IT Governance - How we are making it work at Nottingham Trent University

Richard Eade
Information Systems
Nottingham Trent University, UK
IT Governance at NTU

• Looking for an IT Governance Model
• Deciding what activities to include
• Practical application
• Key attributes for success
• Conclusion
IT Governance – NCC Model

- Creating a business case for IT Governance
- Performance Measurement
- Implementation roadmap
- Communication Strategy and Culture
- Capability Maturity and Assessment
- Risk Management
- Supplier Governance
- IT and Internal Audit working together and using COBIT
- Information Security Governance
- Legal and Regulatory aspects of IT Governance
- Architecture Governance
- Managing the IT Investment
Aspirations for an in-house model
## IT Governance Model - NTU

### Business Strategy alignment

| IT Governance – Critical Success Factors - IS objectives |

#### Balanced Scorecard

<table>
<thead>
<tr>
<th>Pillars of activity</th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>External Benchmarks; Good Practice (ITIL, ISO, PRINCE2, etc.)</strong></td>
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<tr>
<td><strong>IS Values</strong></td>
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<tr>
<td><strong>Monitor – Key Performance Indicators</strong></td>
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<tr>
<td><strong>Audit – External assessment</strong></td>
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IT Governance Model - JISC
ISO 38500 – IT Governance principles

**Principle 1: Responsibility**
- Individuals and groups within the organization understand and accept their responsibilities in respect of both supply of, and demand for IT. Those with responsibility for actions also have the authority to perform those actions.

**Principle 2: Strategy**
- The organization’s business strategy takes into account the current and future capabilities of IT; the strategic plans for IT satisfy the current and ongoing needs of the organization’s business strategy.

**Principle 3: Acquisition**
- IT acquisitions are made for valid reasons, on the basis of appropriate and ongoing analysis, with clear and transparent decision making. There is appropriate balance between benefits, opportunities, costs, and risks, in both the short term and the long term.

**Principle 4: Performance**
- IT is fit for purpose in supporting the organization, providing the services, levels of service and service quality required to meet current and future business requirements.

**Principle 5: Conformance**
- IT complies with all mandatory legislation and regulations. Policies and practices are clearly defined, implemented and enforced.

**Principle 6: Human Behaviour**
- IT policies, practices and decisions demonstrate respect for Human Behaviour, including the current and evolving needs of all the ‘people in the process’.
IT Governance at NTU – Phase one topics

• Risk and audit
• Finance
• Information Security
• Legal issues
IT Governance at NTU – phase 2 topics

- Capability Maturity and Assessment
- Performance Measurement
- Architecture Governance
- Supplier Governance
- Culture
- Leadership and Management
IT Governance – phase 3 topics

- Software Licensing
- Asset Management
- Change
- Test and Quality Assurance
# IT Governance in practice (1)

## Risk and audit

<table>
<thead>
<tr>
<th>Formal risk registers</th>
<th>Improved risk culture</th>
<th>Progress slower than we would have liked</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formal risk and audit meetings</td>
<td>Managers started to focus on risk</td>
<td>Getting buy in from operational staff hard work</td>
</tr>
<tr>
<td>Assessment of risk mitigation</td>
<td>Exposure of the real issues</td>
<td>Large amount of input needed – training; helping identify risks; chasing for updates</td>
</tr>
<tr>
<td>Formal reporting on a monthly basis</td>
<td>Focus on mitigation</td>
<td></td>
</tr>
<tr>
<td>Formal link to internal audit</td>
<td>Better understanding of internal audit</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Improved management reporting</td>
<td></td>
</tr>
</tbody>
</table>

## Finance

<table>
<thead>
<tr>
<th>Devolved budgets</th>
<th>Managers now responsible for the money they spend</th>
<th>It has taken three years to flush out all the expenditure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formal finance meetings</td>
<td>Monthly tracking and reconciliation</td>
<td>Still getting orders placed where there was no budget</td>
</tr>
<tr>
<td>Key Performance Indicators</td>
<td>Improved forecasting</td>
<td>Budget errors</td>
</tr>
<tr>
<td></td>
<td>Budgets realistic</td>
<td>Poor planning</td>
</tr>
</tbody>
</table>
## IT Governance in practice (2)

<table>
<thead>
<tr>
<th>Information Security</th>
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</table>
| Focus on security issues | Responsibility clear  
Correct skills  
Right level of investigations | Cover not in place for sickness and holidays |

<table>
<thead>
<tr>
<th>Capability Improvement</th>
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</table>
| Leadership and Management  
Communications  
People  
Client  
Organisation  
Process  
Architecture  
Finance | Targeted levels of maturity  
Department wide  
People workstream leader tackled many governance issues | Difficult to fit round other work  
Strong project management needed; when project manager changed progress tailed off |
## IT Governance in practice (3)

<table>
<thead>
<tr>
<th>Architecture</th>
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<tbody>
<tr>
<td>Plan to create Enterprise Architecture using a small team</td>
<td>Captured staff with essentially the right skills Early developments promising</td>
<td>Staff lost focus Too much wide area thinking; no practical application Have had to abandon the group</td>
</tr>
</tbody>
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<thead>
<tr>
<th>Service Transition</th>
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<tbody>
<tr>
<td>Create three teams Asset and Configuration Change and Release Testing and QA</td>
<td>Change big success; all change now captured and controlled Testing coming on stream more slowly; but getting there Asset and Config progressing more slowly</td>
<td>Team created out of a reorganisation; staff moving don’t necessarily come with the right skills</td>
</tr>
</tbody>
</table>
Key attributes for Success

- Establishing a culture where people start thinking that governance is important and start asking themselves what would the IT Governance team make of what I am doing/proposing to do
- Strong support for the IS Director and Senior managers – At NTU the IT Governance team is viewed as the conscience of the IS Director; he knows he will get nagged!
- Having a Governance team who have the ability to find out what is going on – having someone who can get people to talk to them about what is really happening; what staff are really thinking; what mad ideas managers are proposing; etc.
- Be prepared to ask questions and expect answers
Any Questions?