

## ISO/IEC JTC 1 N9694

2009-09-09

**Replaces:**

### ISO/IEC JTC 1 Information Technology

**Document Type:** proposed NP

**Document Title:** Proposal for a New Work Item on Governance of IT – Framework and Model

**Document Source:** National Body of Australia

**Project Number:**

**Document Status:** This document is forwarded to JTC 1 National Bodies for a three month letter ballot. Please submit your vote via the online balloting system.

**Action ID:** VOTE

**Due Date:** 2009-12-10

**No. of Pages:** 6

## New Work Item Proposal

July 2009

### PROPOSAL FOR A NEW WORK ITEM

Date of presentation of proposal: 2009-07-23	National Body of Australia
Secretariat: USA (ANSI)	ISO/IEC JTC 1 N 9694

A **proposal for a new work item** shall be submitted to the secretariat of the ISO/IEC joint technical committee concerned with a copy to the ISO Central Secretariat.

#### Presentation of the proposal

<b>Title</b> Governance of IT – Framework and Model
<b>Scope:</b> The scope of this work is to develop a Technical Report (TR) to describe a framework and model for the Governance of IT and the relationship with associated functions and systems for the management of IT systems
<b>Purpose and justification:</b> The purpose of this work is to define a model that can be used to establish the boundaries and relationships between governance and management in the area of Information Technology. This includes establishing clear definitions and terminology for governance of IT. The work will also provide a basis for a later gap analysis between existing standards and provide a basis for further development of standards in the area of governance of IT. The work will address the requirement within JTC 1/WG 6's terms of reference of "performing a gap analysis and defining a framework and models for the corporate governance of IT and relationships with associated functions and systems for the management of IT activities".
<b>Programme of work</b> If the proposed new work item is approved, which of the following document(s) is (are) expected to be developed? <input type="checkbox"/> a single International Standard <input type="checkbox"/> more than one International Standard (expected number: ..... ) <input type="checkbox"/> a multi-part International Standard consisting of ..... parts <input type="checkbox"/> an amendment or amendments to the following International Standard(s) ..... <input checked="" type="checkbox"/> a technical report , type 23..... And which standard development track is recommended for the approved new work item? <input checked="" type="checkbox"/> a. Default Timeframe <input type="checkbox"/> b. Accelerated Timeframe <input type="checkbox"/> c. Extended Timeframe

Relevant documents to be considered

- ISO/IEC 38500:Corporate Governance of IT
- ISO 31000:2009 –Risk management -- Principles and guidelines
- ISO 9001:2008 Quality management systems -- Requirements
- ISO/IEC FCD 20000 series of standards
- ISO/IEC 27000 series of standards
- ISO/IEC JTC 1 Study Group on IT Governance Report N0038, DATE: 2008-10-09
- Other Governance Material such as COSO, Cadbury report, OECD Principles of Corporate Governance,
- ITIL
- ISACA's family of products (Board Briefing on IT governance, COBIT, Val IT), ITIL

**Co-operation and liaison:**

- JTC1/SC7
- JTC1/SC27
- ISACA/ITGI
- itSMF-I

**Preparatory work offered with target date(s)**

**Signature:**

Will the service of a maintenance agency or registration authority be required? ..... No .....

- If yes, have you identified a potential candidate? .....

- If yes, indicate name .....

Are there any known requirements for coding? ..... No .....

-If yes, please specify on a separate page

Does the proposed standard concern known patented items? .. No .....

- If yes, please provide full information in an annex

**Comments and recommendations of the JTC 1 or SC Secretariat** - attach a separate page as an annex, if necessary

**Comments with respect to the proposal in general, and recommendations thereon:**

It is proposed to assign this new item to JTC 1/WG 6 and to be under the management and General Editorship of Max Shanahan, Australia/ISACA. Support for this work item has been indicated by Australia, Spain, South Africa, UK and Sweden and liaison organisations ITSMF and ISACA.

**Voting on the proposal** - Each P-member of the ISO/IEC joint technical committee has an obligation to vote within the time limits laid down (normally three months after the date of circulation).

**Date of circulation:**

2009-09-09

**Closing date for voting:**

2009-12-10

**Signature of Secretary:**

Lisa Rajchel

<b>NEW WORK ITEM PROPOSAL - PROJECT ACCEPTANCE CRITERIA</b>		
<b>Criterion</b>	<b>Validity</b>	<b>Explanation</b>
<b>A. Business Requirement</b>		
A.1 Market Requirement	Essential <input checked="" type="checkbox"/> Desirable <input type="checkbox"/> Supportive <input type="checkbox"/>	<p>The work item is to address WG 6's terms of reference requirement "performing a gap analysis and defining a framework and models for the corporate governance of IT and relationships with associated functions and systems for the management of IT activities".</p> <p>Standards relating to governance are being developed or being proposed within SC 7 and SC 27. There is also the potential reference to governance and related management control systems within other standards.</p> <p>Unless there is a consistent model and terminology in the area of governance, there will be confusion in the market resulting in lack of acceptance. There is already market confusion by inappropriate application of the term governance to management systems, control framework and information system which are not in themselves, governance.</p> <p>This NWI will facilitate common and consistent approach to development of governance standards and terminology and clarify the boundaries between various developments.</p> <p>The model will also be input into a gap analysis required in the terms of reference.</p>
A.2 Regulatory Context	Essential <input type="checkbox"/> Desirable <input type="checkbox"/> Supportive <input checked="" type="checkbox"/> Not Relevant <input type="checkbox"/>	<p>Differing regulations exist in each country, supporting aspects of governance of IT (e.g. Various electronics communications legislation, Sarbanes-Oxley, Basel II, King II.</p>
<b>B. Related Work</b>		

B.1 Completion/Maintenance of current standards	Yes <input checked="" type="checkbox"/> ___ No <input type="checkbox"/> ___	This will provided input into a review of ISO/IEC 38500.
B.2 Commitment to other organisation	Yes <input type="checkbox"/> ___ No <input checked="" type="checkbox"/> ___	
B.3 Other Source of standards	Yes <input type="checkbox"/> ___ No <input checked="" type="checkbox"/> X	
<b>C. Technical Status</b>		
C.1 Mature Technology	Yes <input type="checkbox"/> ___ No <input checked="" type="checkbox"/> X	Many frameworks exist on this topic, without a common reference
C.2 Prospective Technology	Yes <input type="checkbox"/> ___ No <input checked="" type="checkbox"/> X	
C.3 Models/Tools	Yes <input checked="" type="checkbox"/> X No <input type="checkbox"/> ___	The NWI involves the development of a model that may be used to define how the relationship between governance and management are treated.
<b>D. Conformity Assessment and Interoperability</b>		
D.1 Conformity Assessment	Yes <input type="checkbox"/> ___ No <input type="checkbox"/> X <input type="checkbox"/> _	
D.2 Interoperability	Yes <input type="checkbox"/> X <input type="checkbox"/> ___ No <input type="checkbox"/> ___	See list of "relevant documents to be considered" in the NWI.
<b>E. Cultural and Linguistic Adaptability</b>	Yes <input type="checkbox"/> ___ No <input type="checkbox"/> X <input type="checkbox"/> ___	
<b>F. Other Justification</b>		

## **Notes to Proforma**

**A. Business Relevance.** That which identifies market place relevance in terms of what problem is being solved and or need being addressed.

A.1 Market Requirement. When submitting a NP, the proposer shall identify the nature of the Market Requirement, assessing the extent to which it is essential, desirable or merely supportive of some other project.

A.2 Technical Regulation. If a Regulatory requirement is deemed to exist - e.g. for an area of public concern e.g. Information Security, Data protection, potentially leading to regulatory/public interest action based on the use of this voluntary international standard - the proposer shall identify this here.

**B. Related Work.** Aspects of the relationship of this NP to other areas of standardisation work shall be identified in this section.

B.1 Competition/Maintenance. If this NP is concerned with completing or maintaining existing standards, those concerned shall be identified here.

B.2 External Commitment. Groups, bodies, or fora external to JTC 1 to which a commitment has been made by JTC for Co-operation and or collaboration on this NP shall be identified here.

B.3 External Std/Specification. If other activities creating standards or specifications in this topic area are known to exist or be planned, and which might be available to JTC 1 as PAS, they shall be identified here.

**C. Technical Status.** The proposer shall indicate here an assessment of the extent to which the proposed standard is supported by current technology.

C.1 Mature Technology. Indicate here the extent to which the technology is reasonably stable and ripe for standardisation.

C.2 Prospective Technology. If the NP is anticipatory in nature based on expected or forecasted need, this shall be indicated here.

C.3 Models/Tools. If the NP relates to the creation of supportive reference models or tools, this shall be indicated here.

## **D. Conformity Assessment and Interoperability**

D.1 Indicate here if Conformity Assessment is relevant to your project. If so, indicate how it is addressed in your project plan.

D.2 Indicate here if Interoperability is relevant to your project. If so, indicate how it is addressed in your project plan

**E. Cultural and Linguistic Adaptability** Indicate here if cultural and linguistic adaptability is applicable to your project. If so, indicate how it is addressed in your project plan.

**F. Other Justification** Any other aspects of background information justifying this NP shall be indicated here