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**Email of secretary:** [lrajchel@ansi.org](mailto:lrajchel@ansi.org)

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# **BUSINESS PLAN FOR JTC 1/WG 8 Governance of Information Technology.**

**PERIOD COVERED: November 2012 to November 2013**

**SUBMITTED BY: Philip Brown, Convener, ISO/IEC JTC 1 WG 8 Governance of Information Technology**

## **1 Management Summary**

### **1.1 CONVENER'S REMARKS**

This business plan reflects the intent of ISO/IEC JTC1 WG8 (WG8) to further standardization within its scope, Governance of IT. This scope has very little, if any, overlap with the scope of other JTC1 entities. It is acknowledged, however, that a small number of other groups within JTC 1 legitimately specify elements of Governance of IT in their standards.

Within JTC 1/WG 6 and JTC 1/SC 7/WG 40 there was consensus on the definition of Governance of IT and, indeed, of governance, which has been maintained in JTC 1/WG 8. There is however an ongoing concern with the proliferation of definitions of and models for governance within ISO and JTC 1. This continues to be further complicated by the proliferation of types of Governance being defined in the marketplace.

WG 8 aims to lead the market into creating and aligning a generally accepted body of knowledge relevant to Governance in the IT sector.

The business plan is written on the assumption that WG 8 will have continued existence as a Working Group directly under JTC 1. This is unlikely to be the situation following the 2013 JTC 1 Plenary, but it is impossible to predict, at the time of writing, which of several possible placements of governance work within JTC 1 will be selected. However, it is likely that much of this business plan could be carried over into the business plan of any modified or successor entity to WG 8.

Much of the effort of the Working Group over the past year has been expended on the ISO/IEC 38500 series of standards and technical reports inherited from JTC /WG 6. The other live projects, the ISO/IEC 30120 series inherited from ISO/IEC JTC 1/SC 7/WG 40, has recently received less attention from the WG as a whole, largely because of the timing of ballots.

Ideas for new work have been developed in both the pure governance (38500) and applications of governance (30120) threads and are likely to result in the submission of New Work Item Proposals by national bodies active in WG8 during the early part of 2014.

One of the major drivers for work in the field of governance of IT has been the incredible amount of money wasted on failed major ICT enabled projects. This was recognised by the formation of an Ad Hoc group within WG6 on Benefits Realization in IT Enabled Projects. This work has been followed on in WG8, resulting in a draft NWIP that is likely to be submitted to JTC 1 by one of the national bodies active in WG8 towards the end of 2013.

## 1.2 JTC 1 WG8 STATEMENT OF SCOPE

JTC 1/WG 8 was established by Resolution 30 of the 2012 Plenary Meeting of JTC 1 on Jeju Island, Republic of Korea. The Terms of Reference for WG 8, defined in that Resolution, are:

1. To develop standards and related documents for the Governance of IT including tools and frameworks for governance, but excluding management, architecture, and portfolio management activities, as covered under the scope of JTC 1/SC 7.
2. The work program will comprise the following work items:
  - *ISO/IEC NP/CD 38500 Revision of ISO/IEC 38500:2008 Corporate Governance of Information Technology*
  - *ISO/IEC DTR 38502 Information Technology – Governance of IT- Framework and Model*
  - *ISO/IEC WDTS 38501 - Corporate Governance of IT Implementation Guide*
  - *ISO/IEC WD 30120 Information technology - Software Engineering - IT Audit – Audit guidelines for Governance of IT*
  - *ISO/IEC CD 30121 Information technology – Software Engineering – Governance of Digital Forensic Risk Framework*
3. To pursue the existing liaison relationships of JTC 1/WG 6 and SC 7/WG40 as follows:
  - *JTC 1/SC 27*
  - *JTC 1/SC 27/WG 4*
  - *JTC 1/SC 38*
  - *TC 159*
  - *ISACA*
  - *itSMF*

The first three work items listed under point 2 were inherited from JTC 1/WG 6; the fourth and fifth from JTC 1/SC 7 /WG 40. Those Working Groups were disbanded by Resolution 31 of the Plenary.

## 1.3 PROJECT REPORT

Current Projects of WG 8:

Project Ref	Project Title	Project Editor/s	Current Stage	Registration Date	Target Date
ISO/IEC CD 38500 (ID 62816) Revises ISO/IEC 38500:2008	Corporate Governance of Information Technology	J Graham (AU)	30.60 (2013-07-27)	Proposed CD submitted with NWIP 2012-09-21	Limit Date 2015-09-19
ISO/IEC PDTS 38501 (ID 45263)	Information Technology – Corporate Governance of IT Implementation Guide	M Blecher (ZA)	30.60 (2013-02-21)	2009-01-08	Limit date 2016-01-08
ISO/IEC DTR 38502 (ID 50962)	Information technology - Governance of IT – Framework and Model	M Shanahan (AU)	40.20 (2013-05-17)	2010-01-12	Limit Date 2014-01-12

ISO/IEC CD 30120	Information technology - Software Engineering - IT Audit -Audit guidelines that support the evaluation of the governance of IT	Hyung Jin Kwong (KR)	30.60 (2013-08-17)	2011-05-08	Limit date 2016-05-27
ISO/IEC DIS 30121	System and software engineering - Information technology - Governance of digital forensic risk framework	B Cusack (NZ)	40.20 (2013-07-02)	2011-11-15	Limit date 2015-11-15

## 1.4 CO-OPERATION AND COMPETITION

Governance of Information Technology continues to be the subject of extensive discussion in the market however the discussion remains highly fragmented in terms of definitions, models and frameworks which have been sourced from academia, industry professional organisations and suppliers of management advice, frameworks, software and services. It was this fragmentation and perceived ineffectiveness of so-called “IT Governance” investments that gave rise to the development of AS 8015, the precursor to ISO/IEC 38500.

Two major professional organisations that are influential in the marketplace have demonstrated strong support for the work of WG8:

- ISACA is a category C liaison to WG8. In its revision of primary guidance framework (COBIT 5), ISACA acknowledges ISO/IEC 38500 and makes significant changes to its use of language (particularly the relationship between governance and management) which results in strong alignment with ISO/IEC 38500. ISACA is also playing a significant part in the development of the TR required of WG6 to address the relationship between governance and management of IT. It is anticipated that there will be significant harmonisation of governance and management concepts between future products of ISACA and WG8, contributing to substantial reduction in marketplace confusion.
- The consortium OASIS has developed standards in the governance area. Although a Category A Liaison with JTC 1 and recognized PAS Submitter, formal liaison between OASIS and WG8 has not yet been established, but informal contacts suggest that OASIS is likely to make a positive contribution to the existing and planned WG8 work programme, including possible formal PAS submissions.

WG8 has liaison relationships within JTC 1 with both SC 7 and SC 27. WG 8 has provided significant input into the ISO/IEC 27014 project by means of comments directed at enhancing the consistency of ISO/IEC 27014 with on-going WG 8 work.

## 2 PERIOD REVIEW

### 2.1 MARKET REQUIREMENTS

It is widely understood that most organizations in the developed world and many in the developing world have become dependent on information technology for both day-to-day operations and development of future capability. Yet anecdotal evidence shows that many are susceptible to failure of both operational business systems and capability development initiatives which are critically dependent on IT. Market

research over extended periods by respected business analysts, consultants and academics shows that failure rates of so-called “IT Projects” – those projects to develop future capability that is dependent on IT – remain unacceptably high. Increasingly, experts are recognising that the cause of such failure is an excess of focus on the technical aspects of the project and an insufficiency of attention to the non-technical aspects, which is associated with a widespread culture of poor engagement by business leaders at the governing body and top executive levels. This is the context in which AS 8015 was first developed and which supported the adoption of AS 8015 as ISO/IEC 38500:2008.

The on-going Global Financial Crisis, and the resulting focus on value and risk provide a clear and urgent need for a more effective and efficient approach to Governance, including the Governance of IT. IT is becoming increasingly embedded in everything we do. The technology landscape is undergoing increasingly rapid and significant changes, including the “cloud”, “big data”, analytics, mobility, consumerisation of technology, BYOD, and social networking; the role of IT, and the roles and responsibilities related to its provision and use are being questioned. This “perfect storm” of economic pressures and technology change are creating even greater interest in, and need for effective Governance of IT, which, in turn, is leading to a growing demand for both regulation and standards. We must recognise this building demand and, if deemed appropriate, respond with appropriate products.

WG 8 also is aware of teaching of the ISO/IEC 38500 framework and model for governance of IT in universities in several countries, including Australia, New Zealand, Spain and Japan.

WG 8 regards the market view described above as indicative of a market that is continuing to grow despite the lack of aggressive market development by any service provider or professional organization. As AS 8015 has been available for more than eight years, and ISO/IEC 38500 for over five years, there is an increasing level of awareness and understanding of the key messages in ISO/IEC 38500 together with the applicability of the standard as a guide for business leaders.

WG 8 is aware that there is still much work to be done in fully understanding market needs. As WG 8 is not a research organisation, and lacks both the charter and resources to become one, it must rely on the availability of research done by others. The deliberations of WG 8 have been informed by the research of many organisations, commercial, professional and academic. WG 8 is aware of published information that suggests the cost of IT project failure approaches a significant percentage of global domestic product. Improved governance of IT will reduce the frequency of project failure, and thus has the potential to generate substantial economic value.

## **2.2 ACHIEVEMENTS**

Ballot comments on CD 38500 have been resolved, and a DIS ballot is anticipated to open at the end of 2013.

Ballot comments on PDTS 38501 have been resolved, and a DTS ballot is anticipated to open at the end of 2013.

Ballot comments on DTR 38502 have been resolved, and it is anticipated that an updated text will be sent for publication as a TR at the end of 2013.

These three members of the 38500 family are progressing at the same time as a result of successful efforts to align vocabulary and terminology across the family.

A ballot on PDTR 30120 closed in August 2013. A draft Disposition of Comments has been developed by the Editor and it is anticipated that final DoC will be accepted in November 2013, permitting initiation of a DTR ballot early in 2014.

A ballot on DIS 30121 closed in late August 2013.

Several ad hoc and study groups submitted reports to WG8 during the year, with some of these leading to concrete suggestions and proposals for future work. Potential new projects include a TR on “Governance of human touchpoints with IT”, and a TR on “Mapping the BiSL framework to ISO/IEC 38500”.

## 2.3 RESOURCES

WG 8 has a large nominal membership and has experienced significant growth in the number of contributing experts and practitioners of Governance of IT. It is hoped that the upcoming work in Benefits Realisation will further increase the participation of experienced experts and practitioners as will the emerging clarity of the scope of the group’s work.

As at 21<sup>st</sup> September 2013, there were 88 individual members nominated by 17 participating national bodies, plus 4 liaison members from 3 organisations.

Attendance at the two face to face meetings held during the year were:

- March 2013, Sydney: 26 from 12 national bodies and 1 liaison organisation, plus 5 from 2 national bodies and 1 liaison organisation electronically.
- August 2013, Tokyo: 25 from 8 national bodies and 1 liaison organisation, plus 6 from 3 national bodies electronically.

Members are spread widely throughout the world, and some, particularly from the southern hemisphere, find the costs of travel to face to face meetings significant. Electronic meetings and electronic access to face-to-face meetings provide a partial solution, but do not always work smoothly.

It appears very likely that the resources will permit the completion of current planned activities according to schedule.

## 3 FOCUS NEXT WORK PERIOD

### 3.1 DELIVERABLES

Project Ref	Project Title	Next Stage Scheduled	Target Date For Publication
ISO/IEC CD 38500 (ID 62816) Revises ISO/IEC 38500:2008	Corporate Governance of Information Technology (Proposed change: Information technology – governance of IT – for the organization	40.00 DIS Registration Target date: 2014-03-19	Limit Date: 2015-09-19
ISO/IEC PDTS 38501 (ID 45263)	Information Technology – Corporate Governance of IT Implementation Guide	40.00 DIS Registration Target date: 2014-01-08	Limit Date 2016-01-08
ISO/IEC DTR 38502 (ID 50962)	Information technology - Governance of IT – Framework and Model	60.60 International Standard published Target date: 2014-01-12	Limit Date 2014-01-12
ISO/IEC CD 30120 (ID 52340)	Information technology - Software Engineering - IT Audit - Audit guidelines that support the evaluation of the governance of IT	40.00 DIS Registration Target Date: 2014-05-27	Limit date 2016-05-27

Project Ref	Project Title	Next Stage Scheduled	Target Date For Publication
ISO/IEC DIS 30121 (ID 53241)	System and software engineering - Information technology - Governance of digital forensic risk framework	50.00 FDIS registration Target Date: 2015-05-15	Limit date 2015-11-15

## 3.2 STRATEGIES

- Continue to work on developing a market engagement strategy aimed at increasing participation from the demand side of IT, those involved in the governance and management of organisations and corporations, and building market awareness for the products of WG 8.
- Continue development of the Model for Standardisation and Gap Analysis
- Use the model as an input to the identification of projects that will result in a comprehensive and coherent family of IT Governance standards and supporting documents.

### 3.2.1 Market Development and Communication

WG 8 recognises that individual members of WG 8 and a number of national bodies continue to drive growth of market awareness and interest in the ISO/IEC 38500 family, explaining ISO/IEC 38500 to business and government leaders, academics and technology specialists in all continents. WG 8 is also aware that ISO/IEC 38500 is gaining increased visibility in the ranks of company directors and government leaders through incorporation into a range of formal and informal guidance documents. The effects of the Global Financial Crisis and the continuing losses due to failed IT enabled projects have, in turn, placed further pressure on the leaders in both the corporate world and government to consider the guidance provided.

### 3.2.2 RISKS

Governance is very dependent on both the jurisdictional and cultural environment in which it embedded. In multinational organisations, spanning multiple cultures and jurisdictions, this becomes a very large issue. There is a risk that WG 8 will not adequately take into account cultural and jurisdictional issues and hence produce products of limited applicability. There is a need to monitor and work with national bodies in this area to achieve a consensus on consistency.

- Mitigation Strategy: Work to ensure participation and contribution from experts from as many cultures and jurisdictions as possible.

A significant risk to the work of WG 8 is an imbalance of input from the IT industry and practitioners against those involved in the governance and management of organisations and corporations.

- Mitigation Strategies: The working group still has an over representation of the IT industry and practitioners and a severe under representation from those involved in governance and management. Actively pursue increasing participation from those involved in corporate governance, organisational governance and general management.

The continued devaluation of the term "Governance" and resulting lack of clarity of the term in the market place is a source of risk for both WG 8 and the market place.

- Mitigating strategies: Work to ensure rigorous and appropriate use of the term "Governance" throughout standardization bodies and continued market education as well as engagement of the group in areas where governance ought to be a prime consideration.

### **3.2.3 OPPORTUNITIES**

The planned Standardisation model and Gap Analysis is starting to point to opportunities for documents in a number of application areas and also organisational types. It is not the function of WG 8 to work in application areas within the scope of other SCs and TCs, but its foundation documents will provide a firm and consistent framework for those other groups to work with.

Continued high visibility business and reputational losses due to IT related failures make the market more aware of the need for better governance.

### **3.3 WORK PROGRAMME PRIORITIES**

The major work program priorities are to finish all current projects, currently ISO/IEC 38500 (revision), ISO/IEC TS 38501, ISO/IEC TR 38502, ISO/IEC 30120 and ISO/IEC 30121.

It is anticipated that the current work in the Benefits Realisation and Human Touch Points areas will give rise to NWI proposals in the next business period. A further NWIP from OASIS on mapping between the OASIS Transformational Governance Framework and ISO/IEC 38500 is also expected.

Requirements and opportunities for enhancements to ISO/IEC 38500 will be studied, as will development of a standardisation model and subsequent gap analysis.