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**ISO/IEC JTC 1**  
**Information Technology**

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**Document Status:** This document is circulated to JTC 1 National Bodies for concurrent review. If the JTC 1 Secretariat receives no objections to this proposal by the due date indicated, we will so inform the SC 7 Secretariat.

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## ISO/IEC JTC1/SC7 N4163

2008-10-06

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<b>Project</b>	
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## New Work Item Proposal

July 2008

### PROPOSAL FOR A NEW WORK ITEM

Date of presentation of proposal: 2008-10-06	SC7
Secretariat: Standards Council of Canada (SCC)	<b>ISO/IEC JTC 1 N XXXX</b> ISO/IEC JTC 1/SC7 N 4163

**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> Information Technology – Corporate Governance of IT Implementation Guide
<b>Scope:</b> The scope is to create a guide in the application of the ISO 38500 standard concerning Corporate Governance of IT. The guide should help those who are involved in designing, implementing and using systems of governance (including directors, company secretaries, executive managers, governance specialists and other internal and external personnel) to ensure that the organisation's corporate governance system (the Governance System for IT) enables directors to properly evaluate, direct and monitor the use of IT and that the system promotes conformance with the principles for good corporate governance of IT.  This will provide a guide on the design and establishment of the corporate governance system, in terms of structures, policies, processes, metrics, roles, responsibilities, controls and boundaries
<b>Purpose and justification:</b> This purpose of this guide is to facilitate the rapid and consistent adoption of the ISO 38500 standard on Corporate Governance of IT by the international market. This work further aims to provide common reference for the establishment of the Corporate Governance of IT cycle of evaluating, directing and monitoring. This guide will also provide clear guidance for organisations adopting process frameworks such as ITIL, CobiT and ValIT on the concurrent application of ISO 38500.
<b>Programme of work</b> (Please refer to informative Annex A for more detail) 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 2..... And which standard development track is recommended for the approved new work item? <input type="checkbox"/> a. Default Timeframe <input checked="" type="checkbox"/> b. Accelerated Timeframe <input type="checkbox"/> c. Extended Timeframe

**Relevant documents to be considered**

- ISO/IEC 12182 – Vocabulary
- ISO/IEC TR 24774: System and software engineering — Life Cycle Management — Guidelines for process definition
- W071043-FDIS 12207:2007 Software Engineering Lifecycle processes
- W071044- FDIS 15288:2007 System Engineering Lifecycle processes
- ISO/IEC 20000-1:2005, Information technology – Service management – Part 1: Specification
- ISO 31000 – Risk management
- ISO 38500 – Corporate Governance of IT
- ISO 29155 – IT performance benchmarking

**Co-operation and liaison:**

- Internal SC7 liaison with WG7 and WG25
- JTC1/SC27
- ISACA and ITGI (for CobiT and ValIT)
- itSMF and United Kingdom Office of Government Computing (for ITIL)
- CSI – Companies Secretaries Institute
- IoDs – Institute of Directors

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

South Africa NB will offer preparatory work on organisational leadership processes – November 2008

**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 7 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/SC 7/WG1a and to be under the management and General Editorship of Pieter Neethling. Co-Editors have been offered by Singapore, Australia, New Zealand, Korea. Support for this work item has been indicated by Australia, New Zealand, Japan, Finland, South Africa, USA, Luxembourg, Korea, Spain, UK and liaison organisations ITSMF, ISACA and ITGI. Early market response to ISO 38500 has indicated extensive interest in the new standard and an acute need for implementation guidance.

**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).

<b>Date of circulation:</b> 2008-10-08	<b>Closing date for voting:</b> 2009-01-08	<b>Signature of Secretary:</b> W. Suryn
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<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"/>	Based on market demand for IT governance the Australian standard on Corporate Governance of IT (AS8015) has been fast tracked and through various ballot resolutions the draft standard (DIS28382) progressed to be published as ISO 38500 in June 2008. This is a confirmation of the requirement from the market for a standard in the corporate governance of IT sphere. This NWI will facilitate the adoption and common implementation approach of ISO 38500. Company secretaries and other practioners who are the architects of corporate governance in organisations require guidance on the construction of architecture for corporate governance of IT. This NWI will provide the minimum architecture guidance to implement ISO 38500
A.2 Regulatory Context	Essential <input type="checkbox"/> Desirable <input type="checkbox"/> Supportive <input checked="" type="checkbox"/> Not Relevant <input type="checkbox"/>	Different regulations exist in each country, supporting varying aspects of governance of IT (e.g. Various electronics communications legislation, Sarbanes-Oxley, Basel II, King II) This NWI will provide common guidance on the alignment of ISO 38500 within a regulatory context
<b>B. Related Work</b>		
B.1 Completion/Maintenance of current standards	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	

B.2 Commitment to other organisation	Yes ____ No_ X _	
B.3 Other Source of standards	Yes _X_ No__	ISO 38500
<b>C. Technical Status</b>		
C.1 Mature Technology	Yes ____ No_ X__	Many frameworks exist on this topic, without a common standard reference
C.2 Prospective Technology	Yes _X_ No__	Many failures in the Corporate Governance of IT, demands that the adoption rate of ISO 38500 is facilitated through the development of a implementation guideline for Corporate Governance of IT
C.3 Models/Tools	Yes ____ No_ X _	
<b>D. Conformity Assessment and Interoperability</b>		
D.1 Conformity Assessment	Yes ____ No__ X _	
D.2 Interoperability	Yes _ X _ No__	See list of "relevant documents to be considered" in the NWI.
<b>E. Cultural and Linguistic Adaptability</b>	Yes____ No__ X ____	
<b>F. Other Justification</b>		

## **Annex A – Exemplar work programme and framework for Corporate Governance of IT implementation guide**

### **A.1 – The proposed work programme will consider the following activities**

- Review of literature and standards
- Refine Corporate Governance of IT implementation guide framework
- Obtain ISACA, ITsmf, SODs and SMEs contributions
- National Body contributions
- Develop and populate framework content to deliver a Working Draft

### **A.2 – The framework for the development of the Corporate Governance of IT implementation guide considers:**

1. Introduction
2. Scope
3. Objectives
4. Definitions
5. Audience
6. Corporate governance system components:
  - Define and establish strategic intent (e.g. impact, outcomes ....)
  - Define and establish principles (as per ISO 38500)
  - Define and establish structure (e.g. committees, reporting lines, ..)
  - Define and establish roles (e.g. chair, sponsor, stakeholders, decision rights,)
  - Define and establish policy (e.g. accountability, communication, mandate, ..)
  - Define and establish controls (including those that cover risk management)
  - Define and establish process goals (goals that will define the formulation of processes and required outcomes)
  - Define and establish processes (e.g. decision making, communications, compliance, exceptions, appeals, performance review, reporting, ...)
  - Define and establish governance and performance metrics (outcomes to demonstrate governance assurance towards realising strategic intent)

## **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