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# GREATER GIYANI MUNICIPALITY

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## IT Governance Framework Policy

1<sup>st</sup> approval : Council Resolution no# CR17-31/10/13SC (4)  
2<sup>nd</sup> approval : Council Resolution no# CR139-29/06/20 SP  
3<sup>rd</sup> approval : Council Resolution no# CR98 – 28/05/21 SP  
4<sup>th</sup> approval : Council Resolution no# CR128 – 27/05/22 SP

### Object

1. This policy provides actions to be taken for implementation. The implementation emanates from the general ICT Standards, ICT Norms, ICT best practices, Compliance, legislative requirements, Risks, Auditing, and existing IT Governance Framework.

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## EXECUTIVE SUMMARY

Greater Giyani Municipality Information Technology Office (GGITO) is developing Information Technology Governance Framework for implementation at Greater Giyani Municipality.

This is a document that proves action to be taken for implementation. The implementation emanate from general ICT standards, ICT best practices, ICT norms, compliance, legislative requirements, risk, auditing & existing IT governance frameworks.

Greater Giyani Municipality will adapt COBIT 5 for its governance framework, taking guidance from the king IV report and use ITIL version 3 for IT service Management. This framework will guide GGITO on actions to take when executing its activities

This framework is customized for the environment of Greater Giyani Municipality, taking into consideration the current size of the municipality and its resources.

*Presidential Review Commission (PRC) report of 1998, which stated that all-important decisions on ICT must be made by senior political and managerial leadership of the state and not be delegated to the technologists;*

*Public Service is guided by the Batho Pele principles of equal access to services, increased productivity and lowering of costs. The purpose of information and communication technology (ICT) is to enable the Greater Giyani Municipality in its service delivery quest.*

EXCO and management of Greater Giyani Municipality need to extend corporate governance as a good management practice to ICT. In the execution of the governance of ICT they should provide the leadership, frameworks, policies, organisational structures, delegations (roles and responsibilities), resources, capacity and capability. To further strengthen the governance of ICT the Greater Giyani Information Technology Office is an integral part of the executive management of the institution.

### References

- COBIT 5
- ITIL v3
- King IV
- Limpopo Department of Roads and Transport – IT Governance Framework
- Limpopo Department of Cooperative Governance Human Settlement and Traditional Affairs.
- SENQU Municipality.
- SALGA ICT Governance Guidelines
- Provincial Governance of the Western Cape. Department of the Premier.
- Information Technology Governance Framework. Version 1.0
- Presidential Review Commission (PRC) report of 1998
- Overstrand Municipality



<b>GLOSSARY OF TERMS AND DEFINATIONS</b>	
Accounting Authority	According to the Local Government: Municipality Systems Amendment Act: 2000 The Executive and legislative authority in a Municipality is exercised by council of the municipality subject to section 59.
Accounting Office	According to the Local Government: Municipal System Amendment Act: 2011 Municipal Manager appointed in terms of section 82 Municipal Structure Act
AG	Auditor-General
IT Manager	Information Technology Manager
COBIT	Control Objectives For Information and related Technology
Corporate Governance	“.... The set of responsibilities and practices exercised by the board and executive management with goals 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.” (ISO 38500: 2008:9)
DPSA	Department of Public Service and Administrator
EXCO	Executive Management
Executive Authority	In a Greater Giyani Municipality: The Mayor who is accountable to council for the Municipality
Executive Management	This is the Executive Management of the Municipality includes The Municipal Manager, Chief Financial Officer and Directors.
GITO	Government Information Technology Officer (Cabinet Memorandum 38(a) of 2000)
GITOC	Government Information Technology Officer’s Council (Cabinet Memorandum 38 (a) of 2000)
Institution	Municipalities and municipal entities, and independent institutions established by the constitution.
MM	Municipal Manager
ICT	Information and Communications Technology
GICT	Governance of ICT
GICTF	Governance of ICT Framework
Governance Principles	The vehicle to translate the desired behaviour into practical guidance for day-to-



	day management (COBIT 5 Framework Exposure Draft: 29)
ISACA	Information Systems Audit Control Association
IT	Information Technology
ITGI	IT Governance Institute
King IV	The King Code on Corporate Governance for South Africa
M&E	Monitoring and Evaluation
MPSA	Minister of Public Service and Administration
MTEF	Medium Term Expenditure Framework
PSICTM	Public Service ICT Management
Risk Appetite	The amount of residual risk that the institution is willing to accept. (PSRMF 2010:15)
Risk Management	A systematic and formalised process to identify, assess, manage and monitor risks. (PSRMF 2010:16)
SITA	State Information Technology Agency



## 1. PURPOSE OF THE GOVERNANCE OF ICT FRAMEWORK

The purpose of this GICTF is to institutionalise the governance of ICT as an integral part of corporate governance within Greater Giyani Municipality

## 2. SCOPE OF THIS FRAMEWORK

This Framework for the governance of ICT applies to Greater Giyani Municipality and its entities.

## 3. APPLICABILITY

This framework shall be applicable to all Greater Giyani Municipality ICT users, councillors, office bearers, consultants, service providers, contractors, visitors, stakeholders, and entities.

## 4. INTRODUCTION

The Presidential Review Commission (PRC) report of 1998 contains the main findings and recommendations in relation to the operation, transformation and development of the South African Public services and in the particular the creation of a new culture of good governance. The report stated inter alia:

- (a) All important decisions on ICT should come from **Senior political and managerial leadership**; and
- (b) That the management of ICT falls on the same level as the management of other resources such as people, money and organisations in the Public Service.

## 5. BACKGROUND

- (1) The purpose of ICT is to serve as an enabler of the public services delivery and the values and key focus areas, as set in the ICT House of Values, enable the Municipality to achieve its outcomes.
- (2) In the recent years there has been a growing realisation of the importance of corporate governance of IT, as emphasised by King IV the PRC report and AG findings
- (3) Political (executive authority) and executive management leadership of institutions need to extend governance as good as management practice to ICT and **evaluate, direct** and **monitor** the execution of ICT in the Municipality.
- (4) There are international and national mechanisms available that provides guidance and frameworks for the implementation of governance of ICT, such as:
  - a. King IV
  - b. ISO 38500
  - c. COBIT
  - d. ITIL v3
- (5) Institution should understand and manage the risks, benefits and constraints of ICT. As a consequence, the executive leadership and management should understand the strategic importance of ICT, assume responsibility for the



governance of ICT and place the governance of ICT on the strategic agenda. In order to achieve this it is necessary for the Municipality to implement a governance systems for the ICT Framework (GICTF).

## 6. LEGISLATIVE ENVIRONMENT

The Municipality must be aware of and comply with the legislative landscape application to and within the context of the local government

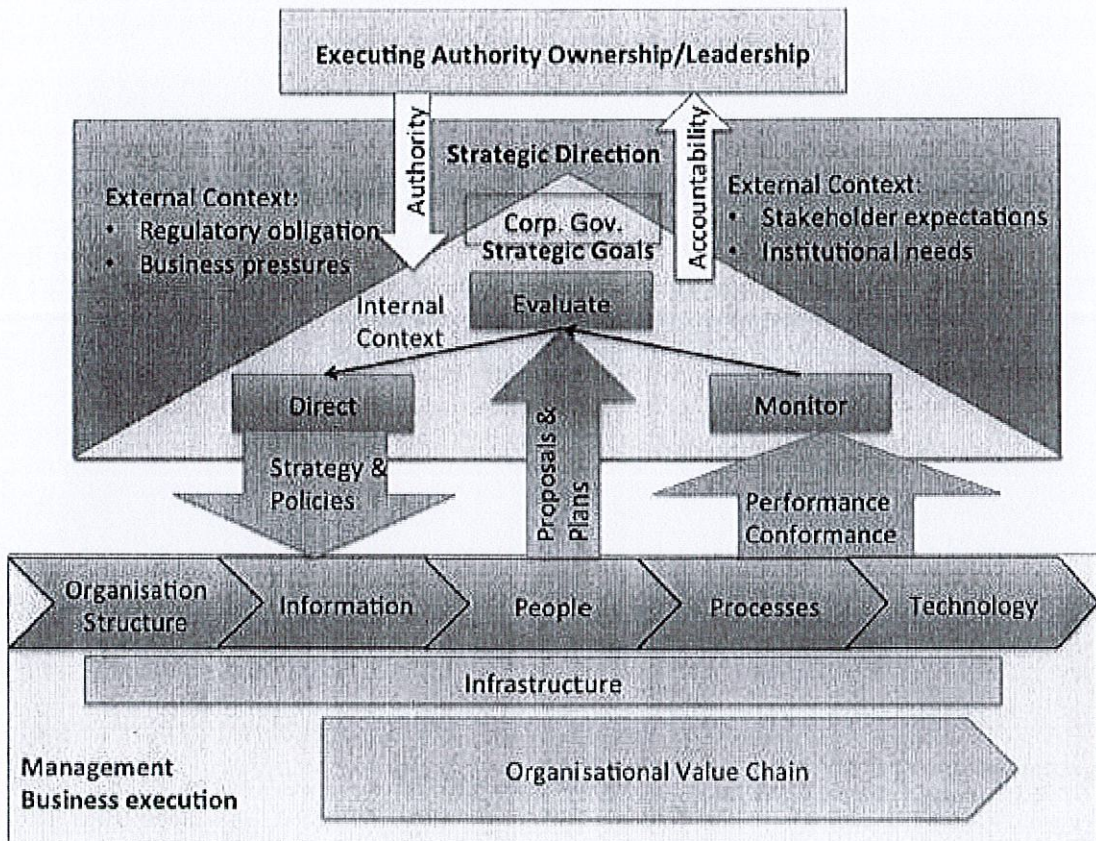
## 7. CORPORATE GOVERNANCE IN THE MUNICIPALITY

- (1) The purpose of corporate governance is to create value for the stakeholders of the institution. It consists of a governance system that affects the way the municipality is managed and controlled. It also defines the relationships between stakeholders and the strategic goals of the Municipality. It entrenches ethics, culture and behaviour.
- (2) Corporate governance is a vehicle through which value is created within The Municipality. Value creation means realising benefits at an optimal resource cost whilst optimising risk. This value creation takes place within a governance system that is established through this framework. A governance system refers to all the means and mechanisms that enable multiple stakeholders of an institution to have a structured and organised say in:
  - (a) *Evaluate* internal and external context, strategic direction and risk to conceptualize the Municipality's strategic goals and how it will be measured.
  - (b) *Direct* the Municipality in the execution of the strategic goals to ensure that the value is realised and risk is managed
  - (c) *To monitor* the execution of the strategic goals within the municipality against the measures identified for attaining the strategic goals
- (3) Corporate governance is also concerned with individual accountability and responsibilities within the municipality; it describes how the institution is directed and controlled. And is in particular concerned with:
  - (a) **Organisation** – the organisation structures, and coordinating mechanisms (such as steering committee and forums) established within the municipality and partnership with external bodies;
  - (b) **Management** – the individual roles and responsibilities established to manage business change and operational services; and
  - (c) **Policies**- the frameworks established for making decisions and the context and constraints within which decisions are taken.



**Figure 1** depicts the functioning of the governance system. The Executive leadership, who is accountable, provides the strategic direction of the institution. The strategic direction, together with the external and internal factors, influences the strategic goals. Corporate Governance and the governance of ICT are executed level through the function of evaluation, direction and monitoring. The management of business execution is done through the organisational structure and utilisation of the relevant resources.

**Figure 1 Governance System**



The executive leadership and management of an institution are accountable and responsible to implement a governance system.

## 8. GOVERNANCE OF ICT IN THE MUNICIPALITY

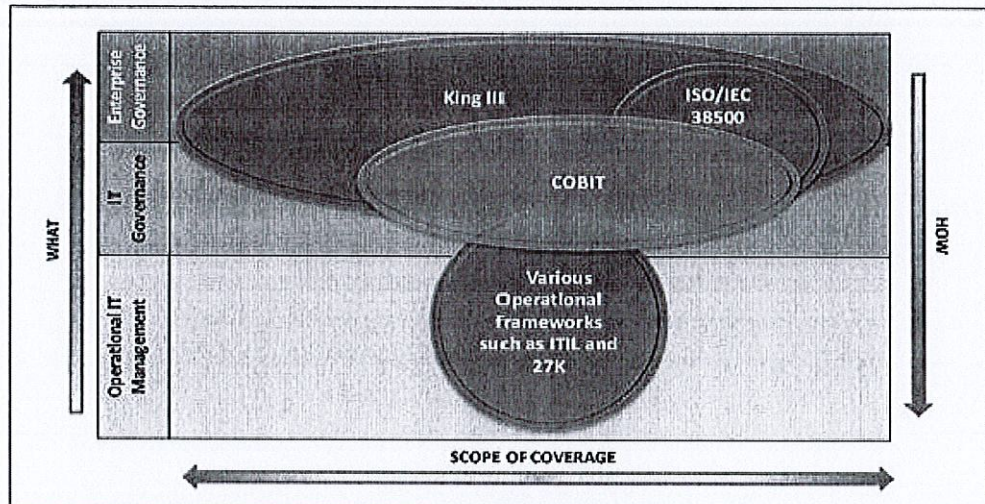
- (1) The governance of ICT is a subset of corporate governance and is an integral part of the governance system within the Municipality.
- (2) The governance of ICT is defined as “the system by which the current and future use of IT is directed and controlled. It involves evaluating and directing the plans for the use of IT to Support the organisation and monitoring this use to achieve the plans. It includes the strategy and policies for using IT within an organisation. “ (SANS 28500: 2008:9)



## 9. THE FRAMEWORKS AND STANDARDS BASE

- (1) From a governance perspective this framework is based on the following:
  - (a) The King IV Report [currently in its 4<sup>th</sup> iteration, King IV] is the most commonly accepted corporate governance framework in South Africa and is also valid for the public service. It has also been used to provide the Governance of ICT principles and establish the relationship between corporate governance and governance of ICT.
  - (b) ISO/IEC 38500 is internationally accepted as the standard for governance of ICT and provides the governance principles and model. This international standard is adopted by South Africa as SANS 38500.
  - (c) COBIT is an internationally accepted process framework for the implementation of governance of ICT.
  - (d) ITIL v3 is internationally commonly accepted IT service Management governance framework.

FIGURE 2: **Interrelated Reference Base of this Framework**



## 10. OBJECTIVES OF THE GOVERNANCE OF ICT

- (1) The major objectives for the governance of ICT are:
  - (a) Enables the strategic and tactical alignment of IT operations with the municipality's strategic objectives;
  - (b) Identify and mitigate risks
  - (c) Satisfy regulatory, legislative, conformance and compliance requirements
  - (d) Support transparent and visible decision making in ICT
  - (e) Identify the opportunities for improved IT utilization
  - (f) Leverage on the investment on ICT
  - (g) Establish a common or uniform Governance of ICT Framework;
  - (h) Embed governance of ICT as a subset of corporate governance;
  - (i) Create business value through ICT enablement



- (j) Achieve ICT service delivery performance by conforming to the relevant internal and external frameworks, standards and practices; and
- (k) Implement IT service Management based on ITIL v3
- (l) Position the GGITO function as an integral part of the Executive Management

**(2) Challenges**

- (a) No clear process in place to manage ICT services.
- (b) Roles and responsibilities not clear for all process.
- (c) Insufficient policies developed to regulate ICT environment
- (d) Non-compliance with audit requirements
- (e) Slow procurement processes
- (f) Incompetent ICT service Providers
- (g) Lack of key ICT staff

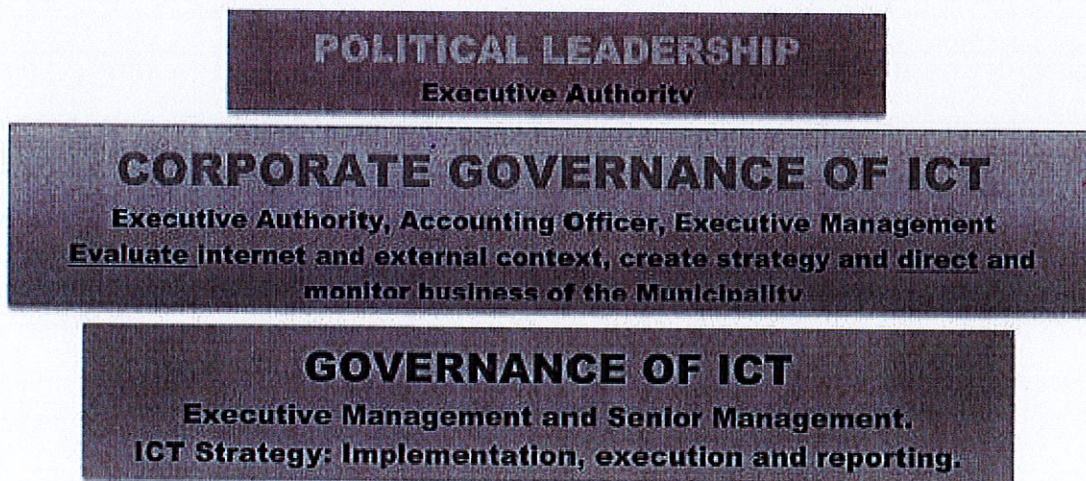
**11. THE PRINCIPLES FOR THE GOVERNANCE OF ICT**

The GICTF is based on the principles as explained in the international standard for IT governance, ISO/IEC 385003, KING IV report, ITIL and COBIT.

The following table summarises the adopted principles	
Table 1 Governance Framework	
Principle Number	Principle Description
1.	<b>Executive Authority</b> is accountable to ensure that: <ul style="list-style-type: none"> <li>a) A governance of ICT framework is implemented in the municipality; and</li> <li>b) The business and ICT strategic goals of the institute are aligned with the political mandate of the institution.</li> <li>c) Ensure the formation of IT Governance structures</li> </ul>
2.	<b>Executive Authority</b> is responsible to be involved in all major business related strategic ICT decision-making and its related expenditure.
3.	<b>Executive Management</b> – is accountable to ensure that: <ul style="list-style-type: none"> <li>a) ICT is aligned with strategic and business objectives of the municipality;</li> <li>b) Business related ICT goals are cascaded throughout The Municipality for implementation; and</li> <li>c) A fit for Purpose ICT capacity and capability is created to meet current and future municipality’s requirements</li> </ul>
4.	<b>Executive Management-</b> is responsible to ensure that: <ul style="list-style-type: none"> <li>a) Governance of the ICT is on strategic agenda of the municipality;</li> <li>b) Support and advise is provided to the accounting Officer in defining and formulating ICT strategic goals;</li> <li>c) The responsibility for implementation of the governance of ICT is delegated and communicated to the relevant management;</li> <li>d) The necessary culture, structures, policies, procedures, processes, mechanisms and controls regarding all aspects of ICT use (business and ICT) are clearly defined, implemented and enforced.</li> </ul>



	<ul style="list-style-type: none"> <li>e) Everyone in the Municipality understands and accepts their responsibilities and link between business and ICT objectives with respect to supply and demand for ICT;</li> <li>f) ICT assets, privacy and security are effectively managed</li> <li>g) Significant ICT investments and expenditure are informed by enterprise architecture, motivated(business Cases), monitored and evaluated ; and</li> <li>h) The use of ICT demonstrates understanding and respect for human behaviour.</li> </ul>
5.	<p><b>Accounting Officer</b> – is accountable for :</p> <ul style="list-style-type: none"> <li>a) The implementation of the governance of ICT in the Municipality;</li> <li>b) Ensuring that the management practices embrace the concepts of delegation of authority, personal responsibility, accountability and performance management ;</li> <li>c) The development of an ICT management policy for institutional management of ICT; and</li> <li>d) Monitor the effectiveness of the governance of ICT.</li> </ul>
6.	<p><b>Accounting Officer-</b> is responsible to ensure that;</p> <ul style="list-style-type: none"> <li>a) ICT is aligned with the strategic and business objectives of the Municipality; and</li> <li>b) ICT form an integral part of the Municipality’s risk management</li> </ul>
7.	A risk and audit committee should assist the Accounting Officer in carrying out his/her ICT accountability and responsibility



## 12. GREATER GIYANI MUNICIPALITY IT STEERING COMMITTEE

The Greater Giyani IT Steering Committee purpose is to ensure that everyone in the Municipality understands the link between the Municipality and ICT goals and accepts their responsibility with respect to supply and demand of ICT services and products.



*The Greater Giyani IT Steering Committee will ensure that:*

- (1) The necessary ethical culture, structures (including outsourcing), policies, procedures, processes, mechanisms and controls regarding all aspects of all ICT use (municipality and ICT) are clearly defined, implemented and enforced.
- (2) ICT performances are assured through independence auditing (external audit and auditor general);
- (3) An information security policy is approved.
- (4) ICT assets, security, privacy, Municipality and personal information of the employees and Municipality are protected and effectively managed

### **13. ICT GOVERNANCE OVERSIGHT STRUCTURE IN THE PUBLIC SERVICE**

- (1) The need for the creation of this Framework was informed by various investigations performed in the past. It was found that ICT is not effectively managed on various levels of the public services as intended by the applicable act and regulations.
- (2) **The Auditor General** conducts audits and reports on the findings to the relevant authorities.
- (3) **Municipality:**
  - (a) Create a sustained enabling environment for the implementation of the governance of ICT;
  - (b) Ensure that the governance of ICT is monitored and managed in such a way to achieve continuous improvement of ICT enabled service delivery;

### **14. INTRODUCTION TO COBIT FRAMEWORK**

COBIT is an internationally recognised good practice framework for the governance of ICT. The implementation of COBIT will establish a common knowledge and reference base on which the Municipality will be able to perform its Monitoring and Evaluation (M&E) function in the Municipality.

The AG adopt the use of COBIT to independently audit the governance of ICT in the Public Service.

COBIT will be used to implement this framework in Greater Giyani Municipality and ITIL will be used for IT Service Management.

### **15. THE COBIT ICT GOVERNMENT FRAMEWORK**

- (1) COBIT is a comprehensive governance of ICT Framework and was created by ISACA and IGTI. It is a good practice that has widespread implementation throughout the world and in South Africa.
- (2) COBIT always the Municipality to achieve its related ICT governance and management objectives, i.e. to create optimal value from ICT by maintaining a balance amongst realizing benefits, managing risk and balancing resources



- (3) COBIT is not a standard that can be implemented. It rather provides an agile framework within which institution is afforded flexibility with implementation according to its specific environment.
- (4) As governance framework, COBIT deals with every aspect of ICT, including the complete life cycle of ICT investment. It is a set of ICT governance and management guidelines to provide auditors, managers and ICT users with a set of:
  - (a) Standard indicators;
  - (b) Processes; and
  - (c) Good practices to enable maximisation of the benefits using information technology
- (5) COBIT integrates all of the main global ICT standards, such as ITIL (service Management), CMMI (Maturity Assessments) and SANS 270001 and 2 (security) and ensures that:
  - (a) ICT is aligned with business requirements;
  - (b) ICT enables the business and maximises benefits;
  - (c) ICT activities are organised into a generally accepted process model;
  - (d) ICT resources are used responsibly;
  - (e) ICT risks are managed appropriately
  - (f) Understanding events are prevented or detected and corrected; and
  - (g) Institutions comply with regulatory requirements.
- (6) COBIT provides metrics and maturity models to measure the achievements of ICT support to business goals and identify the associated responsibilities of business and ICT process owners. It provides a mechanism to measure the governance ICT process maturity.
- (7) One of the five COBIT principles is an 'integrator framework' that supports the achievement of governance of ICT objectives. This includes resources such as information and people. There are seven categories of enablers:
  - a) Processes
  - b) Principles and policies
  - c) Organisational structures
  - d) Skills and competences
  - e) Culture and behaviour
  - f) Services capabilities
  - g) Information
- (8) Enablers interact in a systematic way, meaning that the governance and management system cannot succeed unless all enablers are dealt with and the major interactions are understood.
- (9) COBIT will be used to implement this framework in Greater Giyani Municipality has a unique internal and external context. Therefore a common but flexible approach to governance of ICT will applied. This Framework makes allowance for such flexibility.
- (10) Governance of ICT should be embedded in the corporate governance of the institution.



- (11) COBIT will be used to implement the governance of ICT within the context of this Governance Framework and ITIL for IT Service Management.
- (12) As the implementation of the governance of ICT in an institution is a mammoth task, requiring extensive resources, skills and change management, a phased approach is recommended. It necessitates the creation of an enabling environment such as:
- a) Develop and approve IT Steering Committee Terms of reference;
  - b) Establishment of ICT Steering Committee;
  - c) Develop and approve ICT policies;
  - d) Create the necessary structures and assign roles and responsibilities;
  - e) Position the GGITO function as an integral part of the Executive Management;
  - f) Define the necessary process and procedures;
  - g) Provide relevant skills and competencies; and
  - h) Apply change management
- (13) The Municipality should achieve continuous improvement in the governance of ICT through the following iterative process:
- a) Conducting assessments to determine the “as-is” situation;
  - b) Develop and implement roadmaps to achieve the desired state; and
  - c) Embed monitoring and evaluation as a continuous responsibility.

## 16. FULL DESCRIPTION OF ICT GOVERNANCE PRINCIPLE

ISO/IEC 38500 Principles	Related King IV
Principle 1: All within the organisation have to understand and accept the responsibility in respect of both supply of, and demand for IT	Principle 1- Board Responsibility: The board should be responsible for information technology(IT) governance <ul style="list-style-type: none"> <li>• The board should assume the responsibility for the government of IT and place it on the board agenda.</li> <li>• The board should ensure that an IT character and policies are established and implemented.</li> <li>• The board should ensure promotion of an ethical IT governance culture and awareness and for a common IT language.</li> <li>• The board should ensure that the IT internal control framework is adopted and implemented</li> <li>• The board should receive independent assurance on the effectiveness of the IT internal controls.</li> </ul>
	Principle 3- IT Governance Framework: The board should delegate to management the responsibility for the implementation of the IT governance Framework.



	<ul style="list-style-type: none"> <li>• Management should be responsible for the implementation of the structures, processes and mechanisms for the IT governance framework</li> <li>• The board may appoint an IT steering committee or similar function to assist with its government of IT.</li> <li>• The CEO should appoint a chief Information Officer responsible for the management of IT.</li> <li>• The CIO should be suitably qualified and experienced person who should have access and interact regularly on strategic IT matters with the board and/or appropriate board committee and executive management</li> </ul>
<p><b>Principle 2:</b> The organisation’s business strategy takes into account the current and future capabilities of IT</p>	<p><b>Principle 2-</b> Performance and Sustainability: IT should be aligned with the performance and sustainability objectives of the company</p> <ul style="list-style-type: none"> <li>• The board should ensure that the IT strategy is integrated with the company’s strategic and business processes.</li> <li>• The board should ensure that there is a process in place to identify and exploit opportunities to improve the performance and sustainability of the company through the use of IT.</li> </ul>
<p><b>Principle 3:</b> All IT acquisitions are made for valid reasons on the basis of the appropriate and ongoing analysis with clear and transparent decision making</p>	<p><b>Principle 4- IT Investments</b> – The board should monitor and evaluate significant IT investments and expenditure</p> <ul style="list-style-type: none"> <li>• The board should oversee the value delivery of IT and monitor the return on investment from significant IT projects</li> <li>• The board should ensure that intellectual property contained in Information system is protected</li> <li>• The board should obtain independent assurance on the IT governance and controls supporting outsourced IT service</li> </ul>
<p><b>Principle 4:</b> IT is fit for purpose in supporting the organisation, providing the service, levels of service and service quality required to meet current and future business requirements.</p>	<ul style="list-style-type: none"> <li>• Same as Principle 2 above</li> </ul>



<p><b>Principle 5:</b> Compliance should form an integral part of risk management process. The risk of non-compliance should be identified, assessed and responded to in the risk management process.</p>	<p><b>Principle 5-</b> Risk Management; IT should form an integral part of the company’s risk management.</p> <ul style="list-style-type: none"> <li>• Management should regularly demonstrate to the board that the company has adequate business resilience arrangements in place for disaster recovery.</li> <li>• The board should ensure that the company complies with IT laws and that IT related rules , codes and standards are considered</li> </ul>
<p><b>Practice 6:</b> IT policies, practices and decisions demonstrate respect for human behaviour , including the current and evolving needs of all the “people in the process”</p>	
	<p><b>Principle 6- Information Security:</b> The IT Steering Committee should ensure that information assets are managed effectively</p> <ul style="list-style-type: none"> <li>• The IT Steering Committee should ensure that there are systems in place for the management of information which should include information security, IT and information privacy</li> <li>• The IT Steering Committee should ensure that all personal information is treated by the company as an important business assets and is identified.</li> <li>• The IT Steering Committee should ensure that Information Security Management system is developed and implemented.</li> <li>• The IT Steering Committee should approve the information security strategy and delegate and empower management to implement the strategy.</li> </ul>
	<p><b>Principle 7-</b> Governance structures: A risk committee and audit committee should assist the IT steering Committee in carrying out its IT responsibilities.</p> <ul style="list-style-type: none"> <li>• The risk committee should ensure that IT risks are adequately addressed.</li> <li>• The risk committee should obtain appropriate assurance that controls are in place and effective in addressing IT risks</li> </ul>



	<ul style="list-style-type: none"> <li>• The audit committee should consider IT as it relates to financial reporting and the going concern of the company.</li> <li>• The audit committee should consider the use of technology to improve audit coverage and efficiency</li> </ul>
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## 17. IMPLEMENTATION OF COBIT 5 GOVERNANCE FRAMEWORK FOR ICT AT GREATER GIYANI MUNICIPALITY AND ITIL V3 FOR IT SERVICE MANAGEMENT

Before 2012/2013 Financial year Greater Giyani Municipality did not have any trace of documentation on ICT process, procedures and guidelines.

	Current Status 2012/2013
Acts and regulations	Constitutional, MFMA, SITA Act, PPPFA, Electronic communication and transaction Act, Protection of Personal Information Bill, PAIA, Regulation of Interception of Communication and provision of communication- related information act, ICASA Act, Electronic Communication Security Act , MISS
Framework	None
Governance structures	IT Steering Community, Act Committee, Audit Steering Committee, EXCO
Meetings	Weekly internal audit meetings. District ICT forum meetings. Management Meetings.
Other Documents	SCM Services fast track document, Risk register, SLA's, project plan,
Plans	Ntirhiso IT project , procurement plan 12/13, SDBIP, IDP, Audit Action Plan
Policies	Draft ICT policies are as follows: ICT Service policy, ICT Equipment Allocation policy , ICT email and internet policy, ICT change management policy, ICT service Request policy, ICT network Access Policy
Procedures	System Controller's Procedure Manual.
Standards	None.

	Target Status 2013/2014
Acts and regulation	Constitution, MFMA, SITA act , PPPFA, Electronic Communication and Transaction Act, Protection of personal information bill, PAIA, Regulation of Interception of Communication and provision of communication –related information act, ICASA act , Electronic communication security act,MISS
framework	GGITO Governance Framework
Governance structure	IT Steering committee , audit committee, Audit steering committee, EXCO



Meetings	Weekly internal ICT meetings, District ICT forum meetings, management meetings
Other documents	SCM Service fast track document, Risk register, SLA's , project plans, IT Master plans, disaster recovery plan
plans	Ntirhiso IT Project, Procurement plan 12/13, SDBIP, IDP, Audit Action Plan
policies	Draft ICT policies are as follows :ICT Security policy, ICT equipment's Allocation policy, ICT email and internet policy, ICT change management policy, ICT service Request policy , ICT Network Access Policy
procedures	System controller's procedure manual.
standards	ITIL v3
practices	ITIL v3
models	Cost model
Committee, boards, forum and structures	IT steering Committee , Audit committee, audit steering committee, EXCO, Risk steering committee
charter	Project charter

## 18. COBIT 5 PROCESS

COBIT 5 comprises of 5 domains, 37 IT processes and hundred detailed control objectives. The processes are grouped according to the domains.

Below is a graphic representation of grouping of the processes and roles played by different entities within the municipality and how they relate to each other;

- (a) Evaluate, Direct and Monitor
- (b) Align, Plan and Organise
- (c) Build , Acquire and Implement
- (d) Deliver, Service and Support GGITO will use ITL for this Domain
- (e) Monitor, Evaluate and Access

Domain Name	Related Process	Responsibility
Evaluate Direct and monitor	EDM1- Corporate Governance of ICT must enable the Municipality's political mandate.	Accounting Officer
	EDM2- Executive Authority must ensure that the corporate Governance of ICT achieves the political mandate of the Municipality.	Executive Authority
	EDM3- Ensure that the ICT governance is implemented and monitored.	IT Steering Committee
Align, Plan and Organise	AP01-Manage ICT Strategy	CFO
	AP02-Develop and Manage ICT Framework	Manager IT



	<p>AP03-Develop Objectives of ICT on the IDP.</p> <p>AP04-Determine Technological Direction</p> <p>AP05-Define ICT processes and relationships</p> <p>AP06-Manager ICT Investment</p> <p>AP07-Communicate Management aims and Direction</p> <p>AP08-Manager Quality</p> <p>AP09-Manager ICT Human Resource</p> <p>AP010-Assess and manage ICT Risks</p> <p>AP012-Manager SLA's</p> <p>AP013-Manager Suppliers</p> <p>AP014-Monitor Security</p>	<p>Manager IT</p> <p>ISNASA</p> <p>ISSAIA</p> <p>Manager IT</p> <p>Manager IT</p> <p>ISSAIA</p> <p>Manager IT</p> <p>Manager IT</p> <p>ISSAIA</p> <p>ISSAIA</p> <p>ISSAIA</p> <p>ISASA</p>
Build , Acquire and Implement	<p>BAI1- Acquire and Maintain Application Software</p> <p>BAI2- Acquire and Maintain Technology Infrastructure</p> <p>BAI3- Manage ICT Projects</p> <p>BAI4- Manage Requirements Definitions</p> <p>BAI5- Monitor Availability and Capacity</p> <p>BAI6- Manage Organisational Change Enablement</p> <p>BAI7- Manage Changes</p> <p>BAI8- Manage Acceptance and Transitioning</p> <p>BAI9- Manage ICT Project</p> <p>BAI10- Monitor Assets</p>	<p>ISSAIA/ISNASA</p> <p>ISNASA</p> <p>Manager: IT</p> <p>ISSAIA</p> <p>ISASA</p> <p>Manager: IT</p> <p>Manager: IT</p> <p>Manager: IT</p> <p>Manager: IT</p> <p>ISASA</p>



Deliver, Service and Support GGITO will use ITL for this Domain	DSS3-The service Desk Functioning	IHDASS	
	DSS4-Operations Management	ISNASA	
	DSS5-Technical Management	ISNASA	
	DSS6-Application Management	ISNASA	
	DSS7-Event Management	IHDASS	
	DSS8-Incident Management	IHDASS	
	DSS9-Request Fulfilment Management	IHDASS	
	DSS10-Problem Management	ISSAIA	
	DSS11-Access Management	ISASA	
	DSS12-Continual Service Improvement	ISSAIA	
	DSS13-Service Measurement	ISSAIA	
	DSS14-Service Reporting	ISSAIA	
	DSS15- Service Improvement	ISSAIA	
	Monitor, Evaluate and Access	MEA1-Monitor and Evaluate ICT Performance	IT Steering Committee
		MEA2-Monitor and Evaluate Internal Controls	IT Steering Committee
MEA3- Ensure Regulatory Compliance		IT Steering Committee	
MEA4- Provide ICT Governance		IT Steering Committee	

Greater Giyani Municipality will use ITL framework for IT Service Management under the Deliver, Service and Support (DSS) COBIT Domain

**Brief description of acronyms:**

EDM- Evaluate Direct and monitor

APO- Align, Plan and Organise

BAI- Build, Acquire and Implement

DSS- Deliver, Service and Support

MEA- Monitor, Evaluate and Access



The approach of implementation should be done in a phased approach, as the implementation of the Governance in the municipality will acquire quite a paradigm shift when it comes to IT operations. Due to budget constraints, this Frame work will be implemented over four (4) financial years from date of adoption.

**Table 2 - The Phases of the implementation will be grouped as follows:**

Phases	Process	Process description
<b>Phase 1 - 2014/2015</b>	APO7 - Communicate Management aims and Direction	IT Steering Committee decisions cascaded to Management. Manager: IT handles exchange of information. Operational procedures and responsibilities. System planning and acceptance. Electronic Communication Management
	MEA4 - Provide ICT Governance	Ensure ICT Security Policy is developed. ICT performance is assured by independent Audit. ICT assets, security and personal information of employees are effectively managed. Regular IT Steering Committee meetings. Audit Committee meetings. Advice is provided to the Accounting Officer on the implementation and management of Corporate Governance of ICT.
	DSS15 - Service Improvement	Benchmark ICT Service improvement. Meet customer requirements. Run customer satisfaction surveys. Develop a response time. Inform users of the changes being made.
	DSS1 - Manage Release and Deployment	Record the release and deployment changes on the change management register. Ensure release is installed, tested and deployed successfully on schedule. Develop Change Management Policy.
	BAI9 - Manage ICT Projects	Adopt a project charter. This will be used to provide for a methodology to use on project management.
	BAI5 - Monitor Availability and Capacity.	Distribute, update and test ICT continuity plan and DRP and store at an offsite location. Implement a backup and retention strategy. Perform backup procedures for data and programs according to the strategy. Store backups in a secure offsite facility. Implement physical access and environmental control



		of data and server rooms.
	BAI10 - Monitor Assets.	These include ICT hardware and software assets of Greater Giyani Municipality.
	DSS11 - Access Management	Formally documented and approve user account management account standard and procedure. Management approval for user access to the network. Change Management register for changes in roles. Minimize the number of users with Administrative privileges. Monitor activities of system controllers. Periodically review access rights of users. Develop Access Control Register to Server Rooms. Develop ICT Security Policy.
	DSS14 - Service Reporting	Develop ICT Service Request Policy. Record all reported service request incidents. Generate monthly report on reported service requests.
	APO14 - Monitor Security	Carry out an ICT security awareness initiative. Monitor the level of security to be on the highest acceptable level Implement strong password controls to authenticate access to systems. Correctly configure firewalls and routers within the network to ensure optimal protection against unauthorized access. Implement patch management process to prevent exploitations and vulnerabilities. Implement Anti-Virus software across the Municipality to protect information systems and technology from malware and viruses. Ensure the system configuration detects security breaches, vulnerabilities and that incidents are monitored, reported and resolved on regular basis. Ensure there is audit trail on network activities.
	MEA3 - Ensure Regulatory Compliance	Ensure that new regulatory needs are adhere to in all systems.
	APO13 - Manage Suppliers	Adopt a project charter. This will be used to evaluate



		the services rendered by suppliers.
	APO2 - Develop and Manage ICT Framework	Develop and adopt ICT Framework for Greater Giyani Municipality. Implement ICT Governance Framework. Manage and review the ICT Framework.
	EDM3 - Ensure that ICT Governance is implemented and monitored.	Develop and adopt ICT Governance Framework for Greater Giyani Municipality. Implement and enforce ICT Governance Framework. Monitor ICT Governance Framework. Develop ICT Controls. Develop ICT Policies.
	APO3 - Develop objectives of ICT on the IDP.	Ensure ICT activities are on the IDP. Ensure ICT functions are on the SDBIP.
	EDM1 - Corporate Governance of ICT must enable the Municipality's political mandate.	Ensure that ICT activities align with the IDP of Greater Giyani Municipality. Ensure that ICT is represented at EXCO.
	APO10 - Assess and Manage ICT Risks	Perform risk assessment. Identify and record emerging and/or new risks. Develop an ICT risk register. Mitigate and control risks.
	DSS12 - Continual Service Improvement	Benchmark ICT Service Improvement. Meet customer requirements. Run customer satisfaction surveys. Develop a response time. Inform users of the changes being made.
	BAI7 - Manage Changes.	Inform users electronically about the changes that will affect how they work. Establish and implement a documented change management program policy and procedure. Ensure that programmers do not have access to the live environment. Get documented Management approval for all changes.
	BAI8 - Manage Acceptance and Transitioning.	Electronically inform user of the changes that affects their working environment. Get documented user acceptance of the change.



<b>Phase 2 - 2015/2016</b>		User will sign for the change on the change management register or forms.
	BA16 - Manage Organisational Change Enablement	The IT Steering Committee will be the chief custodian of changes at Greater Giyani Municipality and ICT Division will be responsible of effecting the changes.
	BA12 - Acquire and Maintain Technology Infrastructure.	Manage hardware i.e. servers, computers, printers, switches, routers, plotters, lap tops and scanners. Assess the warranty status of equipment. Develop an ICT equipment refresh plan. Keep ICT equipment asset register.
	DSS13 - Service Measurement	Perform user satisfaction survey. Record the number of first line resolution rate. Record turnaround time. Record response time. Record call resolution time.
	DSS3 - The Service Desk functioning	Develop ICT Service Request Policy Appoint Help Desk Personnel. Install Help Desk System Train Help Desk and Technical personnel Log, categorise, prioritise and attempt to resolve incidents and service request telephonically. Escalate, track and report incidents and requests. Close incidents and requests. Conduct user satisfaction survey. Keep users informed on progress of their call.
	DSS8 - Incident Management	Restore normal services as soon as possible. Develop system fail over. Develop disaster recovery plan. Develop ICT Service Request Policy. Develop call register.
	MEA1 - Monitor and Evaluate ICT Performance	Develop self-assessment on ICT Governance. Develop customer surveys Perform user satisfaction surveys. Report to Audit Committee. Report to Management. Develop IT Steering Committee.



		Develop ICT Governance Framework
DSS4 - Operations Management		Facilities Management. Manage systems consoles (Graphical User interface) Develop backup systems Develop DRP Manage printers. Install systems, upgrades and updates.
APO5 - Define ICT processes and relationships		Develop ICT Policies. Develop ICT controls. Develop ICT Network Access Policy. Develop System Controllers Procedure Manual.
MEA2 - Monitor and Evaluate Internal Controls		Restrict access to sensitive areas i.e. server rooms Install environmental controls (water and smoke detectors, fire suppression, air cons and fire extinguishers). Install two way access controls to server rooms (lock and key and keypad on server room doors). Develop ICT Security Policy.
APO8 - Manage Quality		Develop Project Charter.
APO9 - Manage ICT Human Resources		Employ skilled and professional personnel in GGITO Identify current human resources shortages. Develop ICT Structure. Develop Skills Capacity.
DSS7 - Event Management		Detect events. Automated notifications and alerts on events (informational, warning and exceptions). Event response. Event investigation. Event resolution. Develop service request policy to guide on incidents.
APO12- Manage SLA's		Ensure value for money is obtained on SLA. Review SLA's annually. Receive monthly report from service providers. Check performance against targets.
BAI4 - Manage Requirements Definitions.		Determine ICT requirements. Perform cost benefit analysis.



	DSS5 - Technical Management	Maintain technical infrastructure in optimal condition. Readily diagnose and resolve technical failures. Retain technical knowledge. Enter into technical SLA for scarce skills.
	DSS9 - Request Fulfillment Management	Develop ICT Service Request Policy. Log calls in the call register. Keep users informed. Use Help Desk. Develop ICT Change Management Policy. Develop Change Management Register. Develop ICT Equipment Register.
<b>Phase 3 - 2016/2017</b>	APO4 - Determine Technological Direction	Develop IT Steering Committee. Develop ICT Budget. Develop Project Charter.
	DSS2 - Manage Service Validation and Testing	Develop ICT Change Management Policy. Develop Project Charter. Develop Change Management Register. Develop Call Register.
	APO6 - Manage ICT investment	Develop ICT Asset Register. Update ICT asset register. Develop Procurement Plans. Develop ICT Budget.
	BAI1 - Acquire and Maintain Application Software.	Collect user requirements. Determine system requirements. Perform cost benefit analysis. Develop Project Charter. Enter into support SLA for system maintenance.
	APO1 - Manage ICT Strategy	Develop and implement IT Steering Committee. Develop IT plans. Develop ICT Policies.
	EDM2 - Executive Authority must ensure that the Corporate Governance of ICT achieves the political mandate of the Municipality.	Executive Authority provide political leadership and strategic direction. Determine policy and establish oversight. Take interest in Governance of ICT to the extent necessary to obtain comfort that properly established and functioning ICT Governance is in place.





		Assist the Accounting Officer to deal with inter-governmental, political, and other ICT related issues in the Municipality beyond the control or influence of the Accounting officer. Ensure that the ICT organizational structure makes provision for corporate governance of ICT.
DSS10 - Problem Management		Develop ICT Service Request Policy. Log recurring incidents on the call register. Manage availability.
DSS6 - Application Management		Collect user requirements. Determine system requirements. Perform cost benefit analysis. Develop Project Charter. Enter into support SLA for system maintenance.

**SELF ASSESMENT FOR ICT GOVERNANCE**

Process	Description	Rating
DSS11- Access Management	Are there policies which cover physical access to IT environment?	
	Is access to sensitive areas by authorized visitors (SP's etc.) supervised?	
	Is physical access outside normal working hours controlled?	
	Is there access registers?	
	Does the access register get signed?	
APO14- Monitor Security	Is there ICT security policy?	
MEA2- Monitor and evaluate internal control	Are there environmental controls in the server rooms?	
BAI6- Manage organisational Change Enablement	Is there ICT Change Management Policy?	
BAI5- Monitor Available and Capacity	Is there DRP?	
BAI10-Monitor Assets.	Is the assets management register?	
AP01- Manage ICT strategy	Are ICT Policies approved?	
AP02-Develop and Manage ICT framework	Is the ICT Governance framework approved?	



MEA4-provide ICT Governance	Did the municipality manager approve the IT Steering Committee terms of reference?	
EDM3- Ensure that ICT Governance is implemented and monitored	Does the IT Steering hold regular meetings?	
MEA4-provide ICT Governance	Is GGITO represented at Executive committee of the Municipality? Is GGITO represented appropriately at the audit committee	
DSS1- Manage Release and Deployment	Is there a patch management process?	
DSS11- Access Management	Are there role based access control?	
DSS15-service Improvement	Does GGITO appropriate inform users of changes affecting them?	
DSS11- Access Management	Are there network access forms?	
	Is there Network Access Policy?	
AP014-Monitor Security	Is there a firewall?	
DSS11- Access Management	Is the internet access monitored and reported on?	
APO12 – Manage SLA's	Is there maintenance and support SLA available?	
DSS3- The service desk functioning	Is there Help desk service available?	
	Does the helpdesk have appropriate staff with skills	
	Does the helpdesk generate regular basis?	
AP010- Assess and manage ICT risks	Is ICT integral part of the municipality's risk management?	
	Is there a risk register?	
	Is the risk assessment performed on regular basis?	
BA17- Manage changes	Is there change management register?	
DSS4- operations Management	Does the municipality have disaster recovery plan?	
MEA3- Ensure Regulatory Compliance	Has the municipality manager's office ensure compliance to laws, legislation, prescripts and compliance?	



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Report of the presidential Review Commission as presented to the Presented to the President of South Africa 27 February 1998

King IV Report on Corporate Governance of ICT

Presidential Review Commission report 1998

Adopted for South Africa as SANS 38500, "COBIT 5, ITIL v3"

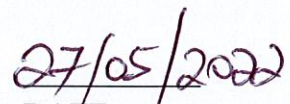
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**Signed by**

**MAYOR: CLLR ZITHA T**

  
SIGNATURE

  
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