

**Northern Cape Department of
TRANSPORT, SAFETY & LIAISON**




IT Charter

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Document Approval

This document has been endorsed and approved:



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Glossary of Terms

AG	Auditor-General of South Africa
Business	The business of the department refers to the department's service delivery and internal support activities
CGICTPF	Corporate Governance of ICT Policy Framework
Corporate	<p>Public Service-wide level: A group of related departments that enables the Public Service to achieve its strategic mandate</p> <p>Department level: A group of related components that enables a department to achieve its strategic mandate</p> <p>For the purpose of this Framework, Corporate means the same as Enterprise</p>
Corporate Governance	<p><i>"...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)</i></p> <p>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)</p>
Corporate Governance of ICT	<p>The system by which the current and future use of ICT is directed and controlled.</p> <p>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)</p>
Department	<p>A national department, a national government component, the Office of a Premier, a provincial department or a provincial government component (Public Service Act 103 of 1994, as amended) (PSA)</p> <p>For the purpose of the CGICTPF reference to department includes public administration in all spheres of government, organs of state and public enterprises as per Section 195 of the Constitution, Act No 108 of 1996, as amended</p>

DPSA	Department of Public Service and Administration
EXCO	Executive Committee (consists of Executive Management members of a department)
Executive Authority	<p>In relation to –</p> <ul style="list-style-type: none"> (a) the Presidency or a national government component within the President's portfolio, means the President; (b) a national department or national government component within a Cabinet portfolio, means the Minister responsible for such portfolio; (c) the Office of the Commission, means the Chairperson of the Commission; (d) the Office of a Premier or a provincial government component within a Premier's portfolio, means the Premier of that province; and (e) a provincial department or a provincial government component within an Executive Council portfolio, means the member of the Executive Council responsible for such portfolio; <p>(PSA 103 of 1994, as amended)</p> <p>For the purpose of the CGICTPF the Executive Authority as defined in (a) above will refer to the Ministers in the Presidency.</p>
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.
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 Principles	The vehicle to translate the desired behaviour into practical guidance for day-to-day management (COBIT 5 Framework Exposure Draft: 29)
HoD	Head of Department or Organisational Component as per the PSA

ICT	Information and Communications Technology, also referred to as IT
IT	Information Technology , also referred to as ICT
King III	The King III Report and Code on Governance for South Africa SAIGR: Wetgewinghandboek 2010/2011: Volume 3
MTEF	Medium Term Expenditure Framework
Policy Framework	The Corporate Governance of ICT Policy Framework (CGICTPF)
Responsible	Refers to the person who must ensure that activities are completed successfully
Risk Appetite	The amount of residual risk that the Department is willing to accept. (PSRMF 2010:15)
Risk Management	A systematic and formalised process to identify, assess, manage and monitor risks. (PSRMF 2010:16)
SMT	Senior Management Team

1. Purpose:

The purpose of this document is to communicate the primary responsibilities and delegated authority of the IT Committee's for the effective and efficient management of IT resources to facilitate the achievement of corporate objectives.

2. Accountability Roles and Responsibilities

The CGICT and more specifically the DPSA outline for corporate Governance of ICT Charter is clear on specific functions and tasks of designated officials and structures in order to implement CGICT and to align Business with ICT.

The design of accountable functions, structures and responsibilities for the CGICT in the Department:

Structure	Function	RACI
Executive Authority	Provide organisational structure for the CGICT and ICT function	A
Head of Department	Designate Governance Champion Direct and monitor implementation of CGICT Ensure development of CGICT Policy and Charter Self-assessment of CGICT on MPAT approved	A
ICT Strategic Committee Note: This is not necessarily a separate committee from the Executive Management Committee. Where possible functions should be integrated in Executive Committee	Provide strategic context for CGICT, management of ICT and strategic alignment and monitor its delivery Provide guidance and monitor development of CGICT Policy, Charter and its implementation, reporting and change management Provide guidance development of ICT Plan, ICT Implementation Plan and Operational Plan and monitor implementation	R

Governance Champion	Guide and oversee multi-disciplinary team to establish and sustain of CGICT Coordinate development of the CGICT Policy and Charter	R
ICT Steering Committee Note: Not necessarily a separate committee, functions can be incorporated in existing structures.	Coordinate business related ICT activities Development of CGICT Policy, Charter	R
GITO	Alignment of ICT enablement to business strategy Manage Business and ICT relationship Operationalize ICT Plan through implementation and operationalization	R
Other		
R – Responsible A – Accountable C – Consulting I – Information		

2.1 ROLES IN RELATION TO PRACTICES

ROLES IN RELATION TO PRACTICES	Stakeholders	HoD	Executive Committee	ICT Strategic Committee (EMC)
Strategic leadership for the use of ICT		X	X	X
Alignment of the ICT strategic plan with the departmental and business strategic plans		X	X	X
Corporate Governance of ICT on the department's strategic agenda		X		
Corporate Governance of ICT Policy Framework, Charter and related policies for the		X	X	X
Delegation of authority, personal responsibility and accountability to the Executive		X	X	X
Management with regard to the Corporate Governance of ICT		X	X	X
Realisation of department-wide value through ICT service delivery and management of		X	X	X
Suitably qualified and experienced Governance Champion is designated		X	X	X
Ensure that appropriate ICT capacity and capability are provided		X		
Monitoring and evaluation of the effectiveness of the Corporate Governance of ICT		X	X	X
Assist the HoD in carrying out his/her Corporate Governance of ICT accountabilities and			X	X
CT strategic goals are aligned with the department's business strategic goals and		X	X	X
Business-related ICT strategic goals are cascaded throughout the department for			X	X
Corporate Governance of and Governance of ICT is implemented and managed		X	X	X
The necessary strategies, architectures, plans, frameworks, policies, structures		X	X	X
(including outsourcing), procedures, processes, mechanisms and controls, and culture		X	X	X
regarding all aspects of ICT use (business and ICT) are clearly defined, implemented,		X	X	X
The responsibility for the implementation of the Corporate Governance of and		X	X	X
Governance of ICT is delegated and communicated to the relevant management			X	X
Everyone in the department understands the link between business and ICT strategic			X	X
goals and accepts their responsibilities with respect to the supply and demand for ICT		X	X	X
Significant ICT expenditure is informed by the department's Service Delivery Plan,		X	X	X
Enterprise Architecture and ICT Architecture, motivated by business cases, monitored		X	X	X
The planning and execution of ICT adheres to relevant judicial requirements		X	X	X
ICT-related risks are managed		X	X	X
An information security strategy is managed		X	X	X
Intellectual property in information systems is appropriately protected		X	X	X
ICT assets, privacy, security and the personal information of employees are effectively		X	X	X
managed		X	X	X
Use of ICT demonstrates the understanding of and respect for organisational		X	X	X

2.2 RACI CHART

The following RACI Chart reflects the cascade of practises related to the 7 principles and how accountability and responsibility for them is assigned within the department.

Practices	Allocate Accountability, Responsibility, who should be Consulted and who should be Informed in relation to CGICT in the structures of the department.														
	Stakeholders	HOD	Executive Management / ICT Strategic Committee	Business Owners	ICT Steering Committee / Department ICT committee	GITO	Governance Champion	Internal Audit	External Audit	Risk Management Unit	Security	Chief Financial Officer	Human Resource Management	Strategic Planning Unit	Any other role player
Principle 2 and 3		A	R	R	R		R							R	
	Provide strategic leadership for the use of ICT		A	R	R		R							R	
	Alignment of the ICT strategic plan with the departmental and business strategic plans(business enablement planning)		A	R	R	R	R							R	
	Place Corporate Governance of ICT on	A					R								

Allocate Accountability, Responsibility, who should be Consulted and who should be Informed in relation to CGICT in the structures of the department.		Stakeholders	HOD	Executive Management / ICT	Strategic Committee	Business Owners	ICT Steering Committee / Department ICT committee	GITO	Governance Champion	Internal Audit	External Audit	Risk Management Unit	Security	Chief Financial Officer	Human Resource Management	Strategic Planning Unit	Any other role player
Principle 4, 5, 6 and 7	Practices																
	Corporate Governance of ICT system																
	Assist the HoD in carrying out his/her Corporate Governance of ICT accountabilities and responsibilities			R	R	R	R	R	R			R				R	
	ICT strategic goals are aligned with the department's business strategic goals and support strategic business processes		A	R	R	R	R	R	R							R	
Business-related ICT strategic goals are cascaded throughout the department for			R	R	R	R	R	R								R	

Allocate Accountability, Responsibility, who should be Consulted and who should be Informed in relation to CGICT in the structures of the department.		Stakeholders	HoD	Executive Management / ICT Strategic Committee	Business Owners	ICT Steering Committee / Department ICT committee	GITO	Governance Champion	Internal Audit	External Audit	Risk Management Unit	Security	Chief Financial Officer	Human Resource Management	Strategic Planning Unit	Any other role player
	Practices															
	implementation and are reported on															
	Advise provided to the HoD			R				R								
	Corporate Governance of and Governance of ICT is implemented and managed		A	R			R	R								
	The necessary strategies, architectures, plans, frameworks, policies, structures (including outsourcing), procedures, processes, mechanisms and controls, and culture		A	R	R	R	R	R				R			R	

Allocate Accountability, Responsibility, who should be Consulted and who should be Informed in relation to CGICT in the structures of the department.				
<p>Practices</p> <p>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</p> <p>Significant ICT expenditure is informed by the department's Service Delivery Plan, Enterprise Architecture and ICT Architecture, motivated by business cases, monitored and evaluated</p>	Stakeholders			
	HOD			A
	Executive Management / ICT Strategic Committee	R		R
	Business Owners	R	R	R
	ICT Steering Committee / Department ICT committee		R	R
	GITO		R	R
	Governance Champion		R	R
	Internal Audit			
	External Audit			
	Risk Management Unit			
	Security			R
	Chief Financial Officer			R
	Human Resource Management			
	Strategic Planning Unit		R	R
	Any other role player			

Allocate Accountability, Responsibility, who should be Consulted and who should be Informed in relation to CGICT in the structures of the department.															
		Stakeholders													
		HOD	Executive Management / ICT Strategic Committee	Business Owners	ICT Steering Committee / Department ICT committee	GITO	Governance Champion	Internal Audit	External Audit	Risk Management Unit	Security	Chief Financial Officer	Human Resource Management	Strategic Planning Unit	Any other role player
Practices															
The planning and execution of ICT adheres to relevant judicial requirements		A	R		R	R	R							R	
ICT-related risks are managed		A	R		R	R	R			R					
An information security strategy is approved		A	R		R	R	R	R	R		R			R	
Intellectual property in information systems is appropriately protected		A	R		R	R	R	R	R						
ICT assets, privacy, security and the personal information of employees are effectively managed		A	R		R	R	R	R	R						

Allocate Accountability, Responsibility, who should be Consulted and who should be Informed in relation to CGICT in the structures of the department.	
Practices Use of ICT demonstrates the understanding of and respect for organisational behaviour/culture, which should include human behaviour	Stakeholders
	HOD
	Executive Management / ICT
	Strategic Committee
	Business Owners
	ICT Steering Committee / Department ICT committee
	GITO
	Governance Champion
	Internal Audit
	External Audit
	Risk Management Unit
	Security
	Chief Financial Officer
	Human Resource Management
	Strategic Planning Unit
Any other role player	

3. Objectives and Critical Success Factors

Objectives	Critical Success Factors	Measurement
Embed the Corporate Governance of ICT as a subset of Corporate Governance in the department;	<ul style="list-style-type: none"> ▪ Strategic and Executive management leadership. 	ICT Strategic Committee
GITO represents the ICT function on Executive Management level;	<ul style="list-style-type: none"> ▪ Appropriate competency. ▪ Buy-in, ▪ Support 	ICT Strategic Committee
Create business value through ICT enablement by ensuring business and ICT strategic alignment;	<ul style="list-style-type: none"> ▪ Approved IT Strategy. ▪ Business Process Analysis Competency within Department. ▪ Appropriate competency. ▪ Applicable skills. 	ICT Strategic Committee
Provide relevant ICT organisational structure, resources, capacity and capability to enable ICT service delivery; and	<ul style="list-style-type: none"> ▪ Approved Revised Organogram. ▪ Appropriate competency. ▪ Applicable skills. 	<ul style="list-style-type: none"> ▪ ICT Strategic Committee ▪ HR Strategic Committee
Achieve and monitor ICT service delivery performance and conformance to relevant internal and external policies, frameworks, laws, regulations, standards and practices.	<ul style="list-style-type: none"> ▪ Effective Change Management. ▪ Appropriate competency. ▪ Applicable skills. 	<ul style="list-style-type: none"> ▪ ICT Strategic Committee ▪ HR Strategic Committee

4. CGICT Committee Structures

4.1 IT Strategic Committee (Executive Management Committee)

4.1.1 Purpose

- a) Implement the corporate governance of ICT and governance of ICT in the department;
- b) Ensure that ICT strategic goals are aligned with the department's business strategic goals and support strategic business processes;
- c) Business-related ICT strategic goals are cascaded throughout the department for implementation and are reported on; and
- d) Perform monitoring and evaluation function on governance and strategic alignment with a purpose to achieve continuous improvement

4.1.2 Functions and Tasks

EVALUATE the departmental strategic plan, internal and external environment to:

- a) Identify stakeholder needs and how it should be realised;
- b) Determine the value of ICT is expected to create through its enablement of the business;
- c) Define the measurable benefits ICT is expected to realise in its enablement of business;
- d) Articulating ICT risk appetite and how it should be management within the risk management regime of the department;
- e) Conceptualise the establishment of sufficient ICT organisational structure, resources, capacity and capability and prioritise it;
- f) Evaluate and monitor significant ICT expenditure;
- g) Determine the monitoring criteria and reporting requirements;
- h) Broadly understand the implications of the ICT prescriptive environment; and
- i) Evaluate the change management requirements for the implementation of CGICT.

Conceptualise and **DIRECT** business enablement by ICT arrangements:

- a) Ensure integration of CGICT into the agenda of the Executive Committee;
- b) Approve CGICT Policy, ICT Plan, ICT Implementation Plan, ICT Operational Plan and other related plans and policies;
- c) Approve portfolio of ICT projects and its related expenditure in relation to business priorities;

- d) Provide direction for the change management requirements for the implementation of CGICT; and
- e) Guide implementation of the Framework and related policies and strategies.

MONITOR that implementation conforms to the criteria:

- a) Conformance, performance and assurance oversight and monitoring;
- b) Ensure that risk is managed and the ICT is audited internally and independently; and
- c) Ensure annual assessment on MPAT.

OTHER TASKS:

- a) Advice is provided to the HoD regarding all aspects of the Corporate Governance of and Governance of ICT;
- b) Provide necessary strategies, plans, policies, controls and monitoring are clearly defined, implemented, enforced and assured through independent audits;
- c) Ensure that 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);
- d) Ensure that 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;
- e) Ensure that significant ICT expenditure is motivated by business cases, monitored and evaluated; and
- f) Ensure that ICT-related risks are managed.

With regards to ICT Security ensure that:

- a) An information security strategy is approved;
- b) Intellectual property in information systems is appropriately protected; and
- c) ICT assets, privacy, security and the personal information of employees are effectively managed.

With regards to Organisational Behaviour/Culture ensure that:

- a) The use of ICT demonstrates the understanding of and respect for organisational behaviour/culture, which should include human behaviour

4.1.3 Membership of the Committee

This Committee is chaired by the HoD/Provincial DG and includes members of Executive Management, the Governance Champion and GITO/Provincial GITO.

Position	Person Responsibilities
Chairperson	Head of Department / Accounting Officer
Vice Chairperson	Executive Management
Secretariat	ICT Management
Other Members	GITO Governance Champion Executive Management of: <ul style="list-style-type: none">▪ ICT▪ Risk Management▪ Strategic Planning▪ Monitoring and Evaluation▪ Finance▪ Core Business▪ Human Resource Management▪ Legal Services▪ Internal Audit

4.2 IT Steering Committee

4.2.1 Purpose

- a) Execute the Implementation of the corporate governance of ICT and governance of ICT in the department;
- b) Align the ICT strategic goals with the department's business strategic goals and oversee strategic business processes;
- c) Monitor that business-related ICT strategic goals are cascaded throughout the department for implementation; and
- d) Monitoring governance and strategic alignment and report on it

4.2.2 Functions and Tasks

Evaluate:

- a) Coordinate development of CGICT Policy;
- b) Coordinate planning based on direction received from the ICT Strategic Committee;
- c) Determine, prioritise and recommend plans, policies, strategies, resource/capacity requirements, portfolios of ICT projects and risk management to ICT Strategic Committee and/or HoD; and
- d) Oversee the identification of the ICT prescriptive environment.

Direct:

- a) Oversee the implementation of approved plans, policies, strategies, resource/capacity requirements, risk management, benefits realisation, portfolios of ICT projects, internal and external audits;
- b) Determine the monitoring criteria and related reporting requirements and processes for conformance, performance and assurance;
- c) All ICT related decisions that may have an impact on the business operations and culture of the department; and
- d) Determine the change management requirements for the implementation of CGICT and report to Strategic Committee.

Monitor:

- a) Conformance, performance and assurance monitoring and reporting to ICT Strategic Committee; and
- b) Oversee and report on the change management implementation for the implementation of CGICT.

4.2.3 Composition of Committee

This Committee is chaired by the Head of Department / Accounting Officer and includes members of Executive Management, the Governance Champion and GITO

Position	Person Responsibilities
Chairperson	Accounting Officer / Chief Financial Officer <i>(Deputy Director General or delegated official represents the ICT Steering Committee at Exco)</i>
Vice Chairperson	GITO / Senior Management
Secretariat	ICT Personnel
Other Members	Governance Champion Executive Management of: <ul style="list-style-type: none">▪ Enterprise Architect;▪ Internal Audit;▪ Risk Management; and▪ Others.

4.3 IT Operational Committee

4.3.1 Purpose

To oversee day-to-day management of the ICT component and its service delivery to the department.

4.3.2 Functions and Tasks

- a) Provide input into the development of ICT Plan, ICT Operational Plan and ICT Project Program
- b) Coordinate implementation of ICT Plan, ICT Operational Plan and ICT Project Program
- c) Day-to-day operational and service management
- d) ICT risk management
- e) Conformance and performance reporting to ICT Steering Committee

4.3.3 Membership of the Committee

This Committee is chaired by the GITO and includes members of ICT Staff.

Position	Person Responsibilities
Chairperson	GITO
Vice Chairperson	ICT Manager
Secretariat	ICT Personnel
Other Members	<ul style="list-style-type: none">▪ Enterprise Architect;▪ ICT related Architects;▪ Relevant service providers; and▪ Others.

5. Risk Management

The ICT Risk Management Policy is a component of a wider Enterprise Risk Management Policy associated with the use, ownership, operation, involvement, influence and the adoption of ICT.

5.1 Risk Management Framework

The framework assists in managing ICT risks effectively through the application of the risk management process at varying levels and within the ICT contexts.

5.1.1 Establish the Context:

Evaluating the entity's **external context** shall include, but is not limited to:

Evaluating the entity's **internal context** shall include, but is not limited to:

5.1.2 Risk Identification:

Identification of the entity's ICT risks shall include, but is not limited to the following categories:

- a) Information Security Risk;
- b) Facilities and Environmental Controls Risk;
- c) Change Control Risk;
- d) Firewall Risk;
- e) Internet Connection Risk;
- f) Password Risk;
- g) Patch Management Risk;
- h) User Access Risk;
- i) Vulnerability Management Risk;
- j) Disaster Recovery Risk.

5.1.3 Risk Analysis

ICT risk analysis may be undertaken with varying degrees of detail, depending on the risk, the purpose of the analysis, and the information, data and resources available. Analysis can be qualitative, semi-quantitative or quantitative, or a combination of these, depending on the circumstances.

- e) Implement an information security strategy
- f) Implement an information security management system in accordance with an appropriate information security framework
- g) Establish a business continuity programme for the company's information and successful execution of the business' activities
- h) Provide the Audit and Risk Committees with relevant information about IT risks and the controls in place.