



NWU INFORMATION AND COMMUNICATION TECHNOLOGY (ICT) GOVERNANCE POLICY

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NWU INFORMATION AND COMMUNICATION TECHNOLOGY (ICT) GOVERNANCE POLICY

Preamble

Against the background of the dream to be an internationally recognised university in Africa, distinguished for engaged scholarship, social responsiveness, and an ethic of care, the Council of the North-West university (NWU) has adopted this Technology Governance policy on 17 March 2022.

1 Interpretation and application

This policy must be interpreted and applied in a manner consistent with the –

- 1.1 Constitution of the Republic of South Africa, 1996;
- 1.2 Higher Education Act, 101 of 1997;
- 1.3 Promotion of Access to Information Act, 2 of 2000;
- 1.4 Electronic Communications and Transactions Act, 25 of 2002;
- 1.5 Protection of Personal Information Act, 4 of 2013;
- 1.6 Post-School Education and Training Information Policy, 138 of 2019;
- 1.7 King IV Report on Corporate Governance, 2016 (King IV);
- 1.8 NWU Information Governance Framework;
- 1.9 Relevant codes and standards, such as ISO, Cobit, Togaf;
- 1.10 Other NWU Technology and Information, as well as Communication policies.

2 Purpose and scope of the policy

- This policy aims to assure quality and provide the framework for responsible governance of Information and Communication Technology (ICT) at North-West University.
- This policy outlines the framework for ICT governance in order to enable responsible, effective, and sustainable use of ICT within the University (as required by King IV).
- This policy concentrates on ICT governance from a supply-side of view, relying on the “NWU’s Fair usage Policy” and ICT procedures to govern the ICT demand-side.

3 Policy statement

Considering that it is one of the most critical leadership disciplines required to enable organisations to achieve their operational and strategic goals, it is the policy of the NWU to govern and manage ICT in a consistent and well-defined manner in order to –

- guide stakeholders in decision-making to ensure that the NWU accomplishes its desired business outcomes and to
- Determine how those goals and objectives are to be accomplished.

4 ICT governance framework

4.1 Governance focus areas

The following table provides an overview of ICT governance focus areas and the underlying processes:

Strategy	Direct	Business and I&T strategies direct investments towards the execution of the IT strategy and deliver business outcomes. On priority setting, provide direction to ICT function, ICT plan, and business-unit-led ICT (ICT/I&T).
Investments	Evaluate	Investments in ICT/I&T are evaluated against business outcomes. They could be directed by strategy or critical business requirements.
Value	Create	An assurance on ICT's contribution to strategic business performance indicators. ICT portfolio investments and rationalisation against strategic requirements and business outcomes.
Risk/Control	Protect	Adherence to enterprise guardrails as determined by management controls. Risk appetite for ICT risk, balancing enterprise run versus innovation needs.
Performance	Monitor	Evaluate and monitor strategy execution, investment returns, business-ICT performance, and the achievement of business and ICT outcomes.

4.2 Functional committees

The following committees advise, manage and govern ICT. All committees have full terms of references, which are revised from time to time.

4.2.1 IT Committee (ITCom)

The purpose of the ITCom is to advise UMC on the following matters:

- How the digital business strategy expectations of the NWU are defined and managed with due account to the capacities, capabilities and performance of the IT department.
- How strategic projects (in collaboration with the IT department) are accepted, planned, executed, monitored and maintained.
- The extent to which value-add is insured in the following end-to-end services provided by the IT department:
 - Demand-management strategy,
 - Business-value added,
 - Performance (including risks, disaster recovery) and
 - Execution.

The ITCom will be responsible for the following matters and needs to report regularly to UMC on the mentioned themes:

- The Technology and Information demand management strategy (based on generating business value and aligning to the Digital Business Strategy).
- The evaluation and monitoring of strategy execution, investment returns, business-IT performance, and the achievement of business and IT outcomes serving as the only steering body of Strategic Technology and Information projects and reporting accordingly to UMC.
- Determining risk appetite for IT risks, balancing enterprise run versus innovation needs.
- Creating visibility to the IT portfolio (projects, products, services, programs and other activities that might require resource support).
- Acting as a channel to establish a change-enabled culture.
- Advising on changes in the IT environment locally and globally.

4.2.2 TI Governance Committee (TIGovCom)

The purpose of the Information Technology Governance Committee is to govern all aspects related to technology and information at the NWU.

The responsibilities of this Committee are:

The Technology and information Governance Committee is responsible for technology and information governance and ensuring that Council fulfils its role as overall governing body for technology and information governance.

- The TIGovernance Committee oversees the implementation of a TIGovernance framework to set the direction for how the University capitalises on technology and information as strategic assets.

- The TIGovernance Committee exercises ongoing oversight of technology and information management, with particular focus on the following matters:
 - The extent to which the strategic integration of people, technologies and information and processes at the NWU optimises the University’s competitive advantage.
 - The appropriateness of T&I Risk mitigation strategies.
 - The appropriateness of arrangements to ensure business resilience regarding matters related to information and technology management.
 - The pro-active monitoring of business processes providing the necessary intelligence in order to identify and respond to incidents such as cyber-attacks.
 - Oversight regarding the management of third-party providers’ performance, outsourced services and risks associated with these providers.
 - Oversight concerning the assessment of the value delivered by the University through investments in technology and information. These investments include evaluating projects through their life cycles and operational expenditure.
 - The responsible disposal of obsolete technology and information in a way that regards environmental impact and information security.

4.2.3 ICT Advisory Committee (ITACom)

The IT Advisory Committee (ITACom) is an external advisory body. This Committee aims to advise the Information Technology Department in optimising and improving the Core IT processes as set out in best practise frameworks, like Info-Tech and Cobit.

The **responsibilities** of this Committee are to advise on the following IT core processes:

- IT strategy and governance
- Financial management
- People and resources
- Service planning and architecture
- Infrastructure and operations
- Security and risk
- Applications
- Data and business intelligence
- Portfolio management and projects.

5 Framework for the application of the policy

- 5.1 The ICT governance model of the NWU does not impose top-down decisions, nor does it licence local units to make independent ICT decisions.
- 5.2 ICT governance at the NWU must find an effective balance and direction that satisfies institutional needs and obligations and ensures innovation and effectiveness of the University’s faculties, schools, and departments.
- 5.3 ICT governance at the NWU must be understood within its intended scope, namely that ICT decisions have enterprise application or enterprise implications.
- 5.4 Enterprise ICT governance must focus on decisions that involve (but are not limited to) any or all of the following considerations:
 - The University shares a common ICT infrastructure
 - ICT represents significant amounts of the University’s financial investment
 - All ICT policies must be taken into account
 - The need to establish and manage common ICT standards, architecture and infrastructure (including allowing exceptions to these standards)
 - Strategic projects
 - Integration with existing systems
 - Quality measures
 - Risk mitigation strategies
 - Business resilience and continuity
 - Value delivery
 - Ethical use of ICT
 - Compliance with relevant laws

- 5.5 Because most new ICT solutions, software purchases, and cloud services may impact the ICT architecture, they must go through the ICT governance process of the NWU.
- 5.6 ICT implications or issues relating to the security of resources and information, risk management, business continuity, privacy, and IT service management must be given specific consideration in ICT governance.
- 5.7 Having both substantial and substantive impacts, the application of ICT governance must ensure identifying the key issues and the mechanisms to manage compliance.

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