KING IV CHECKLIST

#	PRINCIPLE	REQUIREMENTS	EXTENT OF COMPLIANCE

1	The governing body should lead ethically and effectively	Recommended practices of board members:
		▪ Integrity, competence, responsibility, accountability, fairness and transparency.
			The Board complied with this principle. Board and committee members signed a code of ethics and complete financial declarations annually. The NQF Act, 2008 as amended, makes allowance for the removal of board members.
			
			15 Vacation of office by board member and filling of vacancies
			(1) A member must vacate office if he or she-
			  (b) is absent from three consecutive meetings of the board, without leave of the board;
			  (c) is declared insolvent, is removed from an office of trust by a court of law or is convicted of an offence for which the sentence is imprisonment without the option of a fine; or
			  (d) is declared unable to manage his or her personal affairs by a court of law.
			(2) The Minister may, in accordance with the Promotion of Administrative Justice Act, 2000 (Act 3 of 2000), remove a member of the board at any time before the expiry of the member's term of office-
			  (a) on the grounds of misconduct, incapacity or incompetence; or
			  (b) for any other sound and compelling reason.
			(3) A vacancy on the board must be filled by appointment in accordance with section 14.
			(4) The Minister may, in accordance with the Promotion of Administrative Justice Act, 2000 (Act 3 of 2000), dissolve the entire board-
			  (a) if the board fails to perform in terms of this Act;

			(b) if there is a total breakdown in the relationship between the board and the Minister; or *(c)* on any reasonable grounds.
2	The governing body should govern the ethics of the organisation in a way that supports the establishment of an ethical culture	Recommended practices: ▪ Code of conduct and ethics policy should encompass interactions with stakeholders and address key ethical risks.	The Board complies with this principle. The Code of Conduct is incorporated into the Governance Manual. All staff members sign the Code of Conduct, and SAQA's policies encompass the Code of Conduct. Supplier contracts also include SAQA's Code of Conduct.
3	The governing body should ensure that the organisation is and is seen to be a responsible corporate citizen	Recommended practice: ▪ Compliance with laws, standards, codes of conduct and policies. ▪ Monitoring of practices relating to the workplace (fair remuneration practices, health & safety, dignity & employment equity); economy (economic transformation, fraud detection & prevention); society (public health & safety, consumer protection, community development, and protection of human rights); and environment (pollution & waste disposal). ▪ The Board will report on the following: Overview of arrangements for governing and managing responsible corporate citizenship; Key areas of focus during the reporting period; measures taken to monitor corporate citizenship and how the outcomes were addressed; and planned areas of future focus.	The Board adopts this principle to the extent to which it applies to SAQA. The Board reviews the list of laws, policies etc annually, to ensure that SAQA is complying with the relevant legislation, policies etc. Management aligns all internal policies with all relevant legislation and policies. Managers confirm compliance with the relevant legislation annually. Monitoring of practices in the workplace – this responsibility is split between the Audit & Risk Committee and EXCO. There is limited reporting about SAQA as a corporate citizen as most of what is contained here does not apply to SAQA.
4	The governing body should appreciate that the organisation's core purpose, its risks	Recommended practice: ▪ Board responsibility for organisational performance; ▪ Delegate formulation and development of organisation's short, medium and long term strategy to management; ▪ Board approval of short, medium and long term strategies;	The Board complies with this principle. The Board has overall responsibility for organisational performance. The Board approves the Strategic Plan and Annual Performance Plan after Management has developed them. The Board approves all strategic

	and opportunities, strategy, business model, performance and sustainable development are all inseparable elements of the value creation process	• Board approves policies and operational plans to give effect to strategy; • Board delegates implementation of plans and policies to management; • Oversight of strategy implementation; and Oversight of organisational sustainability.	policies as well as financial policies of an operational nature. There is a delegation to management to implement the strategy and policies, as outlined in the Governance Manual. The Board has oversight of the strategy implementation through the quarterly reports and the annual integrated report that the Board approves. The Board also has oversight over the finances of the organisation. The Audit & Risk Committee is delegated to interrogate the financials, and EXCO oversees the Management Accounts. Nevertheless, the Board approves the budget and the Annual Financial Statements, on the recommendation of the Audit & Risk Committee and EXCO. The Annual Integrated Report also contains a declaration on SAQA's financial sustainability for the year.
5	The governing body should ensure that reports issued by the organisation enable stakeholders to make informed assessments of the organisation's performance and its short, medium and long term prospects	Recommended practice: • Set direction for organisation reporting; • Approve management's determination of the reporting framework; • Oversee the publication of reports required to meet legal obligations; • Oversee the publication of the Annual Integrated Report; • Approve the Materiality Framework; • Provide assurance for external reports; and • Ensure the publication on the organisation's website of the Annual Integrated Report, Corporate Governance Disclosures, and Annual Financial Statements.	The Board complies with this principle. SAQA reports according to the PFMA, National Treasury and the DPME requirements. The Board approves the Annual Integrated Report and Annual Financial Statements; the Strategic Plan and Annual Performance Plan, and the Materiality Framework (delegated to the Audit & Risk Committee). All of these documents are published on SAQA's website.
6	The governing body should serve as the focal point and custodian of corporate	Recommended practice: The governing body should exercise its leadership role by: • Steering the organisation and setting strategy; • Approving policy and planning that give effect to the strategic direction;	The Board complies with this principle. The Board sets the strategic direction and management implements it. The Board approves all strategic policies and all financial policies of an operational nature.

	governance in the organisation	▪ Overseeing and monitoring management execution of strategy; and
		▪ Ensuring accountability for performance through reporting and disclosure.
		▪ The governing body should document its roles, responsibilities, membership requirements and procedural conduct in a charter that guides effective functioning and is regularly reviewed;
		The governing body must declare annually:
		  ▪ Number of meetings held and member attendance; and
		  ▪ Whether the body is satisfied that it has fulfilled its responsibilities in terms of its charter.
			Execution of strategy is monitored by the Board as well as through its committees.
			The Board has a charter in the form of the Governance Manual. The Governance Manual is reviewed annually.
			The declaration of meeting attendance and declaration by the Board Chairperson is included in the Annual Integrated Report.

7	The governing body should comprise the appropriate balance of knowledge, skills, experience, diversity and independence for it to discharge its governance role and responsibilities objectively and effectively	Recommended practice:
		▪ Assume responsibility for Board composition;
		▪ Majority should be non-executive, independent members;
		▪ Members should receive training on governance matters;
		▪ Regular briefings on changes in the legislative and governance environment should be provided to members;
		▪ Each member must provide a declaration of financial and economic interests annually;
		▪ Members must declare any potential conflicts of interest at the start of each meeting;
		▪ Non-executive members are independent if there is no interest, position, association or relationship which, when judged from the perspective of a reasonable and informed third party, is likely to influence unduly or cause bias in decision-making, in the best interests of the organisation.
		▪ The Chairperson must be an independent, non-executive member.
		▪ Another independent, non-executive member should be appointed to lead in the absence of the Chairperson; to
			The Board is not able to comply with this principle, as it is the Minister: Higher Education, Science and Innovation that appoints the governing body, in terms of the NQF Act, No 67 of 2008 as amended. The Board, therefore, plays no part in the appointment of its members.
			
			14 SAQA board
			(1) The SAQA is governed by a board.
			(2) The board comprises-
			  (a) 12 members appointed in their personal capacities by the Minister;
			[Para. *(a)* substituted by s. 13 of Act 26 of 2010 (wef 7 December 2010).]
			  (b) the chief executive officer of the SAQA contemplated in section 19, who is a member by virtue of his or her office; and
			  (c) the chief executive officer of each QC contemplated in Chapter 5, who are members by virtue of their offices.

		chair discussions where the Chairperson is conflicted; and to lead the performance appraisal of the Chairperson. ■ The Chairperson should not be a member of the Audit Committee ■ The Chairperson may be a member of the committee that determines remuneration, but should not be its Chairperson ■ The Chairperson may be a member of the social and ethics committee, but may not be its chairperson	(3) *(a)* The Minister must appoint members, from the nomination process contemplated in subsection (4), in such a manner as to ensure, insofar as is practically possible, that the functions of the SAQA are performed according to the highest professional standards provided that at least two members must be appointed from the nominations made by organised labour. *(b)* To ensure that the functions of the SAQA are performed in the manner contemplated in paragraph *(a)*, the members appointed must- (i) be broadly representative of the education and training sectors and related interests; (ii) have thorough knowledge and understanding of education and training; (iii) appreciate the role of education and training in the reconstruction and development of the South African economy and society; (iv) have known and attested commitment to the interests of education and training; (v) have knowledge and understanding of qualifications matters and quality assurance in education and training; and (vi) be competent to undertake the governance and oversee the financial affairs of the SAQA. *(c)* Due attention must be given to the representativity of the board in terms of such factors as race, gender and disability. (4) The Minister must invite nominations for the appointment of members by notice in the *Gazette*, from- (a) persons involved in education and training;

(b) organisations involved in education and training;

(c) professional bodies;

(d) organised labour;

(e) organised business; and

(f) organisations representing community and development interests.

(5) Any member-

(a) holds office for a period not exceeding five years; and

(b) may be reappointed at the expiry of his or her term of office, but may not serve for more than two consecutive terms of office.

(6) The Minister must appoint one of the members as chairperson.

(7) The members must elect a deputy chairperson from amongst their number.

17 Meetings of board and committees

(1) The board must meet at least four times a year at such times and places as the chairperson may determine by notice in writing to the members.

(2) The chairperson must convene a meeting of the board-

(a) within 14 days of receipt of a written request signed by at least one third of the members of the board; or

(b) if requested by the Minister to convene a meeting.

(3) If the chairperson and deputy chairperson of the board are absent from any meeting of the board, the members present must elect one of their number to preside at that meeting.

			(4) The board must make rules relating to the procedure at meetings of the board and its committees, including the quorum for such meetings, and any other matter necessary or expedient for the performance of the functions of the board or its committees. (5) The proceedings at a meeting of the board or a committee are not invalid by reason only of the fact that a vacancy exists on the board or committee, as the case may be, at the time of such meeting. (6) The board and its committees must keep minutes of their proceedings and decisions which when confirmed must be open to scrutiny by an interested person subject to the Promotion of Access to Information Act, 2000 (Act 2 of 2000).
8	The governing body should ensure that its arrangements for delegation within its own structures promote independent judgement and assist with balance of power and the effective discharge of its duties	Recommended practice: ▪ Delegation of duty is subject to legal requirements and appropriateness for the organisation. ▪ Delegation must be in writing and approved by the Board. It should state the nature and duration of delegation; extent of responsibilities, decision-making authority and reporting responsibilities. ▪ Delegation to committees should be in the form of terms of reference and should be reviewed and approved annually. Each committee should have a minimum of 3 members. ▪ Members of senior management and the executive should attend meetings either on a permanent or ad hoc basis, to provide pertinent information. ▪ Delegation to a committee does not remove the overall responsibility and accountability from the governing body.	The Board complies with this principle insofar as it applies to SAQA. Section 16 of the NQF Act, 2008 makes provision for the creation of committees. **16 Committees of the board** (1) The board may establish one or more committees that must perform such functions as the board may determine. (2) A committee may co-opt a person who is not a member of the board but the board must consider the criteria contemplated in section 14 when it appoints such a person to a committee. (3) The board must appoint one of its members as chairperson of a committee. (4) A member of a committee is appointed for such period as the board may determine.

		▪ The formation of the audit committee is a statutory requirement. The Audit Committee should meet with the internal and external auditors separately, and without the presence of management, for an open discussion. ▪ The Board should appoint a **Nominations Committee**. ▪ The Board should appoint a Risk Committee or add it to the function of another committee. ▪ The Board should have a committee for **Remuneration** or add the function to another committee. ▪ The Board should appoint a **Social and Ethics** Committee or add the functions to another committee.	The Committees review their Terms of Reference (TORs) annually and the Board approves it. All delegations and TORs are included in the Governance Manual, which is reviewed and approved by the Board annually. The Board does not have a Nominations Committee as the Minister: HESI is responsible for the Board appointments. The Board has incorporated the Remunerations Committee function into EXCO. This Committee is chaired by the Board Chairperson, and not the Deputy Chairperson as required. The main reason for this is that there is no conflict as the Board does not determine its remuneration. The Board has not appointed a Social and Ethics Committee. The functions of this committee have been split and included in the TORs of the Audit & Risk Committee and EXCO.
9	The governing body should ensure that the evaluation of its own performance and that of its committees, its chair and its individual members, support continued improvement in its performance and effectiveness	Recommended practice: ▪ The board should assume responsibility for its own evaluation, and that of its committees and Chairperson. ▪ The Board should decide on which member will lead the evaluation of the Chairperson. ▪ Evaluations should take place at least every 2 years. ▪ The Board should discuss its evaluation and any remedial action.	The Board complies with this principle. The Board and committee members self-evaluate their performance annually. The Board evaluates the performance of the Chairperson and the CEO. The evaluations are discussed at each of the committee and the board meeting following the evaluation.
10	The governing body should ensure that	Recommended practice: The Board should appoint the CEO.	The Board mainly complies with this principle.

	the appointment of and delegation to, management contribute to role clarity and the effective exercise of authority and responsibilities	- The CEO is the link between Management and the governing body. - The CEO should be accountable and report to the Board. - The CEO should not be a member of the Remuneration, Audit or Nominations Committees, but can attend by invitation. - The CEO and Board should agree on whether the CEO takes on additional positions outside of the organisation. - The Board must ensure that there is succession planning for the CEO position, but in cases of emergencies and in the longer term. This plan must be reviewed periodically. - The board must evaluate the CEO's performance annually. - The following should be disclosed in terms of the CEO: notice period stipulated in the CEO's employment contract; other professional commitments of the CEO, including membership to other governing bodies outside the organisation, and whether succession planning is in place for the CEO position. - The Governing Body should set clear parameters for its powers and those that are delegated to Management through the CEO. - The governing body must ensure that there is a succession plan in place for executives. - A statement by the Board on whether it is satisfied that the delegation of authority framework (Governance Manual) contributes to role clarity and the effective exercise of authority and responsibilities should be disclosed. - The Board should appoint a Company Secretary.	The Board appoints the CEO and performs the CEO's annual assessment. The CEO, though a member of EXCO, does not have voting rights on matters relating to staff remuneration. The CEO requests permission from the Board for all external positions on other boards and expert groups, except the Boards of the Quality Councils. This appointment is covered by the NQF Act and the QC Acts. The Board does not currently have a succession plan for the CEO but should be looking at this. Delegations are captured in the Governance Manual, which is reviewed annually. The Board does not appoint a Company Secretary, as SAQA is too small for this role. However, the Manager: Governance and Legal plays the role of the Company Secretary.
11	The governing body should govern risk in a way that supports the	Recommended practice: The governing body should assume responsibility for the governance of risk by setting the direction for how risk should be approached and addressed in the organisation	The Board complies with the principle.

	organisation in setting and achieving its strategic objectives	▪ The governing body should treat risk as integral to the way it makes decisions and executes its duties. ▪ The governing body should evaluate and agree the nature and extent of the risks that the organisation should be willing to take in pursuit of its strategic objectives. It should approve in particular: a. the organisation's risk appetite, namely its propensity to take appropriate levels of risk; and b. the limit of the potential loss that the organisation has the capacity to tolerate. ▪ The governing body should delegate to management the responsibility to implement and execute effective risk management. ▪ The governing body should exercise ongoing oversight of risk management and, in particular, oversee that it results in the following: a. An assessment of risks and opportunities emanating from the triple context in which the organisation operates and the capitals that the organisation uses and affects; b. An assessment of the potential upside, or opportunity, presented by risks with potentially negative effects on achieving organisational objectives; c. An assessment of the organisation's dependence on resources and relationships as represented by the various forms of capital; d. The design and implementation of appropriate risk responses; e. The establishment and implementation of business continuity arrangements that allow the organisation to operate under conditions of volatility, and to withstand and recover from acute shocks; and f. The integration and embedding of risk management in	Risk oversight is delegated to the Audit and Risk Committee, but the Board still maintains responsibility for this function. Management implements risk mitigation strategies. The Management Risk Committee oversees the development of the Risk Register, Prioritised Risk Register and Compliance to Legislation document. This Committee meets quarterly and reports the top 10 prioritised risks to the Audit and Risk Committee. The Audit and Risk Committee has oversight of IT Risks, as reported from the representative of the I&IT Committee who attends the Audit and Risk Committee. The Audit & Risk Committee approves the annual Risk Plan and monitors its implementation. SAQA also has a business continuity plan that the I&IT Committee oversees on behalf of the Board. The Audit and Risk Committee also oversees the Combined Assurance Plan. Risks are disclosed in the Annual Integrated Report.

		the business activities and culture of the organisation. ▪ In addition, the following should be disclosed in relation to risk: a. An overview of the arrangements for governing and managing risk; b. Key areas of focus during the reporting period, including objectives, the key risks that the organisation faces, as well as undue, unexpected or unusual risks and risks taken outside of risk tolerance levels; c. Actions taken to monitor the effectiveness of risk management and how the outcomes were addressed; and d. Planned areas of future focus.	
12	The governing body should govern technology and information in a way that supports the organisation setting and achieving its strategic objectives	Recommended practice: ▪ The governing body should assume responsibility for the governance of technology and information by setting the direction for how technology and information should be approached and addressed in the organisation. ▪ The governing body should approve policy that articulates and gives effect to its set direction on the employment of technology and information. ▪ The governing body should exercise ongoing oversight of technology and information management and, in particular, oversee that ii results in the following: a. Integration of people, technologies, information and processes across the organisation; b. Integration of technology and information risks into organisation-wide risk management; c. Arrangements to provide for business resilience; d. Proactive monitoring of intelligence to identify and respond to incidents, including cyber attacks and adverse social media events; e. Management of the performance of, and the risks	The Board largely complies with this principle. The Board delegated oversight for IT governance and risk to the I&IT Committee. The Committee approves and oversees the implementation of the ICT Enterprise Architecture and ICT Framework annually. The Committee oversees the implementation and reporting against 12 Cobit standards. The Committee monitors security measures for data protection in terms of the POPI Act.

pertaining to, third-party and outsourced service providers;

f. The assessment of value delivered to the organisation through significant investments in technology and information, including the evaluation of projects throughout their life cycles and of significant operational expenditure;

g. The responsible disposal of obsolete technology and information in a way that has regard to environmental impact and information security;

h. Ethical and responsible use of technology and information; and

i. Compliance with relevant laws.

- The governing body should exercise ongoing oversight of the management of information and, in particular, oversee that it results in the following:

a. The leveraging of information to sustain and enhance the organisation's intellectual capital;

b. An information architecture that supports confidentiality, integrity and availability of information;

c. The protection of privacy of personal information; and

d. The continual monitoring of security of information.

- The following should be disclosed in relation to technology and information:

a. An overview of the arrangements for governing and managing technology and information;

b. Key areas of focus during the reporting period, including objectives, significant changes in policy, significant acquisitions and remedial actions taken as a result of major incidents;

c. Actions taken to monitor the effectiveness of technology

		and information management and how the outcomes were addressed; and d. Planned areas of future focus.	
13	The governing body should govern compliance with applicable laws and adopted non-binding rules, codes and standards in a way that supports the organisation being ethical and a good corporate citizen	Recommended practice: ▪ The governing body should assume responsibility for the governance of compliance with applicable laws and adopted, non-binding rules, codes and standards by setting the direction for how compliance should be approached and addressed in the organisation. ▪ Material or repeated regulatory penalties, sanctions or fines for contraventions of, or non-compliance with, statutory obligations, whether imposed on the organisation or on members of the governing body or officers should be disclosed.	The Board complies with this principle. Management compiles and reviews a list of legislation, policies, etc annually. The Audit and Risk Committee reviews this list and recommends it to the Board for approval. The Board approves the list annually. Management ensures that all internal policies are aligned to the legislation and policies. Managers sign off against this list, acknowledging compliance, on an annual basis. The Auditors periodically review SAQA's policies against the relevant legislation and policies.
14	The governing body should ensure that the organisation remunerates fairly, responsibly and transparently so as to promote the achievement of strategic objectives and positive outcomes in the short, medium and long term	Recommended practice: ▪ The governing body should assume responsibility for the governance of remuneration by setting the direction for how remuneration should be approached and addressed on an organisation-wide basis. ▪ The governing body should approve policy that articulates and gives effect to its direction on fair, responsible and transparent remuneration. ▪ Overview of remuneration policy and Implementation report	The Board complies largely with this principle. The Board remuneration is captured in Section 18 of the NQF Act, 2008 as amended. **18 Allowances and remuneration of members of board and committees** A member of the board and a member of a committee who is not in the full-time service of the State may, in respect of services rendered by him or her in connection with the affairs of the board or committee, as the case may be, be paid by the SAQA such allowances and, in the case of the chairperson of the board, such additional remuneration as the Minister, with the concurrence of the Minister of Finance, may determine.

			National Treasury determines the amounts to be paid to Board and Committee members. SAQA's Remuneration Policy outlines the salaries to be paid to all staff, including the CEO. Up until 2021, SAQA negotiated directly with the majority union for staff increases. Manager and executive salary increases were determined by REMCO. In 2021, post its restructure, SAQA is moving towards aligning with the DPSA salary scales and increases. Senior staff bonuses will still be approved by EXCO.
15	The governing body should ensure that assurance services and functions enable an effective control environment, and that these support the integrity of information for internal decision-making and the organisation's external reports	Recommended practice: Combined assurance: ▪ The governing body should assume responsibility for assurance by setting the direction concerning the arrangements for assurance services and functions. ▪ The governing body should delegate to the audit committee, the responsibility for oversight. ▪ The governing body and its committees should assess the output of the organisation's combined assurance with objectivity and professional scepticism, and by applying an enquiring mind, form their own opinion on the integrity of information and reports, and the degree to which an effective control environment has been achieved. ▪ The governing body should assume responsibility for internal audit by setting the direction for the internal audit arrangements needed to provide objective and relevant assurance that contributes to the effectiveness of governance, risk management and control processes. ▪ The governing body should delegate oversight of internal audit to the audit committee.	The Board largely complies with this principle. The Board delegated oversight of the Combined Assurance Plan to the Audit & Risk Committee. SAQA's internal audit function is outsourced. The Audit & Risk Committee oversees the appointment and reporting of the Internal Audit function. The Board approves the Internal Audit Charter that the Audit & Risk Committee recommends to it. SAQA does not have a Chief Audit Executive. However, the CFO fulfils this function in terms of the financial audit and the Executive: Governance, People & Strategy fulfils this function in terms of performance information and risk.

		▪ The governing body should approve an internal audit charter that defines the role and associated responsibilities and authority of internal audit. ▪ Where internal audit services are co-sourced or outsourced, the governing body should ensure that there is clarity on who fulfils the role of Chief Audit Executive.	
16	In its execution of its governance role and responsibilities, the governing body should adopt a stakeholder-inclusive approach that balances the needs, interests and expectations of material stakeholders in the best interests of the organisation over time	Recommended practice: ▪ The governing body should assume responsibility for the governance of stakeholder relationships by setting the direction for how stakeholder relationships should be approached and conducted in the organisation.	The Board partially complies with this principle. The Board manages the relationship with the main political stakeholders – the Portfolio Committee on Higher Education and Training; and the Minister: Higher Education, Science & Innovation. Management determines the relationships of SAQA with all other stakeholders.
17	The governing body of an institutional investor organisation should ensure that responsible investment is practiced by the organisation to promote the good governance and the creation of value by the companies in which it invests	N/A	N/A

King IV IT Checklist

King IV Principle	Sub-Principle	Assurance
1. **The Board should be responsible for Information Technology (IT) Governance**	1.1 The Board should assume the responsibility for the governance of ICT and place it on the board agenda	The Board delegated the governance of ICT and oversight to the I & IT Committee. The I & IT Committee reports to the Board on ICT matters of a strategic nature, ICT governance, projects, risks, and internal audits.
	1.2 The Board should ensure that an ICT charter and policies are established and implemented	The ICT Charter and ICT Governance framework, ICT Management framework, and ICT policies are developed and approved by the I&IT Committee and ratified by the Board.
	1.3 The Board should ensure the promotion of an ethical ICT governance culture and awareness and of a common ICT language.	The Board achieves this through the I&IT Committee
	1.4 The Board should ensure that an ICT internal control framework is adopted and implemented.	The ICT strategy and plans are developed in consultation with business units management, aligned with SAQA business strategies, objectives and processes. The I&IT Committee reviews the strategy and approves it. The Board ratifies the I&IT Committee's decision.
	1.5 The Board should receive independent assurance on the effectiveness of the ICT internal controls.	SAQA's internal audit function is outsourced. The internal audit provides an ICT assurance function to the board and other structures. The Auditor-General also provides assurance of internal controls to the Board.
2. **ICT should be aligned with the performance and sustainability objectives of the organisation**	2.1 The Board should ensure that the ICT strategy is integrated with the company's strategic and business processes.	The ICT strategy and plans are developed in consultation with business unit managers, aligned with SAQA business strategies, objectives and processes.

			The I&IT Committee reviews and approves this strategy on behalf of the Board.
		2.2 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 ICT.	The Board considers all initiatives for automation and 4IR that will improve SAQA's performance and ensure long-term sustainability.
3.	**The Board should delegate to management the responsibility for the implementation of an ICT governance framework:**	3.1 Management should be responsible for the implementation of the structures, processes, and mechanisms for the ICT governance framework.	SAQA management discusses and reviews elements of the ICT governance Framework in quarterly ICT steering committee meetings.
		3.2 The Board may appoint an ICT steering committee of similar functions to assist with its governance of ICT.	The I & IT Committee is appointed by the SAQA Board to play the oversight role on ICT governance, projects, risks, internal audits, and operations.
		3.3 The CEO should appoint a Chief Information Officer (CIO) responsible for the management of ICT	Due to the size of SAQA, the Senior Manager ICT takes on the role of the CIO.
		3.4 The CIO should be a suitably qualified and experienced person who should have access and interact regularly on strategic ICT matters with the board and/or appropriate board committee and Executive management.	The CIO/senior manager ICT reports to the I&IT Committee quarterly on all matters relating to ICT, and to EXCO on ICT projects. EXCO comprises members of the SAQA Board and is tasked with carrying out the work of the Board in between Board meetings.
4.	**The Board should monitor and evaluate significant ICT investments and expenditure**	4.1 The Board should oversee the value delivery of ICT and monitor the return on investment from significant ICT projects.	The ICT projects are monitored at the ICT steering committee, I & IT Committee and EXCO. The I&IT Committee keeps the Board abreast of the status of ICT projects.
		4.2 The Board should ensure that Intellectual Property (IP) contained in information systems is protected.	The I&IT Committee performs this function. All ICT contracts and Service Level Agreements have an Intellectual Properly clause to protect information

		systems and SAQA information as well as data.
	4.3 The Board should obtain independent assurance on the ICT governance and controls supporting outsourced ICT services.	The internal and external auditors play the independent assurance role of ICT governance and controls of the ICT sourced services.
5. ICT should form an integral part of the company's risk management	5.1 Management should regularly demonstrate to the Board that the company has adequate business resilience arrangements in place for disaster recovery.	ICT risks are reviewed by Management in the Risk Management Committee. SAQA has a Business Continuity and ICT disaster Recovery plan. The ICT disaster recovery is tested quarterly for effectiveness and recovery. The I&IT Committee has oversight of the ICT risks as well as progress reports on the state of the disaster recovery and business continuity plans.
6. The board should ensure that information assets are managed effectively	6.1 The Board should ensure that there are systems in place for the management of information which should include information security, information management, and information privacy.	SAQA ICT implemented effective controls and IT security systems such as anti-virus, software patch management, vulnerabilities monitoring tool, data backup software, IT disaster recovery facility, virtual private network, and firewall to protect IT assets, information, and information privacy. The IT Steering Committee and I&IT Committee have oversight of IT systems in place to address information security, management and privacy.
	6.2 The Board should ensure that all personal information is treated by the company as an important business asset and is identified.	The I&IT Committee has oversight over policies related to personal information
	6.3 The Board should ensure that an Information Security Management System is developed and implemented.	This is an area for further development. The current Information security management system/strategy is not

		documented, even though measures are in place.
	6.4 The Board should approve the information security strategy and delegate and empower management to implement the strategy.	The I&IT Committee will approve the information Security Strategy once developed.
7. **A risk committee and audit committee should assist the Board in carrying out its ICT responsibilities**	7.1 The risk committee should ensure that ICT risks are adequately addressed.	ICT risks are a standing item on the quarterly Audit and Risk committee meetings Agenda. A member of the I&IT Committee also is represented on the Audit & Risk Committee to ensure that IT risks are covered.
	7.2 The risk committee should obtain appropriate assurance that controls are in place and effective in addressing ICT risks.	The internal and external audit functions report to the Audit & Risk Committee. All IT audits are reviewed by this committee as well as the I&IT Committee.
	7.3 The audit committee should consider ICT as it relates to financial reporting and the going concern of the company.	The Audit and Risk Committee covers this role.
	7.4 The audit committee should consider the use of technology to improve audit coverage and efficiency.	The internal audit uses specific software technology to audit ICT and validates ICT risks.