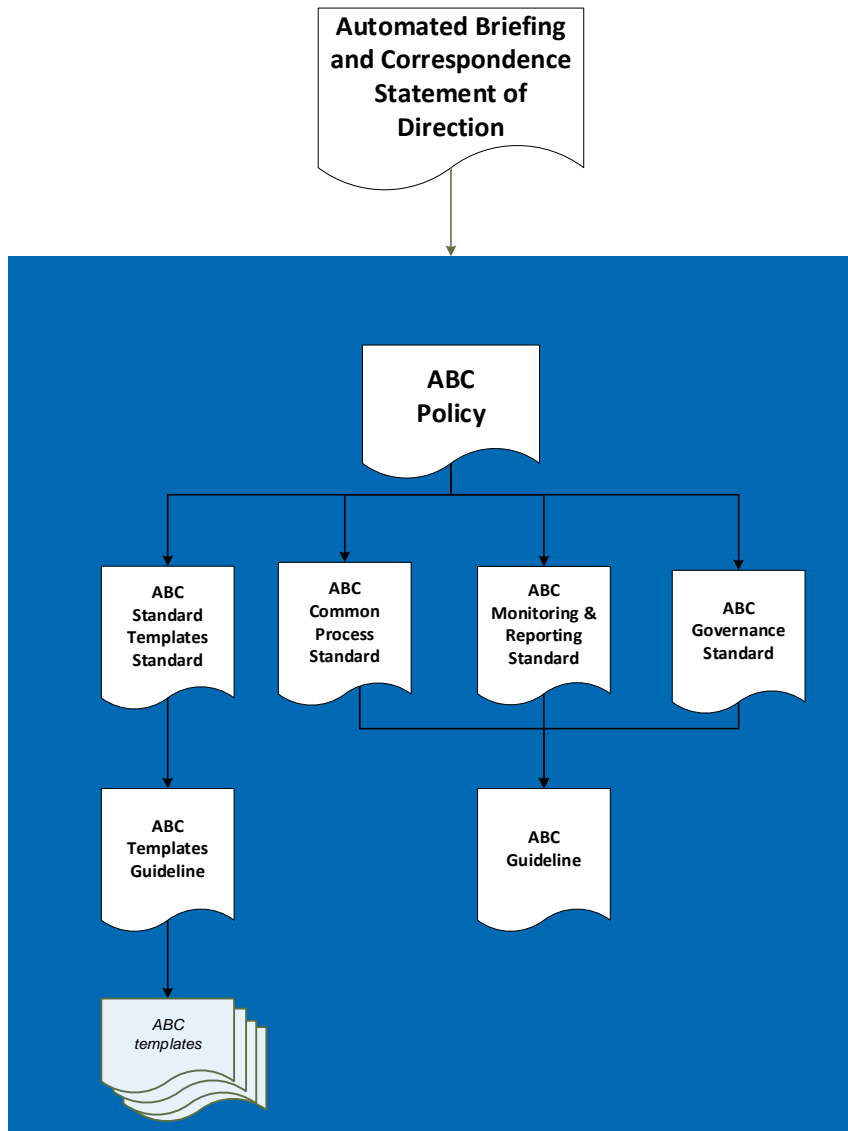


Figure 3 - The elements of the ABC governance model

## Implementation horizons

The ABC governance model design has taken into account the following implementation horizons:

1. **HORIZON 1 - ABC governance established**

ABC governance model, policy and standards approved, WOVG and department governance bodies and operational management established.

2. **HORIZON 2 - common process and templates in use**

Department B&C practices satisfy ABC common process minimum requirements (ABC Common Process Standard) and use ABC common templates, with all staff appropriately trained.

3. **HORIZON 3 - digital workflow**

All departments have implemented a digital end-to-end workflow capability for ABC and are satisfying ABC monitoring and reporting minimum requirements (ABC Monitoring and Reporting Standard).

4. **HORIZON 4 – electronic approval**

All departments and ministerial offices are using electronic and/or digital signatures for all elements of the digital end-to-end workflow including approval/rejection/noting.

5. **HORIZON 5 – ABC fully digital**

All ABC processes are digital end-to-end, with hardcopy by exception only.

## Further information

For further information regarding this model, please contact Digital Strategy and Transformation at the Department of Premier and Cabinet, at [digital.transformation@dpc.vic.gov.au](mailto:digital.transformation@dpc.vic.gov.au).

## Document Control

<b>Applies to</b>	All departments and Victoria Police	<b>Authority</b>	Digital Strategy and Transformation, Department of Premier and Cabinet
<b>Period</b>	To Be Confirmed	<b>Advised by</b>	N/A
<b>Issue Date</b>	To Be Confirmed	<b>Document ID</b>	ABC-MODEL-01
<b>Review Date</b>	To Be Confirmed	<b>Version</b>	1.0

### Approval

This document is yet to be formally approved and is published as guidance only. It is expected that when delivery of the common platform commences, under the requirements of VSB approved ABC SOD, the ABC Governance Model and associated standards and templates will be formally reviewed and approved.

### Version history

Version	Date	Comments
0.1	01/08/2018	First full version for further cross government consultation.
1.0	03/09/2019	Final version



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## Appendix A - Governance Tasks (Evaluate/Direct/Monitor) by Governance Body

The following table sets out the responsibilities of each governance body in regard to each of the Enablers

Governance Body	Evaluate	Direct	Monitor
<b>Victorian Secretaries Board</b>		<ul style="list-style-type: none"> <li>Approves the ABC governance model and its supporting common process, policies, and standards.</li> <li>Delegates authority to act to the ICRS.</li> <li>Directs the implementation of strategies that facilitate WOVG, departmental and individual commitment to the WOVG ABC (for strategies outside the authority of the ICRS to direct).</li> </ul>	
<b>VSB Integrity &amp; Corporate Reform Subcommittee</b>		<ul style="list-style-type: none"> <li>Approves the ABC guidelines.</li> <li>Approves change to be applied to the ABC governance model and its supporting common processes, policies, standards and guidelines.</li> <li>Endorses the strategies that facilitate WOVG, departmental and individual commitment to the WOVG ABC (for strategies outside the authority of the ICRS to direct).</li> <li>Directs that the creation of departmental ABC complies with the ABC governance model and its supporting common processes, policies, standards and guidelines.</li> <li>Directs that ABC and B&amp;C risks are to be managed using the approved approach.</li> </ul>	<ul style="list-style-type: none"> <li>Monitor that appropriate governance mechanisms are established and observed.</li> </ul>
<b>WOVG ABC Group</b>	<ul style="list-style-type: none"> <li>Identifies, evaluates and endorses change to be applied to the ABC governance model and its supporting common processes, policies, standards and guidelines.</li> <li>Identifies, evaluates and endorses recommended actions in response to repeating non-conformance or performance variation.</li> <li>Identifies, evaluates and endorses the training and/or education required for ABC role qualification.</li> <li>Ensures that those given ABC governance and management responsibilities are qualified.</li> <li>Identifies, evaluates and endorses risk controls to be implemented into the ABC governance model.</li> </ul>		<ul style="list-style-type: none"> <li>Monitors the engagement of WOVG, departments and individuals to the implemented ABC governance model.</li> <li>Monitors the performance of the WOVG ABC to ensure acceptable performance and compliance.</li> <li>Monitors the performance of the risk management of the ABC.</li> <li>Monitors changes to legislation, regulation and cabinet directives that can impact the ABC and B&amp;C.</li> <li>Monitor B&amp;C work practices of other jurisdictions.</li> </ul>
<b>Departmental Executive Authority</b>		<ul style="list-style-type: none"> <li>Directs the implementation of strategies that facilitate departmental and individual commitment to the WOVG ABC.</li> <li>Approves the ABC responsibilities for the Department to be compliant with ABC governance model.</li> <li>Directs that the department ABC work practices comply with the ABC governance model and its supporting common processes, policies, standards and guidelines.</li> <li>Approves the allocation of resources to deliver ABC.</li> <li>Directs that resources allocated to ABC roles have the required qualification.</li> <li>Directs the risk management of ABC activities within the risk management framework of the Department.</li> <li>Endorses for presentation to the VSB ICRS proposed changes to the ABC governance model and its supporting common processes, policies, standards and guidelines.</li> </ul>	
<b>Departmental ABC Group</b>	<ul style="list-style-type: none"> <li>Identifies, evaluates and endorses the implementation method to be used to achieve ABC engagement strategies.</li> <li>Identifies, evaluates and endorses the options the Department to be compliant with the ABC governance model and its supporting common processes, policies, standards and guidelines.</li> <li>Identifies, evaluates and endorses the department resource allocation required to comply with the ABC governance model and its supporting common processes, policies, standards and guidelines.</li> <li>Ensures that those given ABC responsibility are competent.</li> <li>Identifies, evaluates and endorses change requests for the ABC governance model and its supporting common processes, policies, standards and guidelines.</li> </ul>		<ul style="list-style-type: none"> <li>Monitors the engagement of the department and its staff to the ABC.</li> <li>Monitors the performance of the department's ABC work practices to ensure compliance to ABC standards and performance targets.</li> </ul>