THE BREAKTHROUGH SERIES

from Thought Rock

Thought Rock Live Webcast

Process Governance: Establishing a Comprehensive Process Governance Framework.

The presentation will explain what organizational structures that need to be put in place, the roles that need to be assigned, responsibilities and accountabilities for each role and the council to be established in order to operate and govern IT processes within an organization.

What is IT Governance?

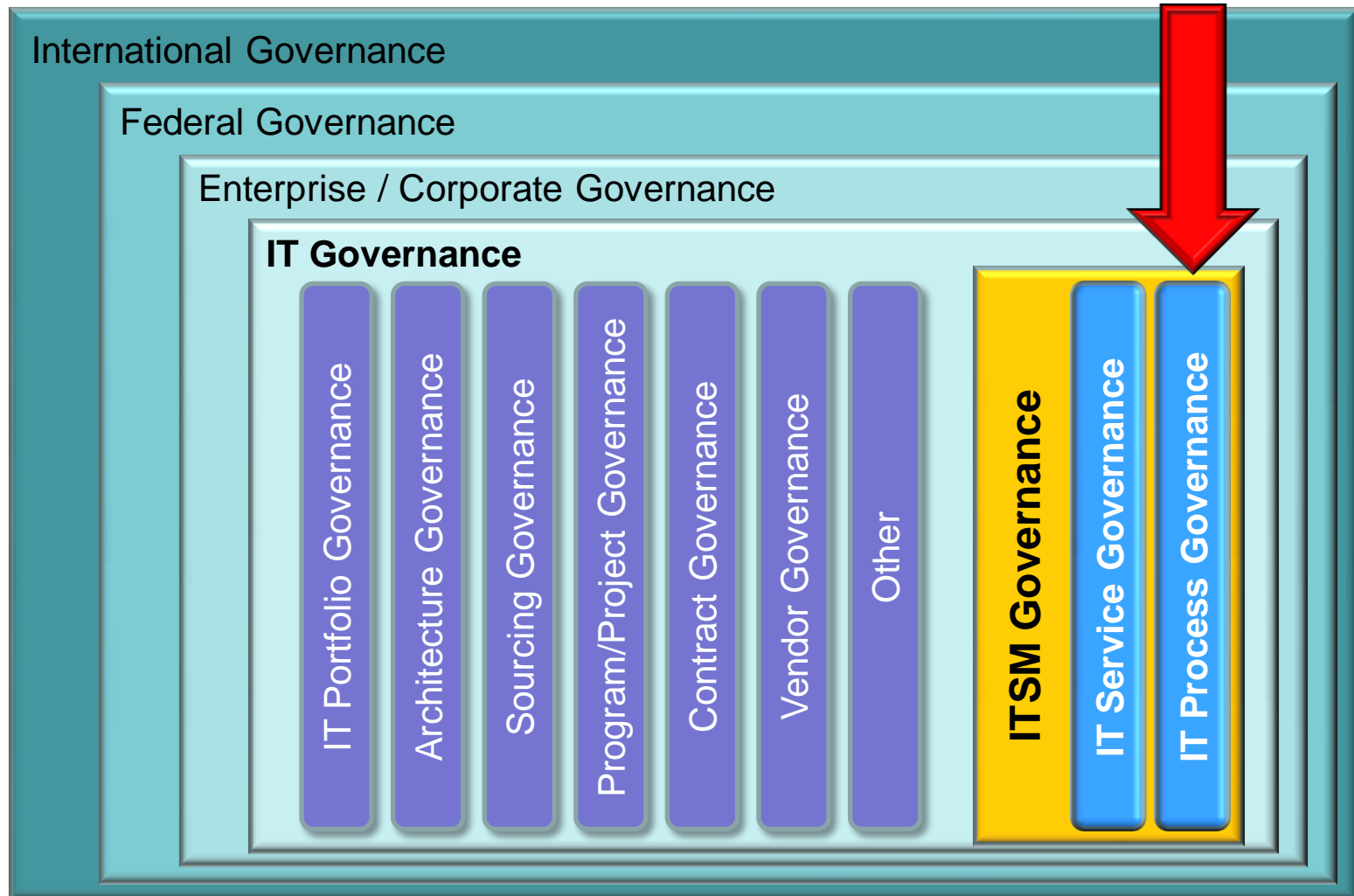- If you ask 10 people what IT Governance is you get 15 different answers…

IT Governance

Google IT Governance – About 9,970,000 results

- **Wikipedia Definition**: Information Technology Governance, IT Governance is a subset discipline of Corporate Governance focused on information technology (IT) systems and their performance and risk management….

- **ITGI**: IT governance is the responsibility of the board of directors and executive management. It is an integral part of enterprise governance and consists of the leadership, organizational structures and processes that ensure that the organization's IT sustains and extends the organization's strategies and objectives.

- **ITIL V3**: Ensuring that Policies and Strategy are actually implemented, and that required Processes are correctly followed. Governance includes defining roles and responsibilities, measuring and reporting, and taking actions to resolve any issues identified.

- **ISO/IEC 38500:2008:** Provides guiding principles for directors of organizations on the effective, efficient, and acceptable use of Information Technology (IT) within their organizations. Based on six (6) principles 1: Responsibility; 2: Strategy; 3: Acquisition; 4: Performance; 5: Conformance; 6: Human Behaviour.

Governance Overview

International Governance

Federal Governance

Enterprise / Corporate Governance

IT Governance

- IT Portfolio Governance
- Architecture Governance
- Sourcing Governance
- Program/Project Governance
- Contract Governance
- Vendor Governance
- Other

ITSM Governance
- IT Service Governance
- IT Process Governance

The definition I am using here for ITSM (Process & IT Services)

- The **organizational structures** that need to be put in place, the **roles** that need to be assigned, **responsibilities** and **accountabilities** for each role and the **meetings and councils** to be established in order to operate and govern the IT Processes and IT Services within the IT organization.

1. Organizational structure
2. Roles
3. Responsibilities & Accountabilities
4. Meetings & Councils

Process Governance IS:

Defining how to operate within the IT organization

- Process Sponsor, Process Owner and Process Manager assigned
- Reporting structures are in place
- Escalation paths have been established
- Roles have been identified and assigned
- Accountabilities and Responsibilities identified for each role
- Meetings and Councils have been established

Process Governance IS NOT:

- Organizational HR staffing activities
- Day-to-day detailed process execution
- A substitute for good management judgment

Why are we implementing Process Governance?

What are we trying to accomplish?

Why is Process Governance Important?

Why are we implementing Process Governance?

- Clear **Ownership** of and **Accountability** for a Process

- Defined **Roles** and Responsibilities

- **Consistent** Processes across the IT organization and between Vendors

- Establish **Escalation** Paths to enable speedy and fair resolution

- **Control** over the Processes that provide IT managers with improved levels of control over their IT environment

- Continuous **Strategic** and long term IT Service Management

- An opportunity to put the organization in a more advanced position to **align** with IT and business priorities

**Efficiency – Effectiveness – Clarity – Control**

We will…

- Design, Document and Establish/Implement the **organizational structures** that need to be put in place, the **roles that need to be assigned**, **responsibilities and accountabilities** for each role and the **meetings and council** to be established in order to operate and **govern the IT Processes** within the IT organization.

Remember slide 5?

Process Governance
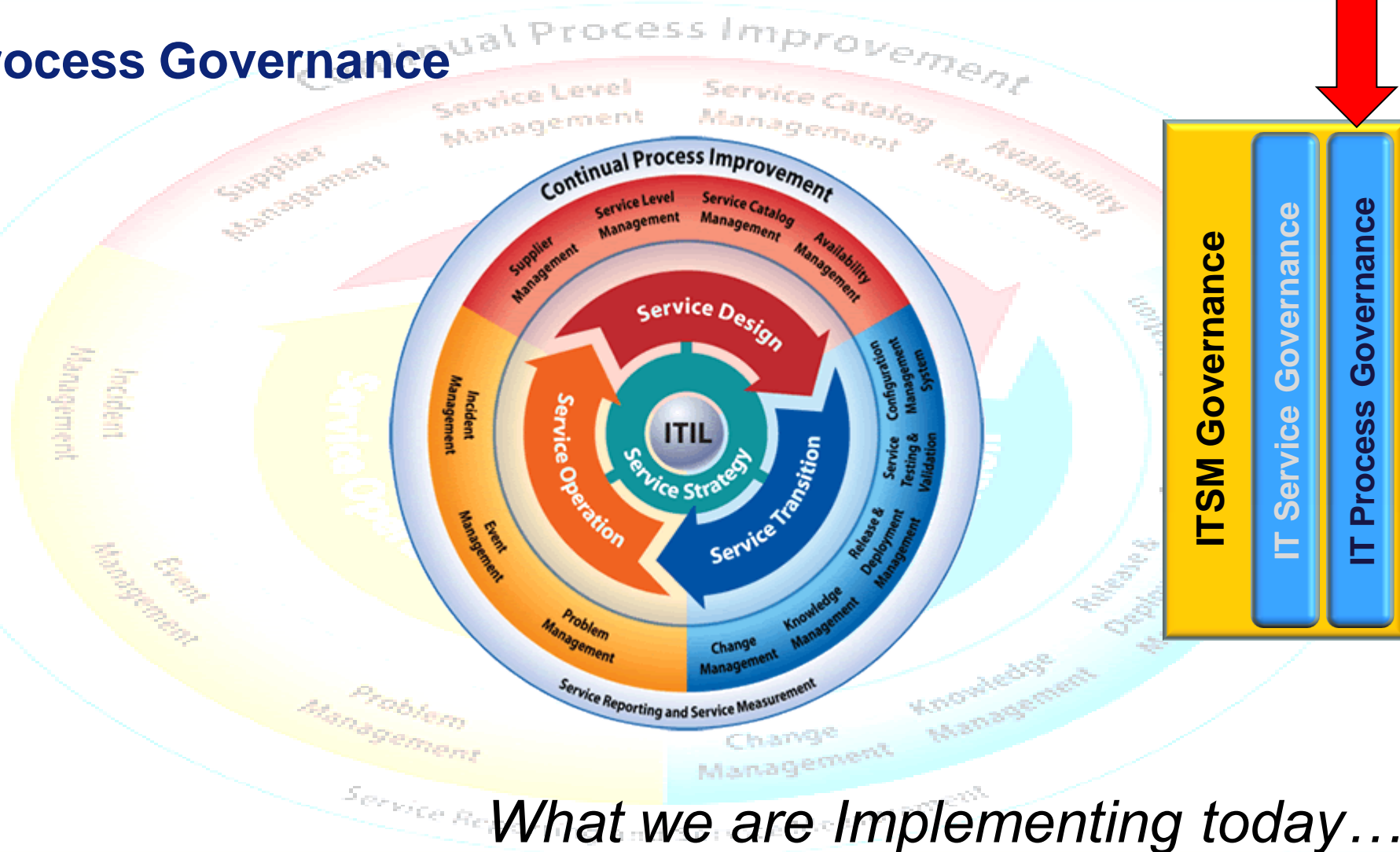
What we are Implementing today…

Assigning Key Roles

Process Sponsor

- **Thought Leader** and defines the IT service management <u>vision & strategy</u> and is accountable for the delivery of <u>business value</u> through IT service management.

5-15%

Process Owner

- **Accountable** for the process and supports the Process Manager in championing the process. Accountabilities include the <u>definition of process scope and goals</u> and assignment of a Process Manager and ensure the he/she has the time and resources required to manage the process.

5-15%

Process Manager

- **Responsible** for the process <u>definition, development, execution and improvement</u> and is the repository of process knowledge. The Process Manager is the champion for the process and leads and co-ordinates the process SMEs and makes sure the process information is published and communicated.

15-75%

Process SMEs

- **Execution** of the process is done by the process Subject Matter Experts (SME) and consist of individual(s) <u>from each IT department/group/organization/vendor</u> and they represent that specific entity. They support the Process Manager in the development, documentation, implementation, reporting and continuous process improvements.

**50-100%**

Process Sponsor, Owner, Manager and SME

- The Process Sponsor is a thought leader and defines the IT service management vision & strategy and is accountable for the delivery of business value through IT service management

- The Process Owner has the overall accountability, strategic direction & long term vision of the process they own

- The Process Manager is responsible for the process definition, development, documentation, implementation, execution and improvement

- Process Subject Matter Experts execute the process on a day-to-day basis and identifies process improvements

- The Process Manager reports, organizationally to the Process Owner (dotted line)

- The Process Manager leads, supports and co-ordinates the process Subject Matter Experts

- The SMEs report, organizationally to the Process Manager (dotted line)
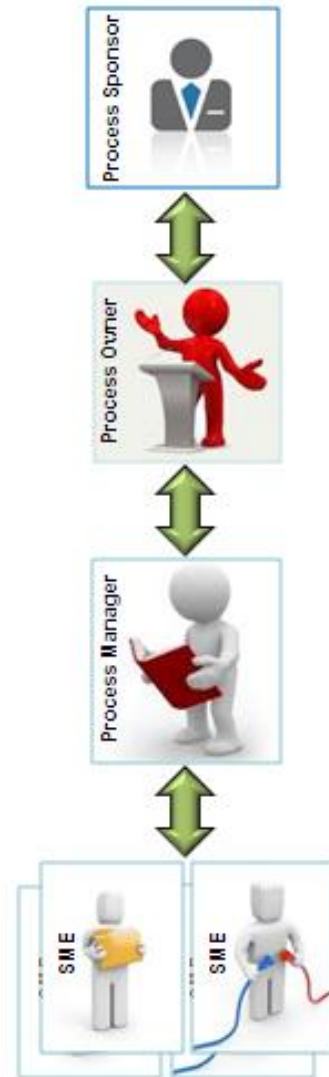
## Objectives of the Process Manager Council (PMC)

- A communication and escalation forum for Process Managers

- To resolve process issues across organizations and vendors to ensure that processes are consistently executed

- Oversee integration and coordination of process and tool improvements

- Identify cross organizational / functional opportunities to improve processes

- Become an instrument to implement IT service management within the IT organization

- Consist of all Process Managers, Process Owners can participate but are optional.

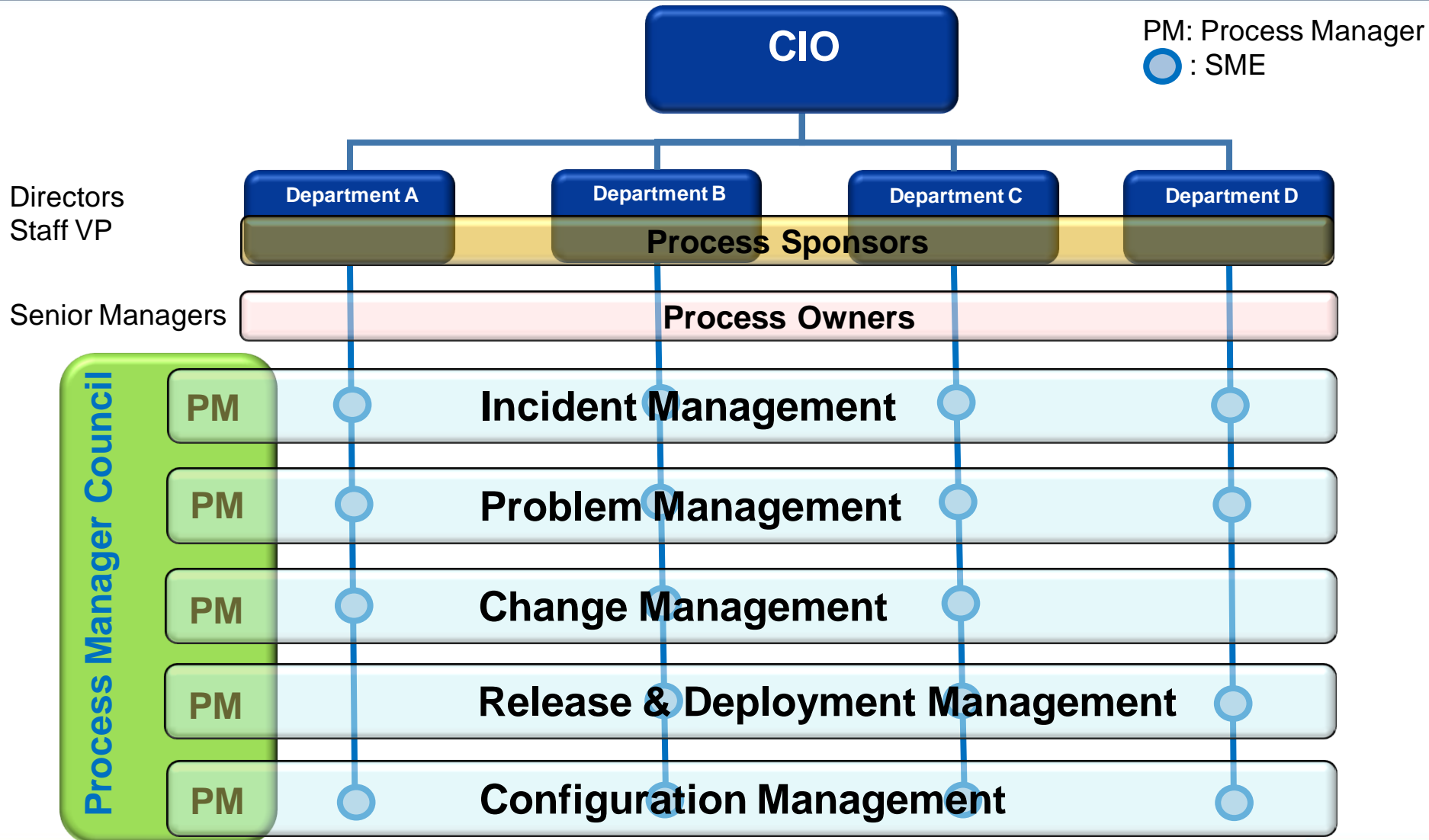- Meets regularly (every 2 weeks, 1.5 hours)
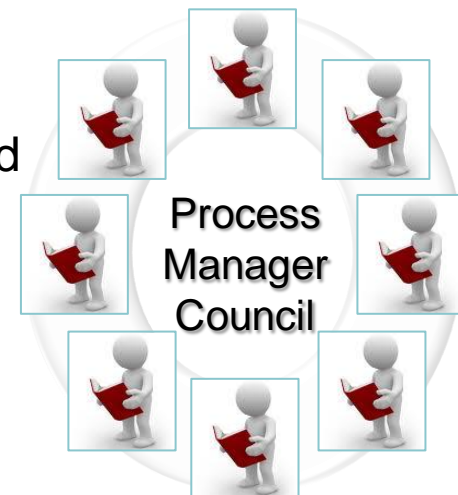
Process Manager Council
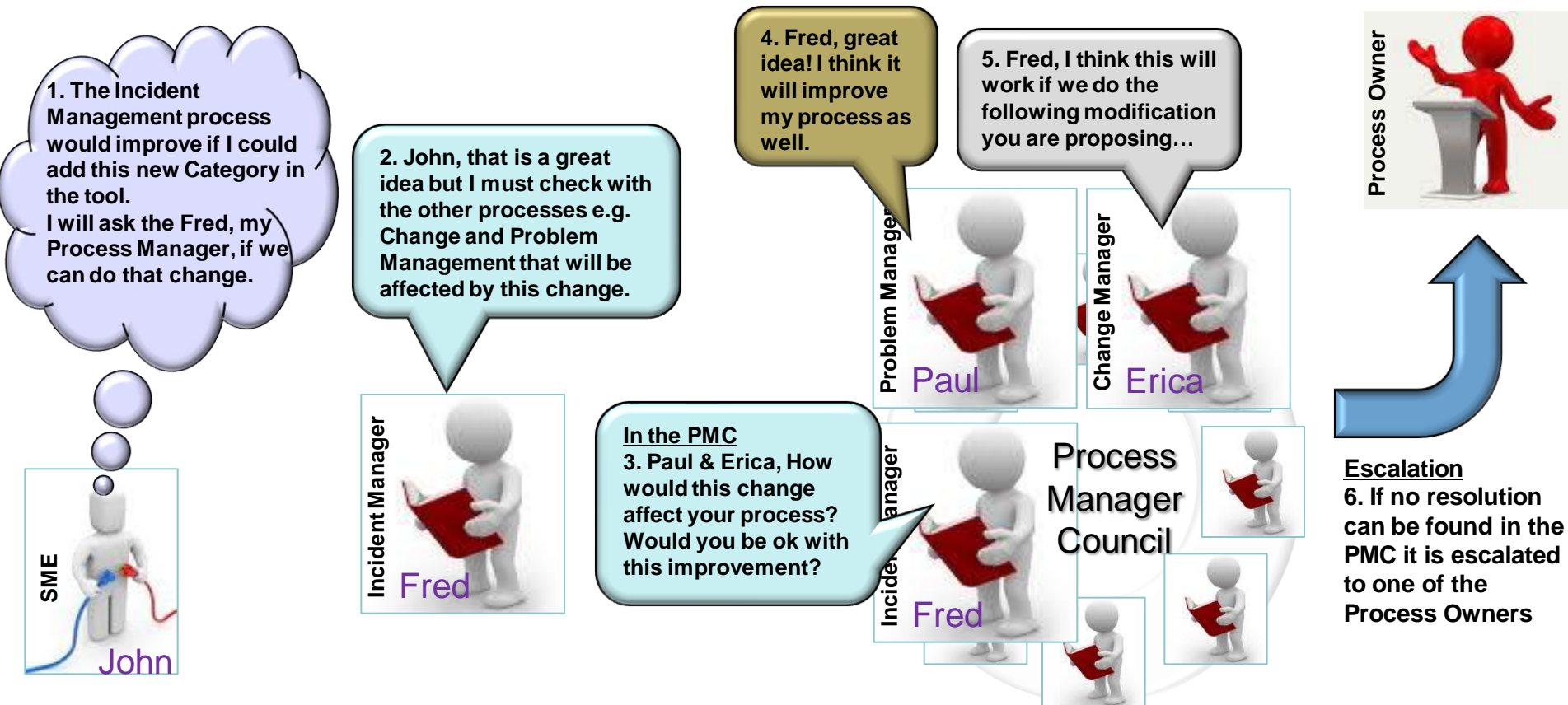
Consistent Process Execution Across the IT Organization

Processes	Process Sponsor	Process Owner	Process Manager	SME	SME	SME	SME
Incident Management	TBD	TBD	TBD				
Knowledge Management	TBD	NN	NN				
Problem Management	NN	NN	NN				
Change Management	NN	NN	NN				
Release & Deployment Management	TBD	NN	NN				
Configuration Management	NN	TBD	TBD				
Service Portfolio Management							
Service Catalog Management							
Service Level Management							
Request Fulfillment							
IT Service Continuity Management	NN	NN	NN				
Event Management	NN	NN	NN				
Availability Management							
Capacity Management							
Asset Management							
Financial Management	TBD	NN	NN				
Demand Management	TBD	NN	NN				
Information Security Management	TBD	TBD	TBD				
Service Measurement	NN	NN	NN				
Service Reporting	NN	NN	NN				
Service Improvement	NN	NN	NN				
<company specific process>	NN	NN	NN				

Process Manager Council

Assigning Roles to "real" people

Maturity of processes differ substantially

Subject Matter Experts

Issue!
Not been able to agree on who should be assigned to the Incident Management process.
NOC : Outages P1,P2
HD: P3,P4 tickets

Issue!
Not been able to agree on who should be assigned to the Information Security Management process.
Large security organization with many separate roles

Additional Processes
Add company specific processes.

Small Steps to Success…

Key Steps For Success

- Assigned Process Managers (PM)

- Assigned Process Owners (PO) & Process Sponsors (PS)

- Engaged with ongoing project & programs
    - Communicate new process roles
    - Engage in project & program activities (process design & improvement)

- Established Process Managers Council (PMC) & Meet Regularly

- Identify and engage SMEs *(Process Manager responsibility)*

- Educate & Reinforce

- Communicate, Communicate, Communicate.

Process Governance

Lessons Learned

- Slow process - Start early with communications and education what this is all about

- Governance is "vast and fluid" - Define your governance interpretation and identify what you are trying to improve and accomplish

- Start with small steps – What is possible e.g. Establish Process Governance within one area of the organization

- Official assignments of roles e.g. "Approval emails"

- Educate each role specifically, e.g. 30 min "one on one" sessions

- Incorporate with ongoing projects and programs – **BE RELEVANT!**

CREATE VALUE!

Questions

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from Thought Rock

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