



the dpsa

Department:
Public Service and Administration
REPUBLIC OF SOUTH AFRICA

CORPORATE GOVERNANCE OF INFORMATION AND
COMMUNICATION TECHNOLOGY
ASSESSMENT STANDARD

November 2012

EXECUTIVE SUMMARY

In the execution of the business of a national/provincial department or provincial administration (henceforth called the **department**) it structures and manages the usage of all resources to fulfil its strategic plan. These resources include people, processes, information and technology. Underlying to these resources is the business providing strategic direction to, management of and usage of information and communication technology (ICT) to enable the department in its service delivery efforts.

Within the mandate of the Minister for Public Service and Administration (DPSA) the Minister may prescribe uniform norms and standards for effective and efficient management of the Public Service. This Corporate Governance of ICT Assessment Standard (CGICTAS) is issued in support of the Corporate Governance of ICT Policy Framework (CGICTPF). Departments will be measured for compliance in line with the CGICTAS.

The Department of Performance Monitoring (DPME) and Evaluation requires departments to perform self-assessment on all performance areas, which is moderated through facilitation of the DPME. The DPME in collaboration with the Department of Public Service and Administration (DPSA) and other departments developed the assessment standards per performance area.

The DPSA in consultation with the Government Information Technology Officer's Council (GITOC) developed this Corporate Governance of ICT Assessment Standard (henceforth referred to as **This Standard**).

The purpose of this Standard is to articulate the recommendations of the Corporate Governance of ICT Policy Framework (CGICTPF) into measurable criteria against which the Head of the Department (HoD) can measure the conformance and performance of a department.

The measurements defined in This Standard is applicable across all departments in the Public Service and provides for:

- a) A standard approach to conform to and perform according to the CGICTPF;
- b) Standard criteria for conformance and performance measurement; and
- c) Common measurement standard for the mandates of both the DPSA and DPME.

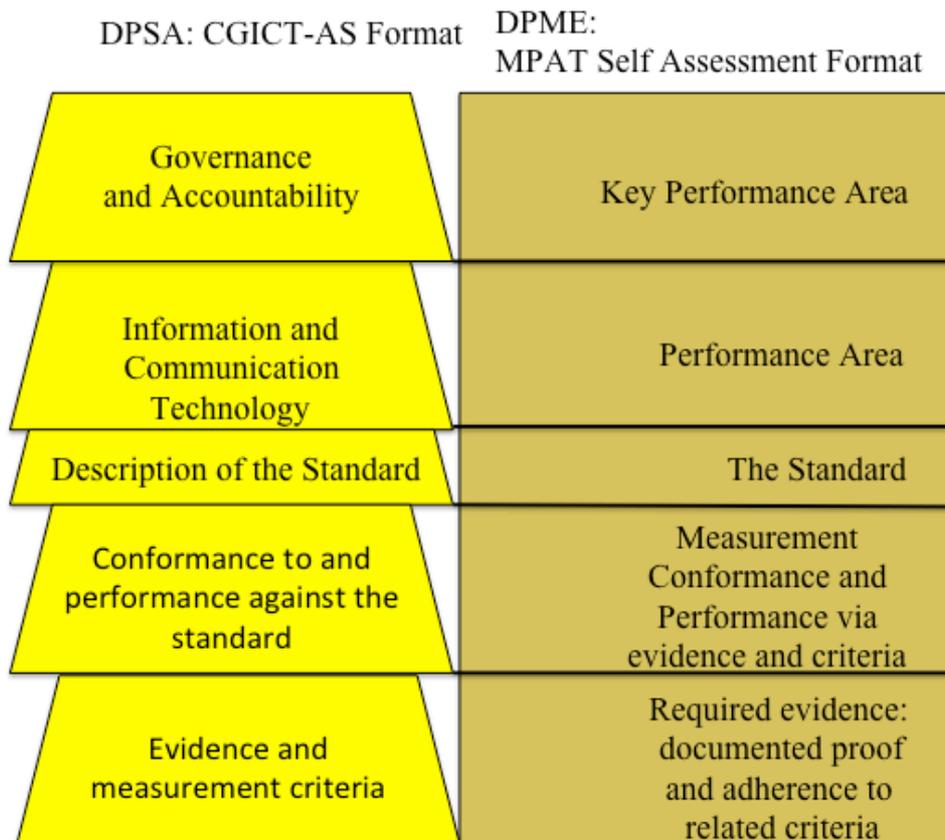
The Corporate Governance of ICT has the potential to transform the way in which the Public Service deliver services to the citizens. This Standard, as an extension to the CGICTPF, provides a platform through which HoDs

and Executive Management of departments can assess their conformance and performance in governing and managing ICT as a business enabler.

1. Structure of the standard

The structure of the standard is aligned with that of the Management Performance Assessment Tool (MPAT) as developed by the Presidency DPME. The following Figure 1 depicts the structure:

FIGURE 1: MPAT AND CGICT ASSESSMENT STANDARD STRUCTURES



The structure is applied as follows:

- 1.1. **Key Performance Area: Governance and Accountability**
- 1.2. **Performance Area:** Information and Communication Technology
- 1.3. **Standard** - the department has implemented:
 - a. The Corporate Governance of ICT;
 - b. Business and ICT alignment;
 - c. Management of the ICT function from a business perspective; and
 - d. The department achieves continuous improvement in all three areas (a to c).

1.4. Conformance Measurement

Conformance measurement provides an indication whether the department complies too the relevant conformance standard (See Table 1). It also shows whether the conformance evidence of the department adheres to the determined criteria as per the evidence's conformance criteria (See Table 2).

1.4.1. Conformance Self-assessment Evidence

This is a set of documents (policies, charter, plans and reports) that must be developed, approved and implemented by departments in line with the Public Service Regulations and Corporate Governance of ICT Policy Framework. Evidence may also include additional documentation when requested.

1.4.2. Conformance Evidence Criteria

Each of the evidence documents has to address certain minimum conformance criteria. (See Table 2.) If a department adheres to these criteria it indicates that the evidence document conforms to the criteria, which are seen to render the document usable, applicable, and, if implemented, will add value to the department.

1.5. Performance Measurement

Performance measurement is an indication that the department is in a process of or has completed the implementation of the evidence. (See Table 1, Levels 2 and 3)

When a department furthermore shows that it has implemented the evidence documents and is in a process of implementing improvements measures, the department adheres to Table 1, Level 4.

1.5.1. Performance Self-assessment Evidence

The relevant evidence according to Table 1, Level 2 to 4 must be provided.

1.5.2. Performance Evidence Criteria

The department provides proof that the implementation of the evidence documents is in progress or implementation is complete.

Furthermore the department provides proof that evidence documents are successfully implemented and that the department has planned and is in a process of implementing improvement plans for the Corporate Governance of ICT, business service delivery and ICT alignment and the business management of the ICT function.

2. CGICT ASSESSMENT EVIDENCE AND CRITERIA

In the application of MPAT the following assessment Conformance and Performance evidence and criteria apply:

Table 1: Conformance and Performance Levels

Level	Description	Evidence
Level 1 Non Conformance	<ul style="list-style-type: none"> • A department does not conform to the standard as <u>no evidence</u> was provided. • Proof was provided that the required evidence is in a <u>development process</u>. • Proof that the required evidence is <u>completed</u>, but <u>not yet approved</u>. • Some or all of the approved evidence provided was <u>approved more than 3 years ago</u>. • Some of the evidence was provided but its <u>criteria do not correspond</u> with that specified in Table 2. 	<ul style="list-style-type: none"> • Corporate Governance of ICT Policy • Corporate Governance of ICT Charter • ICT Plan • ICT Implementation Plan • ICT Operational Plan
Level 2 Partial Conformance	<p>As per level 1 plus:</p> <ul style="list-style-type: none"> • Some of the evidence was provided was approved less than 3 years ago • The <u>criteria of the approved evidence correspond with the Table 2</u> • Proof is provided that some of the approved evidence is being implemented 	<p>As per level 1 plus:</p> <ul style="list-style-type: none"> • Implementation Project Plan on approved evidence
Level 3 Full Conformance	<p>As per level 2 plus:</p> <ul style="list-style-type: none"> • All evidence are provided and approved less than 3 years ago • All of the evidence provided are implemented • All of the performance self-assessment evidence exist and its criteria correspond with that of the Table 2. The department provides proof that it has implemented all evidence documents. 	<p>As per level 2 plus:</p> <ul style="list-style-type: none"> • Implementation project close-out report on all evidence
Level 4 Continuous Improvement	<p>As per level 3 plus:</p> <ul style="list-style-type: none"> • The department has advanced in the implementation of the evidence to a point where continuous improvement of the Corporate Governance of ICT system, business and ICT alignment, the business management of ICT, governance and operational Management of ICT are achieved. • Continuous improvement is being implemented 	<p>As per level 3 plus:</p> <ul style="list-style-type: none"> • Continuous Improvement Roadmap that is linked to the APP is revised and approved at least every 3 years • Continuous Improvement Roadmap annual implementation project progress report • The following are revised and approved at least every 3 years: <ul style="list-style-type: none"> – ICT Plan – ICT Implementation Plan

3. APPLICATION OF THE STANDARD

The evidence required from departments need to be submitted on the DPME MPAT tool. The assessment of the Corporate Governance of ICT must be performed by the departmental Executive Management Committee under Chairpersonship of the HoD. The signed minutes of this meeting must be attached to the MPAT as evidence.

Table 2: Evidence and Criteria for CGICT Assessment

<p>Assessment Evidence No1: Corporate Governance of ICT Policy (CGICTP) <i>(As informed by the Corporate Governance of ICT Policy Framework published by the DPSA)</i> <i>(Note: This policy is owned and developed by the business owners of the department.)</i></p>
<p>Conformance Criteria The policy shows the departmental interpretation of how the <i>principles and practices</i> of the Corporate Governance of ICT Policy Framework will be implemented in the department</p> <p>Performance Criteria CGICTPF implementation is in process, is completed or the department is implementing continuous improvement</p>
<p>Assessment Evidence No.2: Corporate Governance of ICT Charter (CGICTC) <i>(As informed by the Corporate Governance of ICT Policy Framework published by the DPSA)</i> <i>Note: This is not necessarily a separate document from the Corporate Governance of ICT Policy</i> <i>(Note: This Charter is owned and developed by the business owners of the department.)</i></p>
<p>Conformance Criteria:</p> <ul style="list-style-type: none"> • Accountability for departmental corporate governance of ICT is allocated • Business and ICT structures defined • Business and ICT roles and responsibilities defined • Business and ICT decision making powers defined • Business and ICT delegations allocated <p>Performance Criteria:</p> <ul style="list-style-type: none"> • CGICTC implementation is in process, is completed or the department is implementing continuous improvement
<p>Assessment Evidence No. 3: Departmental/Provincial Information Plan</p>

(Note: This plan is owned and developed by the business owners of the department.)

Performance Criteria

Mapping of the elements of the information plan in the ICT Plan

Assessment Evidence No. 4:

Departmental/Provincial ICT Strategy / ICT Plan / Master Systems Plan / ICT Systems Plan

Note: Henceforth referred to as the: **ICT Plan**

(Note: This plan is owned by the business owners of the department and developed in cooperation with the GITO.)

Conformance Criteria:

- Departmental business articulation: (Departmental business assurance that ICT understands the business and its processes)
- Business service delivery and ICT alignment
- Current and future ICT status: skills, structure and policies
- Multi-year high-level ICT implementation roadmap
- ICT Implementation Plan (See Evidence No.5)
- Business management of ICT
- Methodology of business engagement of ICT which include commitment from the HoD and Executive Management team, as well as the role of the business champion (non-ICT person at senior / strategic level)
- ICT critical success factors with its related risk assessment
- Mapping of ICT Plan business processes

Performance Criteria:

ICT Plan implementation is in process, is completed or the department is implementing continuous improvement

Assessment Evidence No. 5:

ICT Implementation Plan

Note: ***This is not necessarily a separate document from the ICT Plan***

(Note: This plan is owned by the business owners of the department and developed in cooperation with the GITO.)

Conformance Criteria:

- Detailed ICT implementation roadmap that reflects annual milestones as derived from the high-level roadmap
- Departmental programme and project management plan that reflects ICT projects
- Medium term ICT budget requirements

Performance criteria:

- Annual business programme management report reflects implementation of ICT high-level roadmap
- Business related ICT budget reflects ICT Plan
- Business spend on ICT is aligned with the ICT Plan

Assessment Evidence No. 6:

ICT Operational Plan

(Note: This plan is owned and developed by the GITO, however the business owners of the department must ensure that the operational arrangements of ICT supports the business

execution of the department.)

Conformance Criteria

- ICT operational policies
- IT assets, resources, capacity and capability optimised
- Applications, information and technology use and management
- Management of ICT related business risk

Performance Criteria

ICT Operational Plan implementation is in process, is completed or the department is implementing continuous improvement

Assessment Evidence No. 7:

- Continuous Improvement Roadmap

The following plans must be revised at least every 3 years:

- ICT Plan
- ICT Implementation Plan
- ICT Operational Plan
- ***(Note: This is owned by both the business, on a strategic level, and the GITO, on an operational level, and developed as such.)***

Conformance Criteria:

- Roadmap, linked to the Annual Performance Plans to improve the quality and functionality of:
 - The Corporate Governance of ICT (CGICT) system
 - Business and ICT service delivery alignment
 - Business management of ICT
 - Governance of, and operational management of ICT

Performance Criteria:

- How improvements of the following is planned and being implemented
- Improvement plan depicted in a improvement project plan
- Changes being implemented