DEPARTMENT OF HUMAN SETTLEMENTS, PUBLIC SAFETY AND LIAISON

(PUBLIC SAFETY BRANCH)

CORPORATE GOVERNANCE OF

INFORMATION COMMUNICATION AND TECHNOLOGY POLICY FRAMEWORK

(CGICTPF – VERSION 1)

TABLE OF CONTENTS

Glossary of Terms

CGICTPF	Corporate Governance of ICT Policy Framework
Corporate Governance	"...*The set of responsibilities and practices exercised by the board and executive management with the goal of providing strategic direction, ensuring that objectives are achieved, ascertaining that risks are managed appropriately and verifying that the enterprise's resources are used responsibly.*" (IT Governance Institute: ISACA [CGEIT] Glossary: 5 as amended) Procedures and processes according to which an organisation is directed and controlled. (Glossary of Statistical Terms – Organisation of Economic and Co-operation Development www.oecd.org)
Corporate Governance of ICT	The system by which the current and future use of ICT is directed and controlled. Corporate governance of ICT involves evaluating and directing the use of ICT to support the organisation, and monitoring this use to achieve plans. It includes the strategy and policies for using ICT within an organisation. (ISO/IEC 38500: 2008: 3)
DPSA	Department of Public Service and Administration
Executing Authority	(a) the Office of a Premier or a provincial government component within a Premier's portfolio, means the Premier of that province; and (b) a provincial department or a provincial government component within an Executive Council portfolio, means the member of the Executive Council responsible for such portfolio;
Executive Management	The Executive Management of the Department and could include the Head of Department, Deputy Directors-General (DDGs) /Executive Management of the Department. This normally constitutes the Executive Committee of the Department and should include the GITO.
GICT	Governance of ICT
GITO	Government Information Technology Officer (Cabinet Memorandum 38(a) of 2000)
GITOC	Government Information Technology Officer's Council (Cabinet Memorandum 38(a) of 2000)
Governance Champion	The Senior Manager in the department who is responsible to drive Corporate Governance of and Governance of ICT.
Governance of ICT	The effective and efficient management of IT resources to facilitate the achievement of company strategic objectives. (King III Code: 2009: 52)

	Is the responsibility of executives and the board of directors, and consists of the leadership, organisational structures and processes that ensure that the enterprise's IT sustains and extends the organisation's strategy and objectives (ITGI 2005) The system by which the current and future use of IT is directed and controlled.
Governance Principles	The vehicle to translate the desired behaviour into practical guidance for day-to-day management (COBIT 5 Framework Exposure Draft: 29)
Department	The Department of Human Settlements, Public Safety and Liaison (Public Safety Branch)
HoD	Head of Department or Organisational Component as per the PSA
ICT	Information and Communications Technology, also referred to as **IT**
ISO/IEC 38500	International Standard on Corporate Governance of ICT (ISO/IEC WD 38500: 2008: 1)
IT	Information Technology , also referred to as ICT
MISS	Minimum Information Security Standards
MIOS	Minimum Interoperability Standards

1. Introduction

The use of IT has become a fundamental business resource in organizations. No organization in the world today can function effectively without information technology and information systems. Information Technology has become such a critical resource for the success of any business or governmental organization.

Investments in information systems hardware, software, and telecommunications equipment now constitutes significant proportion of all capital investment in many organizations. The results of this massive spending in Information Systems and Technologies is reflected in the way organizations conduct business. Cell phones, BlackBerrys, wireless handhelds, e-mail, and online conferencing over the Internet have all become essential business tools.

Over the years, Information never received the same level of attention than people, money and organisation. Some of the main problems were performance measurement and accountability due to the lack of involvement and support from top management performance measurement systems not aligned with department's strategic priorities goals and poor communication. Corporate Governance of ICT requires that all important ICT decisions should come from the senior political and managerial leadership and not delegated to ICT management. This accountability enables the department to align the delivery of ICT services with the department's strategic goals.

This policyframework provides for effective governance of IT, to assist those at the highest level of the Dhsps&l, Public Safety and Liaison (Public Safety branch) to understand and fulfil their legal, regulatory, and ethical obligations in respect of the department's use of Information Technology.

2. Regulatory and Guidance Framework

The following documents inform the development of this Policy framework for the department.

1. Public Service Act 103 of 1994
2. Public Service Regulations 2001
3. Public Finance Management Act 1 of 1999
4. State IT Agency Act 88 of 1998
5. The Corporate Governance of ICT Framework
6. CGICT Assessment Standard
7. COBIT 5
8. ISO/IEC 38500

3. Scope of Application

This policy framework offers guiding principles for executive management of the department on the effective, efficient, and acceptable use of IT within the department. It applies to the governance of management processes and decisions relating to the IT services used by the department.

This policy applies throughout the department in as far as Corporate Governance of ICT is concerned.

4. Purpose

The purpose of this policy framework is to promote effective, efficient, and acceptable use of IT in the department by:

1. Embedding the Corporate Governance of ICT and Governance of ICT as a subset of Corporate Governance in the department.
2. Creating business value through ICT enablement by ensuring business and ICT strategic alignment.
3. Providing relevant ICT resources, organisational structure, capacity and capability to enable ICT service delivery.
4. Achieving and monitoring ICT service delivery performance and conformance to relevant internal and external policies, frameworks, laws, regulations, standards and practices.
5. GITO should be appointed at executive level in order to represent the ICT function on Executive Management.

2

6. Implementing the governance of ICT in the department, based on the COBIT process framework.

5. Corporate Governance in the Department

5.1 The purpose of corporate governance is to create value for the department's stakeholders. It consists of a governance system that affects the way the department is managed and controlled. It also defines the relationships between stakeholders and the strategic goals of the department.

5.2 Corporate governance is a vehicle through which value is created within a departmental context. Value creation means realising benefits while optimising resources and risks. A governance system refers to all the means and mechanisms that enable the department's Executive Authority, HoD and Executive Management to have a structured and organised say in the following:

(a) *Evaluating* internal and external context, strategic direction and risk to conceptualise the department's strategic goals and how they shall be measured;

(b) *Directing* the department in the execution of its strategic goals to ensure that value is realised and risk is managed; and

(c) *Monitoring* the execution of the strategic goals within a department against the measures identified for attaining the strategic goals.

5.3 Corporate governance is also concerned with individual accountability and responsibilities within a department. It describes how the department is directed and controlled and is in particular concerned with the following:

a) Organisation - the organisational structures, and coordinating mechanisms (such as steering forums) established within the institution and in partnership with external bodies;

b) Management – the individual roles and responsibilities established to manage business change and operational services; and

c) Policies - the frameworks established for making decisions and the context and constraints within which decisions are taken.

5.4 The executive leadership, which is accountable, provides the strategic direction of the department. The strategic direction, together with the external and internal context, determines the strategic goals. Corporate Governance of and the Governance of ICT are executed at Executive Management level through the function of evaluation, direction and monitoring. The management of business execution is done through the organisational structure and utilisation of the relevant resources.

3

5.5 The Executive Leadership and Management of the department are accountable and responsible For implementing a governance system.

6. Corporate Governance of ICT in the Department

6.1 The Corporate Governance of ICT is a subset of Corporate Governance and is an integral part of the governance system. In terms of such a system:
   (a) the **Executive Authority** provides the political leadership;
   (b) the **Head of Department** provides the strategic leadership and is accountable for the implementation of the Corporate Governance of ICT; and
   (c) **Executive Management** is responsible for ensuring that the Corporate Governance of ICT is implemented and managed.

6.2 The Corporate Governance of ICT involves evaluating and directing the achievement of strategic goals and using ICT to enable the departmental business and the monitoring of ICT service delivery to ensure continuous service improvement. It includes determining strategic goals, plans and Annual Performance Plans for ICT service delivery.

6.3 The HoD and Executive Management are respectively accountable and responsible for implementing the Corporate Governance of ICT in the department. Effective Corporate Governance of ICT is achieved in the department through:
   (a) Institutionalising a Corporate Governance of ICT Policy Framework that is consistent with the Corporate Governance of the department;
   (b) Aligning the ICT strategic goals with the departmental strategic goals;
   (c) Ensuring that optimum business value is realised from ICT-related investment, services and assets;
   (d) Ensuring that business and ICT-related risks do not exceed the departmental risk appetite and risk tolerance;
   (e) Ensuring that ICT-related resource needs are met in an optimal manner by providing the organisational structure, capacity and capability;
   (f) Ensuring that the communication with stakeholders is transparent, relevant and timely; and
   (g) Ensuring transparency of performance and conformance and driving the achievement of strategic goals through monitoring and evaluation.

4

7. The Principles for the Corporate Governance of ICT

7.1 This Corporate Governance of ICT Policy Framework in the department is based on the seven principles adopted by the DPSA in the CGICTPF, as explained in the international good practice and standards for ICT governance, namely, King III Code, ISO/IEC 38500 and COBIT. The adopted principles are:

(a) *Principle 1: Political Mandate*-The Executive Authority must ensure that Corporate Governance of ICT achieves the political mandate of the department.

(b) *Principle 2: Strategic Mandate* - The HoD must ensure that Corporate Governance of ICT achieves the department's strategic plans.

(c) *Principle 3: Corporate Governance of ICT* - The HoD must create an enabling environment in respect of the Corporate Governance of ICT within the applicable legislative and regulatory landscape and information security context.

(d) *Principle 4: ICT Strategic Alignment* - Executive Management must ensure that ICT service delivery is aligned with the departmental strategic goals and that business accounts for current and future capabilities of ICT. It must ensure that ICT is fit for purpose at the correct service levels and quality for both current and future business needs.

(e) *Principle 5: Significant ICT Expenditure* - Executive Management must monitor and evaluate major ICT expenditure, ensure that ICT expenditure is made for valid business enabling reasons, monitor and manage the benefits, opportunities, costs and risks resulting from this expenditure, while ensuring that information assets are adequately managed.

(f) *Principle 6: Risk Management and Assurance - Executive* Management must ensure that ICT risks are managed within the departmental risk management practice. It must also ensure that the ICT function is audited as part of the departmental audit plan.

(g) *Principle 7: Organisational Behaviour* - Executive Management must ensure that the use of ICT demonstrates the understanding of and respect for organisational behaviour/culture.

5

8. The Corporate Governance of ICT Practices

The Corporate Governance of ICT practices shall be used to cascade the principles for implementation in the department. In which,

1. *The Executive Authority shall:*

(a) provide political leadership and strategic direction, determine policy and provide oversight;

(b) ensure that ICT service delivery enables the attainment of the strategic plan;

(c) take an interest in the Corporate Governance of ICT to the extent necessary to ensure that a properly established and functioning Corporate Governance of ICT system is in place in the department to leverage ICT as a business enabler;

(d) assist the HoD to deal with intergovernmental, political and other ICT-related business issues beyond their direct control and influence; and

(e) ensure that the department's organisational structure makes provision for the Corporate Governance of ICT.

2. *The Head of Department shall:*

(a) provide strategic leadership and management;

(b) ensure alignment of the ICT strategic plan with the departmental and business strategic plans;

(c) ensure that the Corporate Governance of ICT is placed on the department's strategic agenda;

(d) ensure that the Corporate Governance of ICT Policy Framework, charter and related policies for the institutionalisation of the Corporate Governance of ICT are developed and implemented by Executive Management;

(e) determine the delegation of authority, personal responsibility and accountability to the Executive Management with regards to the Corporate Governance of ICT;

(f) ensure the realisation of department-wide value through ICT service delivery and management of business and ICT-related risks;

(g) ensure that appropriate Corporate Governance of and Governance of ICT capability and capacity are provided and a suitably qualified and experienced Governance Champion is designated, who must function at Executive Management level;

(h) Ensure that appropriate ICT capacity and capability are provided and a suitably qualified and experienced GITO, who must function at Executive Management level, is appointed; and

(i) Ensure the monitoring and evaluation of the effectiveness of the Corporate Governance of ICT system.

3. **Risk and Audit Committee shall:**

   (a) assist the HoD in carrying out his/her Corporate Governance of ICT accountabilities and responsibilities.

4. **Executive Management shall ensure:**

   (a) ICT strategic goals are aligned with the department's business strategic goals and support strategic business processes; and

   (b) Business-related ICT strategic goals are cascaded throughout the department for implementation and are reported on.

   (c) Means and Mechanisms:

      i. Advice is provided to the HoD regarding all aspects of the Corporate Governance of and Governance of ICT;

      ii. The Corporate Governance of and Governance of ICT is implemented and managed;

      iii. The necessary strategies, architectures, plans, frameworks, policies, structures (including outsourcing), procedures, processes, mechanisms and controls, and culture regarding all aspects of ICT use (business and ICT) are clearly defined, implemented, enforced and assured through independent audits;

      iv. The responsibility for the implementation of the Corporate Governance of and Governance of ICT is delegated and communicated to the relevant management (senior business and ICT management);

      v. Everyone in the department understands the link between business and ICT strategic goals and accepts their responsibilities with respect to the supply and demand for ICT;

      vi. Significant ICT expenditure is informed by the department's Service Delivery Plan, Enterprise Architecture and ICT Architecture, motivated by business cases, monitored and evaluated;

      vii. The planning and execution of ICT adheres to relevant judicial requirements; and

      viii. ICT-related risks are managed.

   (d) ICT Security:

      i. An information security strategy is approved;

      ii. Intellectual property in information systems is appropriatelyprotected; and

      iii. ICT assets, privacy, security and the personal information ofemployees are effectively managed.

   (e) Organisational Behaviour/Culture:

      i. The use of ICT demonstrates the understanding of and respect for organisational behaviour/culture, which should include humanbehaviour.

9. CGICT Roles and Structures

9.1 Within the governance system, the CGICT and GICT are executed on Political and Strategic Leadership, Executive Management, business and operational levels. Different decision making forums should be established to support the Political and Strategic Leadership and Executive Management in the performance of their CGICT duties.

9.2 The Accounting Officer shall appoint an ICT Governance Champion, an Executive Manager in the department, who shall be responsible to drive Corporate Governance of and Governance of ICT.

9.3 The Governance Champion must:
   (a) be a senior manager at least on the level of a Chief Director who reports to Executive Management. He/she must be an authoritative and articulate person with strong decision-making abilities and the mandate to make decisions and escalate deviances and problems;
   (b) have a clear understanding of the department's core functions;
   (c) be actively involved in the oversight of the formal Corporate Governance System of the department;
   (d) facilitate the alignment process between business and ICT strategy and plans;
   (e) be responsible for developing, implementing, maintaining and communicating the necessary Corporate Governance of ICT policies, structures, processes, procedures, mechanisms, controls/(effective and useful measures), charter and plan;
   (f) oversee that the Governance of ICT system, as a subset of Corporate Governance of ICT is developed, implemented and maintained; and
   (g) be supported by a cross-functional team, which must include representatives from business and the GITO.

9.4 The Accounting Officer shall establish the following committees set out below to assist the political and strategic leadership and the ICT Governance Champion in carrying out their duties with regard the corporate governance of ICT and the Governance of ICT:

9.4.1 *ICT Strategic Committee –*
   (a) which shall conceptualise and oversee the Corporate Governance of ICT, Governance of ICT and the strategic alignment of ICT to the core business of the department;

8

9.4.2 *ICT Steering Committee –*

    (a) which shall coordinate and oversee the planning, implementation and execution of the Corporate Governance of ICT, Governance of ICT, and strategic alignment of ICT to the business of the department and monitor the implementation thereof; and

9.4.3 *ICT Operational Committee –*

    (a) which shall keep track of the day-to-day ICT service management elements as well as reporting on a monthly basis to the ICT Steering Committee on the implementation of the ICT implementation plan;

    (a) The *GITO* function was established in each department to align and execute ICT service delivery with the strategic goals and management plans of the department. The GITO function shall ideally be positioned at an Executive Management level, such that the function can be represented at the strategic management level in the department. The GITO is the most senior official of the department who is responsible for aligning ICT and business strategies and shall be responsible for planning, resourcing and managing the delivery of ICT services and solutions to support departmental strategic objectives. The GITO shall therefore be responsible for the following key practices:

    (b) Alignment of ICT to business strategy;

    (c) Manage Business and ICT relationship;

    (d) Operationalise ICT strategic plan through implementation; and

    (e) Identify opportunities, risk and constraints for ICT to enhance the department.

9.5 The national and provincial *GITO Councils* were established as the principal inter-departmental forum to improve ICT practices of departments on such matters as the design, modernisation, use, sharing, and performance of information and ICT resources.

10. ICT Stakeholders in the Department

10.1 The following table outlines the key internal and external stakeholders with their roles and functions that have a direct influence on the Corporate Governance of ICT policy in the department:

List of Stakeholders	Roles and Functions
Executive Authority	- Provide political leadership for the department
Head of Department	- Provide strategic leadership in the department
Auditor General	- Conduct independent ICT audits
Executive Management	- provide a support function to the various structures and strive towards appropriate execution and implementation of ICT Governance operations within the department - ensure that ICT goals are aligned to the business and ICT Strategy of the organisation - ensure conformance and performance measures and reporting of ICT and ICT Governance - Ensure that business owners shall oversee ICT Service delivery in support of their business enablement
Provincial Internal Audit – ICT Auditor	- provide an appropriate oversight and advisory role to the department to improve on ICT Governance
Enterprise Architect	- A person knowledgeable in the business of the department, who shall be responsible for the structured planning to articulate the business and related processes of the department in an interrelated and standardised way -
Chief Risk Officer	- Implements the Departmental Risk Management Strategy that includes ICT Risks
Chief Financial Officer	- Provides financial management and support
Provincial GITO Council	- Provincial Government Information Technology Officer provides strategic direction on ICT issues. - Provides shared ICT Services and connectivity infrastructure for all provincial departments.
ICT Manager	- responsible for the operational management of ICT
Business Owners	- End users of ICT services
Security Services	- Minimum Information Security Standards unit responsible for overall security of the department.

11. Business and ICT alignment Planning

11.1 The ICT Strategic Committee shall be responsible for the development of a departmental ICT Strategic Plan that is aligned to the business processes, requirements and the five year strategic plan of the department.

11.2 The ICT Strategic Plan should cover at least the Medium Term Expenditure Framework (MTEF) or the Medium Term Strategic Framework (MTSF), which spans the 5 year electoral cycle.

11.3 The ICT Strategic Plan must be updated at least annually but more frequently should business or technology changes present risks or opportunities that should be reflected in the plan.

11.4 The ICT Strategic Plan must contain at least:
(a) A clear definition of the current business processes and requirements of the Department;
    (b) Statements of expected changes in the business and structure of the Department over the coming three years;
    (c) Descriptions of the capabilities of the existing ICT infrastructure;
    (d) Evaluation of the gaps between the current and future business ICT requirements of the Department and the capabilities of the existing ICT infrastructure;
    (e) Proposals to eliminate the gaps referred to in (d) above; and
    (f) Documentation of new technologies, their likely impact on the business of theDepartment and their expected cost.

12. Prescriptive landscape

12.1 Public Service Regulations

The Public service regulations inform CGICT in several areas:

(a) Delegations of Authority in terms of Part II principles:

    ii. The HoDmust delegate responsibilities for ICT;

    iii. Employees must be empowered to make decisions.

(b) Strategic Planning and ICT Alignment:

    i. There must be an Information Systems to monitor progress;

    ii. ICT should provide information for strategic planning;

    iii. ICT should support compliance requirements of the department.

(c) Information Planning and Reporting require the HoD to develop:

    i. An Information Plan aligned to the Strategy;

    ii. An Infrastructure Plan to support the Information Plan;

    iii. An Operational Plan for Information and ICT Infrastructure Management.

(d) e-Government Regulations:

    i. ICT acquisition shall be based on making the department effective, efficient, and improve service delivery directly or indirectly;

ii. Information Security need requires a different breed of security for e-Government and compliance to Minimum Information Security Standard (MISS) is required;

iii. Compliance to Interoperability Standards as with defined in the Minimum Interoperability Standard (MIOS) for each ICT project.

12.2 Public Finance Management Act

(a) The PFMA is applicable to ICT in the financial planning and acquisition of ICT resources and risk management. Procurement and management of ICT assets shall be executed in accordance with the PFMA.

12.3 SITA Act

(a) The State Information Technology Agency provides ICT services to government. The SITA act requires that all ICT goods and services shall be sourced through SITA to achieve economies of scale and standardisation. The department shall align its acquisition processes to SITA as required by the SITA act.

13. Enabling Policies and Plans

The following minimum enabling policies and plans shall be developed and implemented:

13.1 Enterprise Architecture Plan

The department shall develop a Strategic Enterprise Architecture (EA Plan) based on the Government Wide Enterprise Architecture (GWEA) framework.

13.2 Risk Management Policy

The department shall continually identify, assess and reduce ICT-related risks within levels of tolerance set by Executive Management. Risk Management should be informed by the Departmental Risk Management Policy and the current ICT Risk Register and MISS.

13.3 Audit Policy and Plan

The internal audit function shall be capacitated with a suitably qualified and experiencedInformation Systems Auditor to perform ICT Audits

13.4 ICT Portfolio Management Framework

The department shall adopt a project portfolio management methodology for managingits ICT Portfolios and projects in line with the Public Service Requirements. The ICTPortfolio Management Framework shall be defined that ensures the consistent, efficient,and effective implementation of the portfolio of projects as undertaken by the ICTDirectorate.

13.5 ICT Security Planning

The HoD must ensure that classified information, intellectual property and personnel information are protected within ICT systems. The Information Security Policy informsthe ICT Security Plan.

13.6 Business Continuity Plan (BCP)

(i) The Department shall develop a Business Continuity Policy and Plan that enables criticaldepartmental services to be continually delivered to clients.The Business Continuity Plan must inform ICT Continuity Plan.

14. Change Management Plan

The department shall develop a Change Management Policy and Change managementplan that addresses the human behavioural and cultural aspects of the change. A structured and pro-active approach should be followed to ensure acceptance and buy-infrom Political and Strategic Leadership to operational staff of the department.

15. Review of the Policy

This policy shall be reviewed annually depending upon the new developments that have been introduced within the Department.
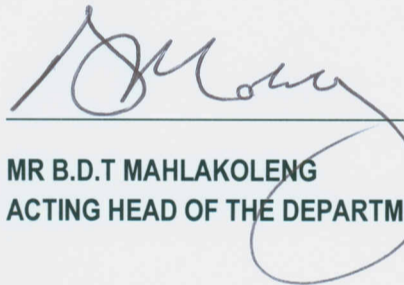
16. Monitoring and Evaluation

15.1 The implementation of the policy shall be monitored through semester reports.
15.2 The ICT Strategic Committee shall evaluate the effectiveness of this policy through annual policy review.

17. Approval

This policy shall come into operation from the effective date i.e. the date upon which it has been signed off and approved by the Accounting Officer.

_____

MR B.D.T MAHLAKOLENG
ACTING HEAD OF THE DEPARTMENT

24/02/2024
DATE