SURVEY ON THE IT GOVERNANCE PROFILE IN THE FEDERAL PUBLIC ADMINISTRATION (2012)

What is Information Technology (IT) Governance?

IT governance is the part of the corporate governance that seeks to ensure that the use of IT adds value to business with tolerable risks. With this goal in mind, IT governance tends to avoid or mitigate deficiencies that are still common in the management of an institution, such as, an inadequate planning process, a recurring pattern of unsuccessful projects and contracts that do not achieve their aims. Moreover, such deficiencies, in the context of the Federal Public Administration (Administração Pública Federal – APF), translate into quality and efficiency loss of public services provided for society.

Why did TCU undertake this survey?

The Decision n° 2.308/2010-TCU-Plenary, resulting from the second IT governance survey carried out by the Federal Court of Accounts (Tribunal de Contas da União – TCU), determined the establishment of the work process in order to accompany the IT governance in the Federal Public Administration, setting up a regular periodicity to accomplish such evaluations. To enforce the decision, it was decided that subsequent surveys would be carried out every two years, as this was considered a reasonable term for the institutions to adopt some necessary measures for establishing IT governance best practices, and mainly to guarantee the continuity and maintenance of the effects of the awareness activities promoted by TCU regarding the importance of this topic to APF.
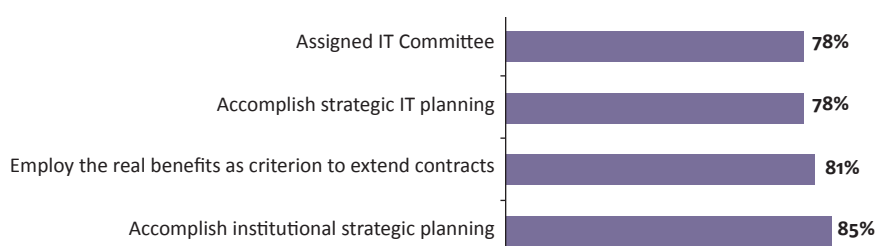
Objective of the survey

The focus of this survey was to update and maintain a database with the IT governance situation in the APF, by deepening the picture outlined in 2010. The information gathered facilitate the identification of the most vulnerable aspects of IT governance in the APF, the guidance of TCU's performance as an activator for the improvement process of such governance and, at the same time, help identify the good examples and models to be disseminated. Besides that, the institutions will have the chance to evaluate their IT management and governance situation in relation to the good practices and to other evaluated institutions, based on the report that includes consolidated information as well as individual outcomes forwarded to each participant.
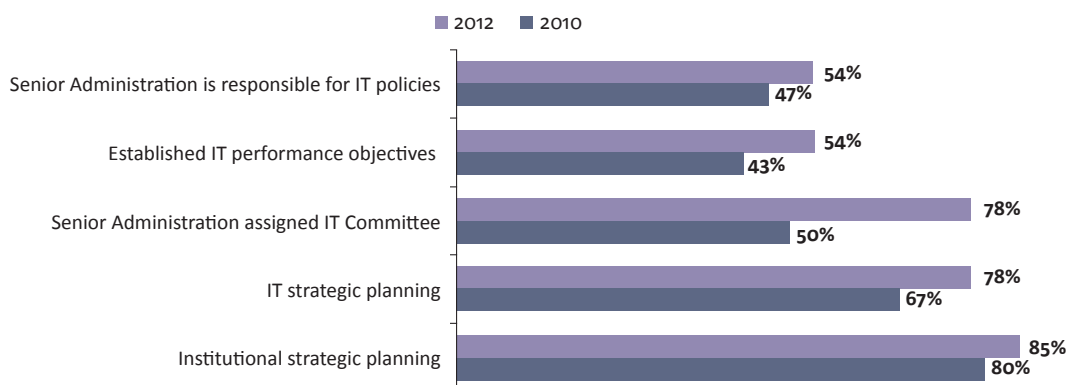
Aspects demanding attention

Aspect	Percentage
Accomplish risk analysis	10%
Accomplish management of information security incidents	16%
Possess data classification process	17%
Accomplish service continuity management	17%
Possess formal process for IT contracts	18%
Follow the benefit indicators of the main systems	23%
Record information assets	24%
Possess formal process of IT contracts management	31%
Established IT performance indicators	37%
Possess information security policy	45%

Positive aspects

Aspect	Percentage
Assigned IT Committee	78%
Accomplish strategic IT planning	78%
Employ the real benefits as criterion to extend contracts	81%
Accomplish institutional strategic planning	85%

Main Developments 2010 - 2012

■ 2012 ■ 2010

Category	Value
Senior Administration is responsible for IT policies	54% / 47%
Established IT performance objectives	54% / 43%
Senior Administration assigned IT Committee	78% / 50%
IT strategic planning	78% / 67%
Institutional strategic planning	85% / 80%

Distribuition by IT governance stage

■ 60 to 100% (enhanced)   ■ 40 to 59% (intermediate)   ■ 0 to 39% (initial)

Profile	enhanced	intermediate	initial
ITGov Profile 2012	16%	50%	34%
ITGov Profile 2010	5%	38%	57%
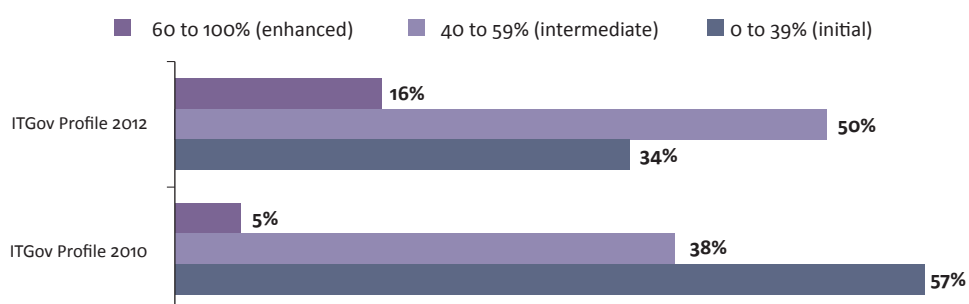
Conclusions

Half the institutions evaluated fall into a mid-range IT governance capacity, which represents a substantial increase if compared to 2010, when only 38% of the institutions were in this range, and 57% were in the initial range. In a more advanced stage, there were only 5% of the institutions - today, they reach 16%. Some improvement signs had already been detected in 2010, particularly the ones concerning the increase in the number of institutions that had institutional strategic planning and had adopted an IT career. In 2012, improvements in several evaluated aspects were detected, according to the graphs above. It is expected that new audits are able to confirm whether the observed tendencies in the present survey are consistent and sustainable, as well as to verify their contribution, so that IT can effectively add value to the business of the Federal Public administration for the benefit of society.

TCU Deliberation

Decision nº: 2.585/2012-TCU-Plenary session
Rapporteur: Minister Walton Alencar Rodrigues

TCU

FEDERAL COURT OF ACCOUNTS

Information Technology