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1. INTRODUCTION

This document outlines the governance applicable to IT in DG EAC.

It includes all activities carried out in the DG or upon request of the DG related to the provision of IT systems, hardware and software, services and the IT support for these systems and services.

The "IT governance" is taken to cover the strategies, and objectives agreed for the effective use of IT. The governance shall ensure that the resources spent on IT activities, the political objectives and activities of the DG are deployed efficiently and effectively.

The IT governance also includes the leadership, management and all organisational structures related to IT projects and IT systems development and informatics services.

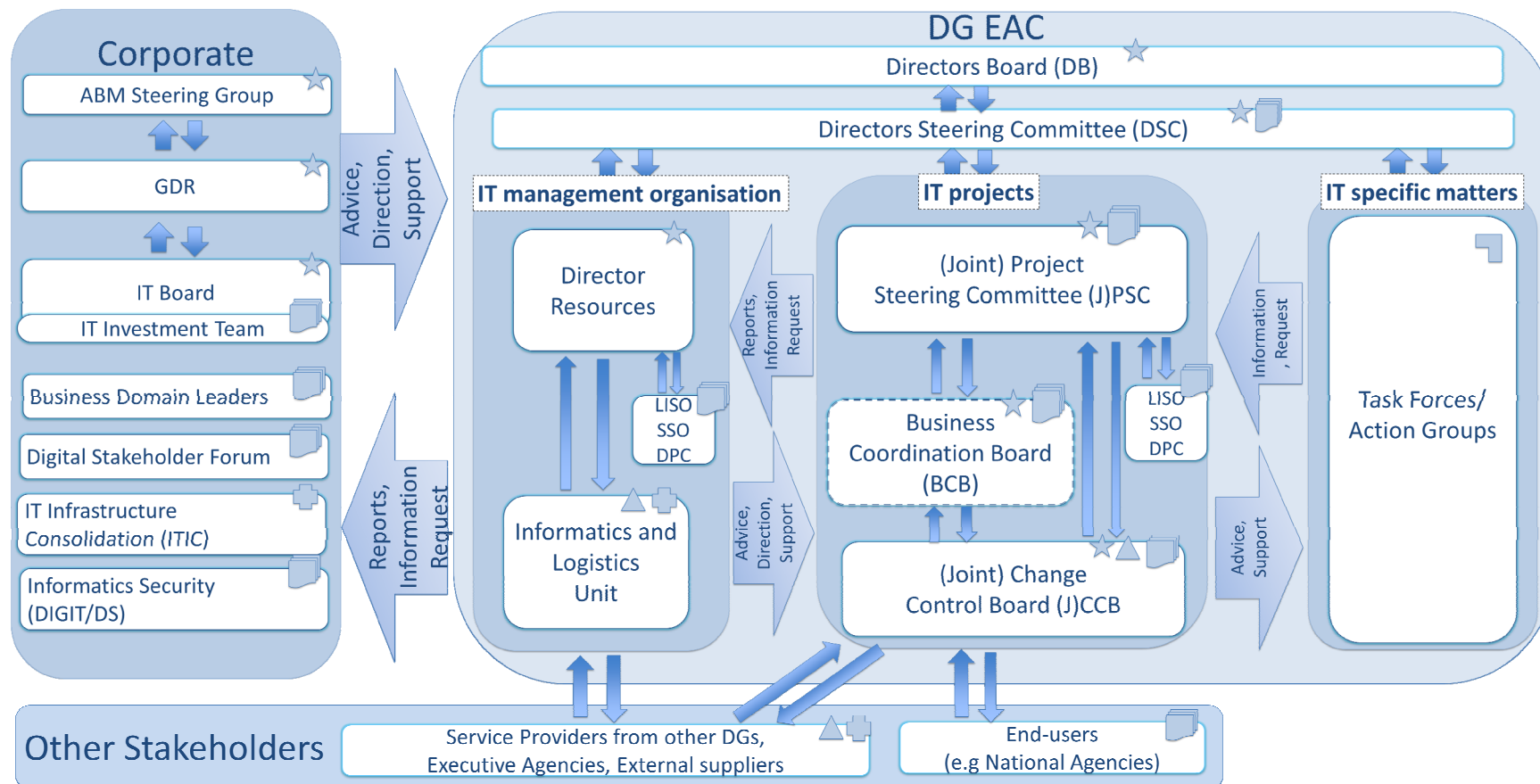
DG EAC's IT governance is embedded in the Commission's overall IT governance¹ and DG EAC's overall governance².

This document explains the organisation of IT both at the level of the Commission and DG EAC. It includes the management of IT projects, the provision of IT systems and IT services both within the DG and in the context of corporate governance structures (see **picture** below).

It is accompanied by a practical guide (see **Annex 2**) that outlines **how** IT governance following the chosen Methodologies PM² and AgileRUP shall be applied to ensure effective cooperation between various stakeholders when developing an EAC IT Project.

¹ Please see the website <https://webgate.ec.europa.eu/fpfis/wikis/display/ITGOV/IT+Governance> for further information on Commission level governance structures and decisions.

² For DG EAC overall Governance, see Ares(2014)2873461 - 03/09/2014



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decision making body	advisory body	implementing body	support services	appointed by DSC/DB	directing	advising, reporting

2. GOVERNANCE AT CORPORATE (COMMISSION) LEVEL

This Chapter describes the roles and responsibilities of the governing bodies and entities illustrated in the picture above.

2.1. Decision-making bodies

The current IT governance in the Commission follows the rationalisation process that started in 2010. Three main bodies exist: the ABM (Activity- Based Management) Steering Group, GDR (Resource Directors Group) and IT Board.

ABM (Activity-based management) Steering Group: is chaired by the Secretary-General and meets at least once a month. It coordinates and prepares files of common interest, particularly strategy issues linked to administration performance, human resource management, organisation structure, externalisation policy, issues linked to the SPP cycle (Strategic planning and programming), as well as IT vision, policy and strategy issues in its responsibility for Commission-wide IT governance matters (the activities of the ABM+IT Steering Group have been absorbed within the mandate of the ABM Steering Group from 01/01/2015).

It plays a central role in the Commission governance scheme bringing together the Directors-General of the central services and their Cabinet members (SG, HR, BUDG and DIGIT).

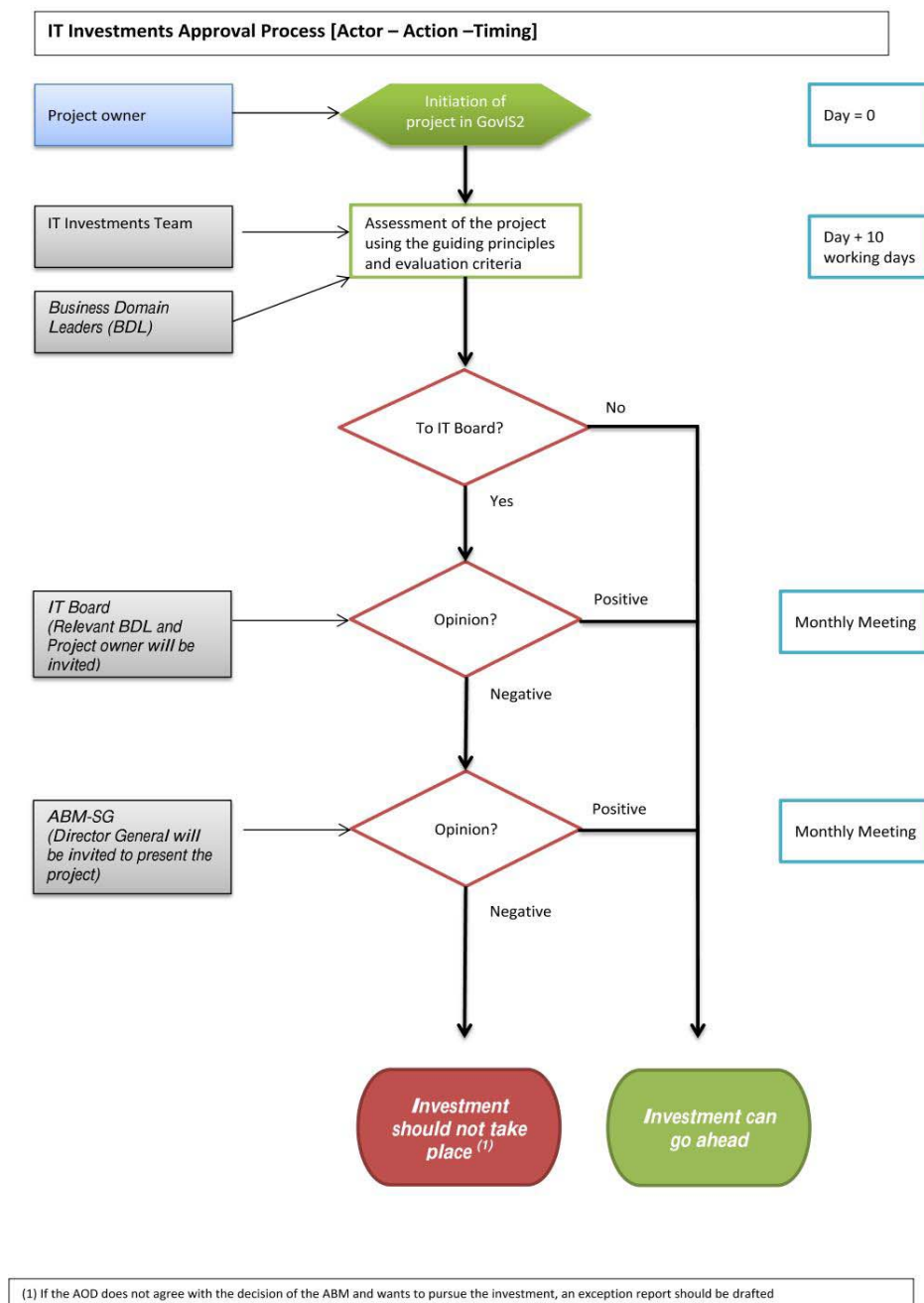
GDR: Resource Directors Group is chaired by the Deputy Secretary-General in charge of coordination and meets once a month. It examines the specific issues that require attention regarding implementation of administrative reform, ensures that the needs of the operational services be taken into account and provides a forum for discussion and exchange of best practices between horizontal and operational services. All Directors-General have appointed their representative, namely their respective resource Directors or, where a DG has no resource Director, the Heads of Unit in charge of these matters.

IT Board: is chaired by SG and is composed of 8 members at senior management level. The SG and DG's BUDG, DIGIT and HR are permanent members. Four resource directors from operational DGs are appointed by the GRD on a two year rotating schema. They are selected on their expertise and corporate perspective. The IT Board is assisted by an "IT Investments Team". IT Board has 5 main functions:

- Monitor and evaluate IT investments, irrespective of the budget line(s) concerned. Express balanced and considered opinions on the IT portfolio based on a set of guiding principles and evaluation criteria.
- Propose for decision by the Resource Directors Group (GDR) the annual allocation for the common budget for information system development, maintenance and support (XX 01 02 11 05) and make recommendations on the lifting of the budget reserve for development projects financed via this common budget.
- Monitor the business value, risks and costs of the corporate IT Portfolio, monitor where possible new legislation with an impact on IT and provide early warnings to the GDR and, if necessary, the ABM Steering Group, where the ongoing cost/benefits or risk of failure of projects or systems give cause of concern.

- Promote the use of common standards services and building blocks to ensure efficient and effective IT delivery (e.g. Reference Architecture, Business Process Modelling, IT projects management and software development methodologies, quality standards, etc.).
- Prepare, for approval by the ABM Steering Group, guidelines to facilitate the work of DGs on IT project design and management for use by DGs in formulating new IT investments.

IT investment approval at Commission level process impacting DG EAC when initiating a new project is illustrated below.



2.2. Preparation, support, and coordination functions

The following entities interact with DG EAC for the purpose of support, services, and advice in the context of IT.

The IT investments team: is made up of DIGIT's Corporate Project Office (DIGIT.01), representatives from several other units of DIGIT as required (e.g. the Architecture Office, ISA-unit, CRM-functions) and SG.B1 (IT Governance).

DIGIT.01 (Corporate Project Office) chairs the IT investment team and provides the secretariat.

The IT investments team is also assisted by the Business Domain Leaders (BDLs).

The IT Investments team is a virtual team that serves the IT Board.

In order to assist the functioning of the IT Board, the mission of the IT investments team is to:

- Examine all new IT project proposals.
- Perform a continual screening of all IT projects and systems.
- Select investments that are to be validated by the IT Board.
- Prepare assessments of investment plans.
- Provide early warning to the IT Board on difficulties encountered with IT projects.
- Advise on corporate and other solutions for DGs business needs.
- Monitor the business value, risks and costs of the corporate IT Portfolio.
- Monitor, where possible, new legislation with an impact on IT.
- Advise on Common Budget Allocation.
- Advise on standards, project management and relevant skills

Business Domain Leaders (BDL): The IT Board identifies and creates a business domain and assigns its leadership to a lead DG. This DG then nominates a person who is to act as business domain leader on behalf of the DG. The business domain leaders are selected by the lead DG among the owners of the businesses and the suppliers of systems belonging to the domain. The BDL has 4 main responsibilities:

- To make an analysis of the domain identifying the business processes and systems that belong to it in order to obtain and maintain an overview of the domain, including the order of magnitude of the total cost of ownership and the value provided.
- To develop and maintain a strategy for the domain aiming at promoting business convergence and at ensuring cost efficiency, defining – in collaboration with other domain stakeholders – concrete priorities and objectives.
- To promote and support coordination, common projects and reusability within the domain; identifying concrete proposals for pooling resources across DGs.
- To facilitate the definition, implementation and subsequent monitoring of a Corporate target IT landscape for the relevant domain in close collaboration with all key domain stakeholders pursuing a high-quality but cost-efficient IT-to-Business alignment.

Digital Stakeholders Forum: contributes to the optimal governance of IT in the Commission by providing a space for transparent, interactive communication and discussion between the IRMs and other stakeholders, which should result in shared knowledge, a common sense of purpose and consensual initiatives. In order to deliver its mandate, the DSF:

- Has the initiative to choose the topics for discussion; it draws its own agenda.
- May, at its own initiative, address the conclusions of its discussions to IT Governance Bodies (GDR, IT Board) when deemed appropriate and so decided by the forum.
- Facilitates the communication between stakeholders, in a fully meshed configuration.

- Seeks the involvement of the business and the end-users.
- Facilitates the exchange of knowledge and sharing of experiences between stakeholders, so that they are acquainted with the latest developments in the relevant fields.
- Contributes to strategic IT planning (DIGIT management plan, information system domain strategies) and to the annual IT budget exercise.
- Validates strategic choices in IT architecture, methodologies, products and services.
- Fosters rationalization and efficient use of resources, with special emphasis on the re-usability of solutions, be the services, components, architectures, methods or of any other kind.
- Promotes continuous improvement, by identifying, exposing and discussing IT concerns and needs, and by bringing them to the attention of the IT governance bodies, when they are shared across DGs.
- Represents the user community of corporate IT services and supervises the quality and evolution of all these services. With respect to the ITIC service, given its corporate importance, a dedicated session on ITIC will be organised at least every 3 months in addition to the regular DSF meeting, typically via an extended session in the afternoon.
- Contributes to the strategic corporate projects, by providing orientation in their early phases, monitoring their implementation and drawing lessons upon finalisation.
- Fosters innovation, by providing room for presenting and discussing innovative ideas and/or solutions, and by putting them forward for consideration by the relevant entities and/or the IT governance bodies.
- May decide the creation of ad-hoc working groups that would report to the DSF, as necessary, and propose the creation of communities of practice, when sufficient interest exists and the benefit is clear.
- Is exemplary in collaboration, from the efficient use of collaboration tools to the choice of the most suited conversation format, according to the topic.

The DSF is open to:

- DIGIT entities
- The DGs, represented by the IRMs who, in the context of the DSF, represent the business.
- Business Domain Leaders
- Members of the IT Governance bodies
- IT Security (HR.DS)
- On a more ad-hoc basis, other stakeholders, such as Communication units, Data Protection Officer, representatives of businesses with an IT component (e.g.: CNECT or data owners/handlers), representatives of the Decentralised Regulatory Agencies or representatives of end-users.

IT Infrastructure Consolidation (ITIC):

The ITIC Service provides an IT Office Automation infrastructure and related support services. ITIC provided by DIGIT in the framework of a Memorandum of Understanding (MoU) and ITIC Service Level Agreement (SLA) that has been signed between DG EAC and DG DIGIT. The services are listed in the ITIC User Service Catalogue, which details the content and quality levels of the services and the roles, responsibilities of the service provider. In case of specific types of request, an approval from the Information Resources Manager (IRM) is necessary to be provided in advance. For the quality of service monitoring, the IRM of DG EAC is provided by ITIC with monthly service reports.

Informatics Security:

DG EAC works with DG DIGIT IT Security Directorate and DG HR Security Directorate and puts in place procedures in order to align with the Commission's policy on Information Systems Security as it is recorded in the following decisions: Commission decision 2001/844/EC, ECSC, Euratom, and Commission decision C(2006)3602 on Security of Information Systems. It has also appointed a Local Information Security Officer (LISO³), and a System's Security Officer (SSO⁴). The aforementioned roles are responsible to define security requirements and controls, define user access levels, design and implement appropriate security measures ensure the creation of security plans and maintain relevant security documentation.

3. OTHER STAKEHOLDERS

Corporate (e.g. DIGIT) and non-corporate external bodies may be involved in the IT provision to the Commission. These include Service Providers from other DGs, Executive Agencies (e.g. EACEA, REA) or other external suppliers (private companies). The latter provide services in accordance with the Commission's financial regulations, rules and recommendations from the respective services. National Agencies, as End-Users of EAC's programmes and policies are also an example of key stakeholders of IT Projects and services provided by DG EAC.

At all Governance bodies (E+JPSC, BCB and CCB) representatives of e.g. System Owners/Suppliers of IT systems for which EAC is stakeholder and not Owner may be invited. Likewise representatives of EAC are participating in Project Steering Committee meetings of corporate and non-corporate external bodies.

³ The role of LISO might be revised in the near future

⁴ The role of SSO might be revised in the near future

4. IT GOVERNANCE AT DG EAC LEVEL

DG EAC's IT governance complies with the internal control standards (ICS), in particular ICS 7 that outlines the basic requirements for IT governance. The DG also follows general recommendations on IT governance issued by DG DIGIT.

The **Director-General** retains overall responsibility for the management of IT in the DG. He/she is supported by the Directors' Steering Committee (DSC), the highest body discussing and deciding on IT matters.

4.1. The Directors' Board (DB)

The Directors' Board (DB) is composed of the Director General, the Deputy Director General and all DG EAC directors including the Director of EACEA. The role of the DB is to discuss and take decisions at a political level as well as to deal with policy related issues.

4.2. The Directors' Steering Committee (DSC)

The Directors' Steering Committee (DSC) is composed of the Director General, the Deputy Director General and all DG EAC directors including the Director of EACEA. The role of the Directors Steering Committee (DSC) is to discuss and decide on matters regarding the management of resources in DG EAC, including HR, financial and budgetary issues, IT, supervision and any other administrative or management subject as well as IT resource planning. The meetings are held once a month.

On all matters involving IT, the DSC takes strategic decisions and monitors that decisions are implemented in line with existing rules, regulations and the principles of effective and efficient management. Moreover, the DSC:

- Supervises that IT activities support the general objectives and the mission of the DG.
- Decides on the internal governance for IT and monitors its functioning.
- Ensures that any new IT project is in alignment with the goals set out in the IT Strategy adopted by the Directors Board on 07/07/2014⁵.
- Monitors and approves the progress of IT projects on a high level in the context of implemented business processes⁶ and the use of resources for all IT systems in the DG.
- Appoints, when appropriate, bodies treating specific matters on an ad hoc basis e.g. via Task Forces or Action Groups (see 4.5 *IT Specific matters*).
- Ensures the overall coherence of the IT provision in the DG and oversees the organisation of IT. When the DSC discusses IT issues, it is equivalent to an IT Steering Committee, which is the body recommended by DIGIT.
- Approves the IT planning and budget that is included in DG's Management Plan and the evaluation on the implementation of IT in the Annual Activity Report.

⁵ IT Strategy in Ares, <http://www.cc.cec/Ares/documentInfoDetails.do?documentId=080166e59891155c>

⁶ The Business Process Owner (BPO) ensures this. There are Business Units identified as BPOs. For details on responsibilities see <https://myintracomm.ec.europa.eu/dg/eac/governance-tools/organisational-improvement/bpm/Pages/governance.aspx>

- Validates proposals for new IT projects and monitors their conformity with Commission-wide rationalisation and reusability principles.
- Appoints the responsible staff to roles of individual IT projects and services so that those appointed thereby become accountable.
- Approves significant changes to the scope of the IT projects or systems.
- Takes note of severe risks and actions to mitigate them.
- Validates the security report of the Local Information Security Officer (LISO), approves the roles and responsibilities of the System Security Officer (SSO) and approves the security plans for IT systems⁷.

In cases where a decision needs to be taken urgently and the DSC cannot convene, the topic may be submitted exceptionally for an approval by the Directors Board.

4.3. Central Organisation

The central organisation and management of IT in the DG falls under the responsibility of the Resources and Planning Director. The Resources and Planning Director is supported in his tasks by several entities, in particular the Informatics and Logistics Unit, the Local Information Security Officer, System Security Officer and the Data Protection Coordinator.

4.3.1 Director of Resources and Planning

The responsibilities of the **Director of Resources and Planning** as far as IT issues concerned include:

- The preparation of planning, programming and reporting on IT matters, such as inputs to Management Plan and Annual Activity Report, and the practical organisation of IT services and their governance in the DG.
- Decisions on the use of the hardware/software and IT support budget directly attributed by DG DIGIT to DG EAC. This includes the policies on the provision of IT infrastructure and services and access of staff to IT systems.

The Resources and Planning Directorate has delegated the responsibilities of the System Supplier to DG EAC Informatics and Logistics Unit HoU for all IT systems developed by the DG. Responsibilities of System Supplier are described in section 4.4.4 *Governance roles in IT Projects*

4.3.2 Informatics and Logistics Unit

The Informatics and Logistics Unit is the main service for the Director of Resources and Planning to implement IT. The Unit manages the IT resources, systems and services used by the DG, based on decisions of the DSC/DB, in line with DG EAC's Management Plan and in close

⁷ In accordance of the Commission Decision C(2006)3602

cooperation with the operational units. It also manages the corporate Information Systems and services delivered by DG EAC and the provision of IT hardware/software and infrastructure.

The Informatics and Logistics Unit in close cooperation with operational units manages the IT systems and services by:

- Coordinating the input of the IT planning to the DG EAC Management Plan.
- Preparing reports on past and future activities related to IT.
- Checking on IT needs across the DG.

Within the Informatics and Logistics Unit, the Information Resource Manager (IRM), which is also the HoU ensures the efficient management of resources. The IRM coordinates and manages the internal hardware policy and the local software portfolio⁸. He/she also approves specific requests for IT equipment and IT-related training. The IRM ensures that the infrastructure provided is fully supporting the operational tasks of staff within DG EAC.

DG EAC has contracted as mentioned in section 2.2. *Preparation, support, and coordination functions* the corporate service for IT Infrastructure Consolidation (ITIC) to deliver the full range of IT infrastructure services and their support⁹. A Service Level Agreement with DG DIGIT for the provision of ITIC is set up and monitored by the Informatics and Logistics Unit under the responsibility of the Resources and Planning Director.

The Unit manages the human resources necessary to carry out IT projects as decided by the DSC/DB. In order to ensure a coherent and transparent process, the Unit applies the guidelines on project management and software development methodologies recommended by central Commission services that are adapted to DG EAC's specific needs. The Unit also cooperates closely with the LISO, the SSO and the DPC.

The Informatics and Logistics Unit provides a number of support functions for the project teams, namely through the Project Support Office (EAC PSO) and Infrastructure Services. These are to ensure:

- A smooth, efficient and in time implementation of business requirements.
- Coherent and effective management of IT projects and the delivery of corresponding IT systems including monitoring and reporting activities and the provision and coordination of functional testing services for all IT systems developed by the Informatics and Logistics Unit.
- That IT systems already developed are maintained appropriately.
- Support by providing solutions for internal IT architecture and interoperability solutions for efficient communication between the different internal systems as well as between the internal and external systems and/or corporate tools and security aspects of them.

⁸ The Commission wide-IT portfolio is managed with the support of the GovIS2 tool

⁹ The specific service to DG EAC comprises maintenance of PCs, printers, PDAs and software; installation & moving of PCs, printers, scanners, etc.; service asset and configuration management; granting access to ICT resources; managing file services; provision of print & scan service; managing access for teleworking; information to end users; specific VIP support; Service Desk; security management and BCP.

The Informatics and Logistics Unit has a dedicated team which in close cooperation with the operational units provides support for documentation and training materials for IT tools (process oriented approach).

For more details on these support functions please see "Practical Guide" annexed to this document (**Annex 2**).

4.3.3 *Local information security officer (LISO¹⁰)*

The principal responsibility of the LISO is to oversee that all IT projects are developed, and subsequent services are operated, in compliance with security standards set out by the Commission decision C(2006)3602 on Security of Information Systems. The LISO thereby acts as the interface with the Security Directorate in DG DIGIT, in particular with the unit in charge of informatics security as this unit develops both the security policy and the implementing rules and standards/guidelines. While reporting to the Resources and Planning Director, the LISO may upon own initiative advise the (Joint) Project Steering Committee or the (Joint) Change Control Boards on measures to take to ensure confidentiality, integrity and availability of data handled by the information system. The LISO may also check on an ad hoc basis, by means of independent reports and direct consultation with the System Owner and System Supplier, that the agreed measures are being applied. The LISO, with the input of the SSO, reports, in accordance with the Resources Director, to the DSC/DB on the security status of the information systems of the DG.

4.3.4 *System Security Officer (SSO¹¹)*

The SSO acts on the basis of the Commission Decision C(2006)3602 and the associated implementing Rules and Standards¹². The SSO reports on all relevant security matters to the System Owner (SO) of an Information System and liaises and shares any relevant findings with the LISO. SSOs can join the LISO meetings as observers. The SSO performs the more detailed and technical work on the SO's behalf, while the SO remains responsible for the major decisions and approvals related to IT security. The SSO ensures that the set of systems for which he has been appointed for, are conforming to the standards. In principle the SSO role¹³ is more of an executing role (in the sense of "doing things") whereas the LISO role, as described in Commission Decision C(2006)3602, is more supervisory and needs to ensure at the DG level that the actions for which the SSO is responsible are taken for each system.

¹⁰ The role of LISO might be revised in the near future

¹¹ The role of SSO might be revised in the near future

¹² See

<https://myintracomm.ec.europa.eu/corp/security/EN/ITSecurity/InfoSysSecPolicy/Pages/PolicyLegislation.aspx>

¹³ <https://myintracomm.ec.europa.eu/corp/security/EN/ITSecurity/InfoSysSecPolicy/Pages/GuidelinesInfoSecResponsibilities.aspx>

4.3.5 Data protection coordinator (DPC)

The DPC is the local representative of the Data Protection Officer (DPO) of the Commission within the DG. In the context of IT governance, the principal responsibility of the DPC is to ensure that the projects comply with the requirement of Council and European Parliament Regulation (45/2001) on Protection of Personal Data and its implementing guidelines. The DPC may therefore advise on whether a Data Protection Notification is required for any planned project and provide guidance on the process of constructing a Data Protection Notification as well as checking with System Owners on an ad hoc basis that an Information System resulting from a project respects the terms set out in any corresponding Data Protection Notification.

The DPC reports through the Resources and Planning Director to the DSC/DB on data protection issues.

4.4. IT Projects

In line with the Commission-wide policy, each IT project has a Project Steering Committee (PSC) and a Change Control Board (CCB). A Joint PSC and Joint CCB can be established, should several projects serve the same business need(s) and thus be organised in a portfolio¹⁴. This is the case for the Erasmus+ programme¹⁵, where the implementation requires effective coordination of several IT tools and cooperation with other DGs, Commission Agencies¹⁶ and National Agencies. In addition and if a dedicated coordination across operational units is considered necessary, a Business Coordination Board (BCB) may be established.

4.4.1 (Joint) Project Steering Committee (JPSC / PSC)

The (Joint)PSC is responsible for achieving the objectives of an IT project or a group of them. Members of (J) PSC are listed in a regularly updated Stakeholder Matrix which is approved by the DSC/DB. (J)PSC meetings may also be attended, whenever necessary, by the Local Information Security Officer (LISO), the System Security Officer (SSO), the Data Protection Coordinator (DPC) and by external corporate and non-corporate System Owners/ Suppliers of IT systems¹⁷ for which EAC is not Owner, BMs, PMs or other BCB members. Meetings are chaired by the System Owner(s). Decisions can be taken by written procedure if necessary.

The (Joint) PSC:

- Monitors and approves the progress of IT projects in the context of implemented business processes¹⁸.
- Safeguards the coherence between the various IT projects if there are interdependent.

¹⁴ A group of Information Systems which serve a relevant business need

¹⁵ IT projects considered in the context of programme/portfolio management are currently Eforms, EPlusLink, Mobility Tool, Management reporting and LifeCard.

¹⁶ DG DIGIT, EACEA, REA, DG RTD, etc.

¹⁷ Other suppliers such as DG DIGIT, RTD, EACEA, REA and external suppliers

¹⁸ The Business Process Owner (BPO) ensures this. There is no BPO appointed yet. For details on responsibilities see (the link is not accessible)

<https://myintracomm.ec.europa.eu/dg/eac/governance-tools/organisational-improvement/bpm/Pages/governance.aspx>

- Validates key artefacts (PM² Business Case, Project Initiation Request, Project Charter, Project Plans).
- Monitors the correct allocation and use of resources for all IT systems, or the portfolio of systems, and resolves resource issues in case of conflicts.
- Escalates, when necessary, issues and reports to the DSC/DB.
- Agrees on the frequency of the meetings needed; (ideally 5 to 6 meetings per year ensure an appropriate follow-up of the project).
- Approves change requests and prioritised requirements proposed by BCB or (J)CCB.
- Coordinates business activities and inter-dependencies between projects in case a BCB does not exist.

4.4.2. Business Coordination Board (BCB)

The Business Coordination Board (BCB) is an optional body which might be created¹⁹ if there is a need for additional and dedicated coordination across operational units (e.g. for the Erasmus+ programme). The exact composition of the BCB can be found in the regularly updated and approved Stakeholder Matrix. Without prejudice to the independent role of the LISO, SSO and DPC, other stakeholders may be invited to BCB meetings each time their presence is deemed necessary.

The BCB in general:

- Ensures that the operational units express "their" specific business needs in a coordinated way and in reflection of the feedback from programme stakeholders (NAs and beneficiaries).
- Liaises regularly and cooperates closely with other Governance bodies (e.g. (J)CCBs) and roles (e.g. System Supplier, Business Managers (BMs), Project Managers (PMs), LISO, DPC etc.), seeking agreement in all matters e.g. feasibility checks, risk or workload analysis.
- Coordinates the inputs of the relevant BMs
- Reports on progress of BCB activities and unresolved matters to the Join Project Steering Committee.

The BCB in detail:

- Prepares and follows up on an IT macro-plan, which is submitted to the Informatics and Logistics Unit for feasibility check, for all evolutions necessary during the year.
- Approves business needs, validates business requirements and changes to these requirements.
- Prioritises and proposes requirements and change requests on the basis of the analysis carried out at the various CCBs for E+ JPSC approval taking into account:
 - the milestones of the annual cycle of Erasmus+ programme implementation
 - the feedback from programme stakeholders and implementing structures (NAs and beneficiaries)
 - additional costs

¹⁹ The DB of 01/02/2016 approved the creation of a BCB in DG EAC, see ARES (2016)579837

- business and interconnectivity risks and risks to IT security (system, data privacy issues).
- Coordinates and monitors
 - activities and inter-dependencies between projects,
 - the preparation of specifications and other key artefacts such as business oriented Release Notes, Training/Testing material, documentation addressed to the NAs and their timely approval by programme stakeholders (NAs and beneficiaries included).
- Ensures that the delivery of final specifications and the scope of a given release is kept stable (frozen) and in accordance to the agreed planning.
- Coordinates the organisation and execution of acceptance testing by NAs and beneficiaries.
- Puts in place necessary contingency actions and/or escalates the issues and reports to the JPSC for decision.

4.4.3 *(Joint) Change Control Board (JCCB/ CCB)*

The Change Control Board or the (Joint) CCB ensures an appropriate communication and constant follow-up between the technical and the operational sides of an IT project. The CCB provides feedback (via minutes or analysis documents) to the Business Coordination Board (BCB) and/or (Joint) Project Steering Committee.

Members of the CCB include the PM, BM(s) and Other Stakeholders (OS) incl. EACEA, which are identified, coordinated with and invited by the BM/PM.

BM(s) and PMs collaborate closely on a daily basis. It is recommended to have formal sittings of (J)CCB every two weeks or whenever necessary to ensure the correct understanding and proper follow-up of the business requests, changes proposed, and how they are to be implemented.

The CCB/JCCB:

- Controls the development process and in accordance with the decisions taken by BCB or (J)PSC and takes corrective measures in case of issues or problems.
- Examines and discusses requirements, changes to these requirements and translates them into workable details.
- Analyses and records change requests with an estimate of their impact in particular on:
 - additional costs,
 - changes to the timeline (milestones of annual cycle),
 - risks to security (system, data privacy issues);
 - interconnectivity issues with other DG EAC or Corporate Information Systems and provides results of that analysis to the BCB.
- For systems where a BCB does not exist, the CCB prioritise them taking into account the points mentioned above.
- Validates the input to key artefacts such as Release Notes etc. For a complete list see practical guide (Annex 2).
- Escalates issues and reports to the BCB or (J)PSC in accordance with the delineation of responsibilities mechanism described in section 4.4.5 *Delineation of responsibilities*

The LISO, the DPC, the SSO or other stakeholders may attend the CCB/JCCB meetings to ensure that interfacing, interconnectivity and security are addressed properly.

4.4.4 Governance roles in IT Projects

The IT governance foresees four principal roles for an IT project that are briefly set out below.

The System Owner

The System Owner(s) provide(s) leadership and strategic direction to the project and/or a portfolio of systems. He/she is responsible for the implementation of the **business process** that is partly or entirely to be automated. The System Owner is also responsible for the policy objectives to which the system is contributing; hence, he/she should be Director or Head of Unit. The System Owner is nominated by DSC/DB upon approval of the artefact documents such as Project Initiation Request, the Business Case and the Project Charter and the regularly updated Stakeholder Matrix. If a Head of Unit has been appointed, he/she reports to the respective Director who informs the DSC/DB.

The main responsibilities / activities for the System Owner are to:

- Chair the Project Steering Committee (or the Joint one).
- Monitor the progress and delivery of the IT project(s) as planned and scheduled.
- Ensure that the project outcomes (incl. security measures) meet the business expectations in accordance to defined quality and success criteria.
- Attend Steering Committee meetings of third party IT system(s)²⁰ to negotiate deliveries (functionalities) and scheduling²¹.
- Escalate and report to the DSC/DB whenever issues with third party IT systems supplied by other DGs or services cannot be sorted out at working level.
- Approve and sign off key artefact documents.
- Be the owner of business related risks of the project(s) and assure appropriate mitigation and reporting on these risks. The input is provided either by BCB or by the Business Manager (BM).
- Define the security needs of the information system(s) together with the Data Owner and end-users and ensure - in cooperation with the Local Informatics Security Officer (LISO) and the Systems Security Officer (SSO) - that security plans are developed and maintained up-to-date.
- Ensure human resources necessary throughout the lifecycle of the project (business and IT side) and in accordance with the approved project budget.
- Propose the Business Manager(s) for the project for the daily follow up of the project from the business side.

²⁰ These include Service Providers from other DGs, Executive Agencies (e.g. EACEA, REA) or other external suppliers (private companies).

²¹ In some cases a Memorandum of Understanding (MOU) and/or a Service Level Agreement (=describing the expected service) is signed by the parties involved.

The System Supplier

The System Supplier represents the interests of the technical part of the project and is responsible for IT deliverables and services requested by the System Owner(s). The System Supplier is the counterpart of the System Owner(s) and responsible for an appropriate technical design, development, testing, operation and maintenance of the IT system. In case of internal developments the System Supplier is the Head of the Informatics and Logistics Unit. However, in case of external IT development projects by another Commission DG or corporate service, the System Supplier comes from the respective DG and may be invited to a PSC or JPSC. In case the IT system is developed by a contractor outside the Commission, the System Supplier is the representative of that company.

The responsibilities of the System Supplier are to:

- Assist the System Owner to establish a project or a group of projects (portfolio).
- Agree on objectives to be achieved and negotiate Service Level Agreements (SLAs) with third party IT systems when necessary.
- Develop IT systems within their resource allocation.
- Provide general guidelines and structures allowing for a coherent, efficient, and effective implementation of IT projects from initiation to closure.
- Maintain local IT systems serving the DG, ensure training and support for these systems;
- Provide competent and skilled staff in view of the specific objectives of project and propose the Project Manager for daily follow up of the project from the technical side.
- Negotiate and agree deliveries together with the System Owner at Steering Committee meetings of third party IT system(s).
- Approve subcontractors' deliveries for the project in case of external contracts.
- Identify, manage and report on technical risks (business or IT risks and conflicts) via the Resource and Planning Director to E+JPSC or DSC/DB.
- Control and ensure interoperability and integration of the different deliverables, systems, services and applications in respect of IT Architecture and IT Global planning.
- Ensure that all IT project relevant information is correctly captured as well as maintained in GovIS2, which is the designated corporate portfolio management system of the Commission.
- Steer and direct the Project Manager towards the most effective and efficient technical (incl. security) implementation(s).
- Report on main IT project activities, risks and pending issues to the (Joint) Project Steering Committee informing the System Owner on resources needed at the IT side to realise the implementation of the IT project / portfolio.
- Consolidate the planning in case of conflicts and report possible issues via the Resource and Planning Director to E+JPSC /DSC/DB.
- Ensure that the chosen Methodologies PM² and AgileRUP (including Business Modelling discipline) are followed in the most appropriate way.

The Business Manager

The Business Manager (BM) acts on a daily basis on behalf of the System Owner. The BM should therefore know the overall policy objectives, the detailed breakdown and flow of activities that constitute the business processes to be automated. The BM is responsible for

identifying all the stakeholders to the project and maintain a thorough cooperation, communication and information line with them. For systems where a BCB does not exist the BM responsibility is to ensure that deliverables are accepted and approved. The BM reports to the System Owner and provides input to the BCB. He/she is appointed by SO and listed in the Project Charter document and regularly updated Stakeholder Matrix. The BM is the operational counterpart of the technical Project Manager for the day-to-day project activities.

The responsibilities / activities of the BM are to:

- Manage the business side activities of the IT project on a daily basis;
- Establish and maintain efficient and effective collaboration with the PM and the relevant Stakeholders ;
- Implement and ensure that the Business Process Team adapts already modelled business processes, whenever necessary;
- Define, document and agree requirements and changes to already identified requirements and prepare a coherent set of requirements in collaboration with the Other Stakeholders;
- Coordinate and align requirements in case of conflicting priorities across larger stakeholder groups, or escalate for systems where a BCB exists;
- Organise and execute acceptance testing at the business side for all deliveries; seek assurance that deliveries meet the needs of all stakeholders and end-users. For systems where a BCB exists, the BM collaborates with the BCB for the organisation of acceptance tests (business, NAs and beneficiaries);
- Approve go-live / deployments;
- Coordinate schedule, deliver user trainings and production of necessary user support material in collaboration with the BCB (where the case) and other contributing entities;
- Define resources needed to realise the implementation of an IT system at the business team side, and communicate them to the SO and to the BCB where the case;
- Manage the software access rights of the different users;
- Apply chosen Methodologies PM² and AgileRUP (including Business Modelling discipline).

The Project Manager

The Project Manager (PM) is the operational IT-related counterpart to the Business Manager. The PM acts on a daily basis on behalf of the System Supplier within the IT part of the project. It is the role of the PM to ensure that project objectives are achieved in line with decisions of DSC/DB, (J)PSC, BCB or CCB and that the allocated resources in terms of budget and time are used in an efficient and effective manner. The PM ensures that the needs of the business side (expressed by BM or BCB) are translated into development steps (iterative) in a controlled and organised way that are documented (in accordance with the IT Global plan and Consolidated Report) and available to be monitored at any time.

The Responsibilities / activities of the PM are to:

- Manage the operations of the IT part of the project on a daily basis including identification and mitigation of issues and risks (technical or business), or their immediate escalation to the SS whenever the case.
- With the support of Architecture team of the PSO ensure interoperability and integration of deliverables, systems, services and IT applications, including third party IT tools.
- Ensure adequate people management of the Project Team.

- Define and document²² human and financial resources needed per functionality requested by business, and communicate them to the System Supplier.
- Plan and follow up on the use of resources in the IT Project Team.
- Prepare a Release Plan based on the IT macro-plan, prepared by the BCB, ensure alignment of deliveries with other projects (see IT Global Plan etc.) and follow up iteratively, escalating possible business and technical issues or conflicts.
- Report regularly on project progress to System Supplier and provide inputs to the BCB and/or (J)PSC.
- Apply the chosen Methodologies PM² and AgileRUP.
- Prepare other necessary artefacts or artefact documents²³ for approval.

4.4.5 Delineation of responsibilities

Normally the (J)CCB can take decisions which do not affect the resources or the agreed planning but improve the implementation and/or the services provided to the end-users. Decisions affecting planning can be taken at the BCB and/or (J)PSC level, or even DSC/DB level depending on the impact of these decisions on the efficient and effective delivery of IT services. Decisions affecting resources can be taken at (J)PSC level or DSC/DB level only.

A BM escalates issues to SO and the BCB/PSC. The PM escalates to the SS, the SS escalates to JPSC /DSC/DB.

4.5 IT Specific matters

Specific Task Forces or Action Groups can be established by the DSC/DB to deal with a particular IT matter for a limited time. The DSC/DB determines Task Force's responsibilities, method of operation and deadlines. Task Forces and Action Groups shall follow the IT governance and the Central Organisation and interact with these as appropriate.²⁴

²² Financial needs per functionality and project are captured in the work-breakdown structure, subject of approval at the end of each year for the following year, annexed to the DG EAC Management Plan

²³ Architecture Overview, Release Notes etc. for more details on technical artefacts see **Annex 2** Governance for IT projects "A practical Guide"

²⁴ Such Task Forces to further ensure the implementation of the Erasmus + programme will not replace the E+ Joint Project Steering Committee.

ANNEXES

ANNEX 1: DEFINITIONS, ACRONYMS AND ABBREVIATIONS

ABM	Activity-Based Management
BCB	Business Coordination Board
ARES	Document Management System
BM	Business Manager
(J)CCB	(Joint) Change Control Board
DB	Directors' Board
DPC	Data Protection Coordinator
DSC	Directors' Steering Committee
E+	Erasmus + programme
GovIS2	Corporate information system holding essential data of all IT projects
ITIC	IT Infrastructure Consolidation
LISO	Local Informatics Security Officer
NA	National Agency
PM	Project Manager
PM ²	European Commission Project Management methodology
(J)PSC	(Joint)Project Steering Committee
PSO	Project Support Office
(Agile)RUP	(Agile) Rational Unified Process
SO	System Owner
SS	System Supplier
SSO	System Security Officer

ANNEX 2: GOVERNANCE FOR IT PROJECTS "A PRACTICAL GUIDE"