

O5. IS Governance

This module will benchmark organisations's IS Governance according to the 'Control Objectives for Information and related Technology' (COBIT) framework provided by the IT Governance Institute. For more information on COBIT please go to www.isaca.org/cobit

Section 1: Plan and Organise

O5.1.1 For each process please indicate where your organisation is now:

| | 0 Non Existent: Management processes are not applied at all | 1 Initial: Processes are ad hoc and disorganised | 2 Repeatable but Intuitive: Processes follow a regular pattern | 3 Defined Processes: Processes are documented and communicated | 4 Managed and Measurable: Processes are monitored and managed | 5 Optimized: Good practices are followed and automated |
|---|---|---|--|--|---|--|
| PO1 Define a strategic IT plan | | | | | | |
| PO2 Define the information architecture | | | | | | |
| PO3 Determine technological direction | | | | | | |
| PO4 Define the IT processes, organisation and relationships | | | | | | |
| PO5 Manage the IT Investment | | | | | | |
| PO6 Communicating Management and Direction | | | | | | |
| PO7 Manage the IT Human Resources | | | | | | |
| PO8 Manage quality | | | | | | |
| PO9 Assess and Manage IT risks | | | | | | |
| PO10 Manage Projects | | | | | | |

05.1.2 For each process please indicate where your organisation plans to be in 12 months:

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| PO10 Manage Projects | | | | | | |

05.1.3 Do you have a corporate strategy?

- Yes
- No

05.1.4 When was it last updated? _____

05.1.5 Do you have an IT Strategy?

- Yes
- No

05.1.6 When was it last updated? _____

05.1.7 To what extent is your IT strategy integrated with your corporate strategy?

- Independent
- Corporate strategy drives IS strategy
- IS strategy drives corporate strategy
- Business strategy includes IS Strategy

05.1.8 Has the IT strategy been effective in leading to better management of IT?

- Yes
- No

05.1.9 If not, why not? [Select all that apply]

- Too early to tell
- Specific objectives not defined
- Lack of staff input
- Lack of management commitment
- Strategy was unrealistic
- Strategy overtaken by IS developments
- Strategy overtaken by organisational development
- Lack of appropriate skills
- Lack of resources
- Other please specify

05.1.10 What has made the strategy successful? [Select all that apply]

- Clearly defined objectives
- Staff input
- Management commitment
- Strategy was realistic
- Strategy accounted for IS developments
- Strategy accounted for organisational development
- Sufficient appropriate skills
- Sufficient Resources
- Other please specify

05.1.11 Are the IT objectives communicated to the entire organisation?

- Yes
- No

05.1.12 How is this done? _____

O5.1.13 Is the quality of the IT infrastructure appropriate for business needs?

- Yes
- No

O5.1.14 Is the quality of the IT applications appropriate for business needs?

- Yes
- No

O5.1.15 Are IT risks understood and being managed?

- Yes
- No

O5.1.16 Which standards or methodologies do you use or are you planning to use for:

O5.1.17 Service Desk _____

O5.1.18 Technical Management _____

O5.1.19 IT Operations Management _____

O5.1.20 Applications Management _____

O5.1.21 Monitoring and Control _____

O5.1.22 Project Management _____

O5.1.23 Training _____

Section 2. Acquire and Implement

O5.2.1 For each process please indicate where your organisation is now

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|--|---|---|--|--|---|--|
| AI1 Identify automated solutions | | | | | | |
| AI2 Acquire and maintain application software | | | | | | |
| AI3 Acquire and maintain technology infrastructure | | | | | | |
| AI4 Enable operation and use | | | | | | |
| AI5 Procure IT Resources | | | | | | |
| AI6 Manage changes | | | | | | |
| AI7 Install and Accredite solutions and change | | | | | | |

O5.2.2 For each process please indicate where your organisation plans to be in 12 months

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|--|---|---|--|--|---|--|
| A11 Identify automated solutions | | | | | | |
| A12 Acquire and maintain application software | | | | | | |
| A13 Acquire and maintain technology infrastructure | | | | | | |
| A14 Enable operation and use | | | | | | |
| A15 Procure IT Resources | | | | | | |
| A16 Manage changes | | | | | | |
| A17 Install and Accredite solutions and change | | | | | | |

O5.2.3 Are new projects related to IS and corporate objectives?

- Yes
- No

O5.2.4 What proportion of IS projects were delivered within budget?

_____ %

O5.2.5 What proportion of IS Projects were delivered on time?

_____ %

O5.2.6 What proportion of IS projects were delivered to management satisfaction?

_____ %

O5.2.7 How do you monitor the quality of project outputs? [Select all that apply]

- Regular project board meetings
- Regular quality checks
- Project highlight reports
- Formal testing procedures
- Project evaluation and review etc.
- Other please specify

O5.2.8 How do you manage new releases? _____

Section 3. Deliver and support

O5.3.1 For each process please indicate where your organisation is now

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|---------------------------------------|---|---|--|--|---|--|
| DS1 Define and manage service levels | | | | | | |
| DS2 Manage third-party services | | | | | | |
| DS3 Manage performance and capacity | | | | | | |
| DS4 Ensure continuous service | | | | | | |
| DS5 Ensure systems security | | | | | | |
| DS6 Identify and allocate costs | | | | | | |
| DS7 Educate and train users | | | | | | |
| DS8 Manage service desk and incidents | | | | | | |
| DS9 Manage the configuration | | | | | | |
| DS10 Manage problems | | | | | | |

| | | | | | | |
|--------------------------------------|--|--|--|--|--|--|
| DS11 Manage data | | | | | | |
| DS12 Manage the physical environment | | | | | | |
| DS13 Manage operations | | | | | | |

O5.3.2 For each process please indicate where your organisation plans to be in 12 months

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| DS6 Identify and allocate costs | | | | | | |
| DS7 Educate and train | | | | | | |

| | | | | | | |
|---------------------------------------|--|--|--|--|--|--|
| users | | | | | | |
| DS8 Manage service desk and incidents | | | | | | |
| DS9 Manage the configuration | | | | | | |
| DS10 Manage problems | | | | | | |
| DS11 Manage data | | | | | | |
| DS12 Manage the physical environment | | | | | | |
| DS13 Manage operations | | | | | | |

O5.3.3 Do you have IS and/or user facing policies in place governing:

| | Yes | No |
|--|--------------------------|--------------------------|
| Internet usage? | <input type="checkbox"/> | <input type="checkbox"/> |
| Email usage? | <input type="checkbox"/> | <input type="checkbox"/> |
| Data security? | <input type="checkbox"/> | <input type="checkbox"/> |
| Software usage? | <input type="checkbox"/> | <input type="checkbox"/> |
| Health and safety in use of equipment in the office and at home? | <input type="checkbox"/> | <input type="checkbox"/> |
| Access to support services? | <input type="checkbox"/> | <input type="checkbox"/> |
| Back ups and security? | <input type="checkbox"/> | <input type="checkbox"/> |

Monitor and Evaluate

O5.4.1 For each process please indicate where your organisation is now

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|---|---|---|--|--|---|--|
| ME1 Monitor and evaluate IT processes | | | | | | |
| ME2 Monitor and evaluate internal control | | | | | | |
| ME3 Ensure regulatory compliance | | | | | | |
| ME4 Provide IT Governance | | | | | | |

05.4.2 For each process please indicate where your organisation plans to be in 12 months

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| ME2 Monitor and evaluate internal control | | | | | | |
| ME3 Ensure regulatory compliance | | | | | | |
| ME4 Provide IT Governance | | | | | | |

05.4.3 What systems do you have in place to monitor IT performance? [Select all that apply]

- Budget reports
- Service level report
- Network and application availability
- User satisfaction
- Other please specify

05.4.4 For which of the following do you have standards and targets? [Select all that apply]

- Network availability
- Application availability

05.4.5 What steps do you take if these are not met? _____