ISO/IEC JTC 1 N 9255   2008-08-26

ISO/IEC JTC 1
Information Technology

Document Type:	**Other Document(Defined)**
Document Title:	**IT and Governance Standards Information Request.**
Document Source:	**JTC1 Study Group on IT Governance (JTC1 SGITG) Secretariat**
Reference:	
Document Status:	**This document is circulated to JTC 1 Sub Committee and Working Group Convenors for comment. Please submit your response to the JTC1 Study Group on IT Governance (JTC1 SGITG) Secretariat by the due date indicated.**
Action ID:	**Vote**
Due Date:	**2008-09-07**
No. of Pages:	**6**

ISO/IEC JTC 1
Study Group on IT Governance
Secretariat: SA (AU)

DOC TYPE: Request for information.

TITLE: IT and Governance Standards Information Request.

SOURCE: JTC1 Study Group on IT Governance (JTC1 SGITG) secretariat.

PROJECT:

STATUS: The JTC1 SGITG secretariat requests the JTC1 secretariat to distribute JTC1-SGITG-N0032 to all JTC1 Sub Committees and Working Group Convenors.

ACTION ID: ACT

DUE DATE: 2008-09-07

DISTRIBUTION: JTC1 Secretariat, JTC1 Sub Committees and Working Groups convenors, JTC1 SGITG members.

MEDIUM: E-mail

NO. OF PAGES: 5

IT and Governance Standards Information Request
# JTC1 Study Group on IT Governance

1   INTRODUCTION

The Joint Technical Committee (JTC1) of the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC) established the Study Group on Corporate Governance of IT in November 2007. The Study Group is to report to the October 2008 Plenary Meeting of JTC1 on "the need and feasibility of additional standardization and/or guidance in the area of ICT Governance".

At its first meeting in Sydney, in February 2008, the Study Group determined a need to understand the extent to which published and near publication (final draft) standards address two topics: "Corporate Governance of IT" and "Management Control of IT".

The Study Group has adopted a Standards Categorization Model developed by two of its members. Details of the model and its foundation can be found in JTC1-SGITG-N0021, a copy of which is available at:
https://committees.standards.org.au/COMMITTEES/IS-002/N0021/IS-002-N0021.PDF.

2   STANDARDS CATEGORIZATION MODEL
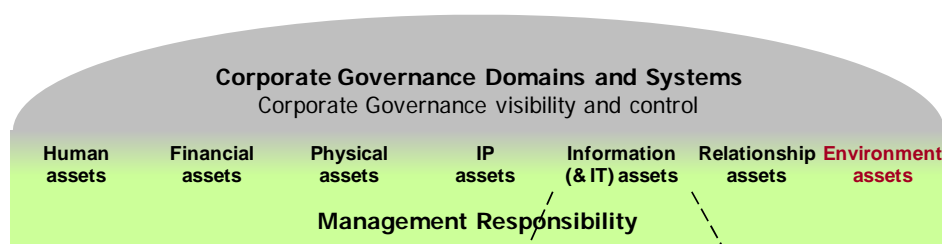
The Standards Categorization Model is based on the notion that corporate governance spans several "domains", one of which is Information Technology. It then identifies that there are five broad categories of standard that may be established with regard to Information Technology.

The Corporate Governance Category contains those standards which fit the definition of Corporate Governance of IT as specified in ISO/IEC 38500 – that relate to "the system by which the current and future use of IT is directed and controlled". This includes ISO/IEC 38500, its predecessor, AS8015, and the forthcoming Australian Standard AS8016.

The Management Control Category contains those standards that fit the definition of Management Control in ISO/IEC 38500 – that relate to "the system of controls and processes required to achieve the strategic objectives set by the organisation's governing body". There are likely to be numerous standards within the Management Control Category. There may also be management topics for which there are few current standards – and it is not unreasonable for contributors to note these topics. Some possible management fields in which there may or may not be standards at present are Service Management, Security, Architecture, Configuration, Projects, Resources, Quality and Risk.

Other topics that would be covered in Management Control include Portfolio Management, Business Continuity and Disaster Recovery. Thus, the framework provides a way of positioning industry and defacto standards, frameworks and methodologies such as Prince2, COBIT, ValIT, TOGAF and ITIL relative to corresponding formal national and international standards.

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The Systems & Applications Category contains standards that relate to a specific use of IT to provide a capability to an organisation. Examples of such standards are those relating to Electronic Funds Transfer (EFT) and satellite navigation systems. As standards are classified in this category, it may also be useful to cluster them into groups – though this step is not necessary for the purposes of the Study Group.

The Technical Delivery Category contains standards that relate to the design and construction of Systems and Applications. These include standards for design, construction and testing of business systems, communications networks and data centres, as well as standards for programming techniques, requirements modelling, data modelling and database design.

The Components and Interfaces Category contains standards that relate to the basic building blocks of Information Technology. These include standards for encoding data (whether in databases or in interfaces), standards for programming languages, standards for hardware components and standards describing communications protocols.

3   INFORMATION REQUEST AND INSTRUCTIONS

Recipients of this Information Request are asked to provide information about the organization they represent, and the standards governed by that organization, in respect of the Standards Categorization Model described above. The scope of information provided should be limited to standards relating partially or entirely to information technology. There is no requirement for information about standards that do not relate to IT. There is also no requirement for information on standards that relate only to the lower three layers of the Standards Categorisation Model.

This information should be provided in the form, and according to the guidance overleaf.

Please provide one data sheet for each standard. The purpose of this survey is not to analyse the depth to which the respective topics are addressed, but to assess the orientation of the standard.

To the greatest extent possible, information should be returned to the Study Group Secretariat Andrew.mckay@standards.org.au no later than 07 September 2008.

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Item	Response	Guidance
Preamble		Have you read the preamble and worked examples? If you have not done so, you may find that your responses to this questionnaire are inconsistent with the intent.
Responding Organization		Full Name of the organization providing information about its standards and standards development activities.
Contact Person		Details of Person Providing Information, including contact details and affiliation with Responding Organization.
Document Name		English name of a current or proposed standard (e.g. Corporate Governance of Information Technology).
Document Identifier		Specific number or other identifier used to uniquely reference a standard or guide (e.g. ISO/IEC 20000:2005 Part 1).
Document Type		(e.g. International Standard, National Standard, Framework etc).
Controlling Organization		Name of the organization responsible for developing and maintaining the document (e.g. ISO, JTC1, UK OGC, ISACA).
Primary Domain of Standard		Select one of the identified Domains, or specify a new one: Human, Financial, Physical, Intellectual Property, Information Technology, Relationship, Environment, Other. Most standards to be described will be in the Information Technology Domain.
Primary focus of Standard		Select one of the five categories: Corporate Governance, Management Control, Systems & Applications, Technical Delivery, Components & Interfaces.
Primary Intended audience		What individuals/roles are defined as the primary audience for this standard?
Corporate Governance of IT		Describe the extent to which the document provides guidance or specification in each category, using this scale:
Management Control of IT		0 = the standard has no coverage of the category 1 = the standard has peripheral reference to the category
Systems & Applications		2 = the standard has minor elements relating to the category 3 = the standard has significant elements relating to the category 4 = the standard has substantial elements relating to the category
Technical Delivery		5 = the standard is exclusively relevant to the category
Components & Interfaces		

The following is a worked example, based on ISO/IEC 38500

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Item	Response	Guidance
Preamble	Yes	Have you read the preamble and worked examples? If you have not done so, you may find that your responses to this questionnaire are inconsistent with the intent.
Responding Organization	ISO/IEC JTC 1/SC 7	Full Name of the organization providing information about its standards and standards development activities.
Contact Person	Mark Toomey, for SC7/WG1A Convenor	Details of Person Providing Information, including contact details and affiliation with Responding Organization.
Document Name	Corporate Governance of Information Technology	English name of a current or proposed standard (e.g. Corporate Governance of Information Technology).
Document Identifier	ISO/IEC 38500	Specific number or other identifier used to uniquely reference a standard or guide (e.g. ISO/IEC 20000:2005 Part 1).
Document Type	International Standard	(e.g. International Standard, National Standard, Framework etc).
Controlling Organization	JTC1	Name of the organization responsible for developing and maintaining the document (e.g. ISO, JTC1, UK OGC, ISACA).
Primary Domain of Standard	Information	Select one of the identified Domains, or specify a new one: Human, Financial, Physical, Intellectual Property, Information Technology, Relationship, Environment, Other. Most standards to be described will be in the Information Technology Domain.
Primary focus of Standard	Corporate Governance	Select one of the five categories: Corporate Governance, Management Control, Systems & Applications, Technical Delivery, Components & Interfaces.
Primary Intended audience	Directors, top managers and their advisors	What individuals/roles are defined as the primary audience for this standard?
Corporate Governance of IT	5	Describe the extent to which the document provides guidance or specification in each category, using this scale: 0 = the standard has no coverage of the category
Management Control of IT	1	1 = the standard has peripheral reference to the category
Systems & Applications	0	2 = the standard has minor elements relating to the category 3 = the standard has significant elements relating to the category
Technical Delivery	0	4 = the standard has substantial elements relating to the category 5 = the standard is exclusively relevant to the category
Components & Interfaces	0	