Business Enablement Economic Performance — Infonomics

The Self-Assessment

ISO/IEC 38500 provides organisations with a process-independent way of assessing whether they have effective governance of their use of IT. Infonomics experience is that many organisations invest heavily in improving IT processes, but remain susceptible to problems in both projects and operations that depend on IT.

To continuously develop a more complete picture of how organisations govern their IT use, Infonomics collects self-assessment scores from participants at seminars, briefings and conferences. These results help us to better understand and communicate the state of corporate governance of IT, and enable future comparisons to be made.

Provision of this information to Infonomics is entirely voluntary, and all information will be held in strict confidence. No organisations will be identified in any material derived from this scoresheet, and no response sheet will be disclosed to any party other than Infonomics personnel processing the scores.

After each EdXN session, Infonomics will publish the results for that session, and at the end of the series, we will publish a national view.

The assessment involves comparing your organisation to a series of assertions about good practice. You score governance of IT in your organisation by selecting a statement of alignment from the list below (score 1 to 6). Record your assessment scores in the table below. Add the other information requested and hand it in at the end of the session.

I don't know enough to express a view:	We are not like this at all:	We are a little like this, but only a little:	We mostly match, with some lapses:	We match strongly and consistently:	We match the best in the world
1	2	3	4	5	6

System of IT Governance		Ongoing Operations and Risk		Improving Business Performance	
Assertion	Rank	Assertion	Rank	Assertion	Rank
1. We have an effective system for governance of IT.		5. Ongoing business dependence on IT is well understood.		9. IT capability matches business needs and forward plans.	
2. Everybody understands and complies.		6. IT adequately protects business continuity and sustainability.		10. Use of IT balances business innovation against risk.	
3. It protects you from IT failures in operations and projects.		7. IT resource allocation matches the needs of the organisation.		11. IT investments deliver results as per a formal business case.	
4. It keeps management and directors properly informed of IT status.		8. The business risk of serious IT failure is understood and managed.		12. Demonstrated capability to deploy IT initiatives matches aspiration.	

Your details

Name:		CIO reports to: CEO ☐ CFO ☐ Other Executive ☐
Phone:		Board receives reports on IT projects and operations: Monthly ☐ Quarterly ☐ Half Yearly ☐ Less ☐
Email:		One or more board members are "IT savvy": Yes ☐ Somewhat ☐ No ☐ Don't Know ☐
Company:		The CEO is "IT savvy": Yes ☐ Somewhat ☐ No ☐ Don't Know ☐
Your Role:	Business: Management ☐ Other ☐ IT: Management ☐ Other ☐	The CIO is "business savvy": Yes ☐ Somewhat ☐ No ☐ Don't Know ☐

Please turn over for 18 more assertions relating to the ISO 38500 principles.

These 18 points start the process of exploring how your practices align to the behaviours recommended by ISO.IEC 38500. Use the same 1 to 6 scoring scale as on the previous page.

Principle 1 - Establish clearly understood responsibilities for ICT

Assertion	Rank	Assertion	Rank	Assertion	Rank
13 Responsibility for determining the use of IT is allocated to individuals who have the knowledge and skills to make appropriate business judgements about how, when, where and why IT is used in support of the organisation.		14 Both business managers and technology managers are aware of, and properly perform their roles with regard to determining the effective, efficient and acceptable use of IT by the organisation.		15 There is an appropriately constituted executive level group that monitors the use and delivery of IT, with regular and consistent reporting of appropriate metrics.	

Principle 2 - Plan ICT to best support the organization

Assertion	Rank	Assertion	Rank	Assertion	Rank
16 Preparation of short, medium and long range plans for use of IT is driven by a clear understanding of the organisation's situation and objectives, and takes into account the current and potential capabilities of IT.		17 Forward plans for operational use of IT and for new initiatives based on improved IT capability are rigorous and complete, and provide confidence that forecast outcomes will be achieved.		18 Regular reports provide sufficient relevant and consistent information to confirm that IT is meeting appropriate performance objectives in both operational and project contexts.	

Principle 3 - Acquire ICT validly

Assertion	Rank	Assertion	Rank	Assertion	Rank
19 Commitments to invest in IT are made on rational grounds taking into account factors such as risk, priority, capacity and value for money.		20 Processes for acquiring and developing IT assets including software systems ensure that proper disciplines are observed and that complete audit trails and documentation are maintained.		21 Monitoring of IT acquisition and development provides assurance that the organisations long term interests are protected.	

Principle 4 - Ensure that ICT performs well, whenever required

Assertion	Rank	Assertion	Rank	Assertion	Rank
22 There is a well developed understanding of all aspects of the performance required of IT.		23 IT meets all reasonable expectations of operational performance, reliability and security, and has the resource capacity required to deliver additional functionality.		24 Ongoing assessment of workload and demand, and operational measurement of service delivery performance and incidents provides clarity and comfort that future requirements will be satisfied.	

Principle 5 - Ensure ICT conforms with formal rules

Assertion	Rank	Assertion	Rank	Assertion	Rank
25 There is an active framework for understanding and managing the compliance requirements of the organisation's IT.		26 Clear policies are in place to direct, in strategic, operational and individual contexts, how IT is used within the organisation.		27 Compliance controls ensure that all legal, regulatory and policy conformance matters requiring attention are highlighted promptly and resolved when necessary.	

Principle 6 - Ensure ICT use respects human factors

Assertion	Rank	Assertion	Rank	Assertion	Rank
28 There is a clear and complete understanding of the various human communities in respect of the organisations use of IT.		29 All planning of IT use in the organisation takes into account the needs and characteristics of these human communities.		30 Monitoring of IT use in operations and delivery provides clear and accurate feedback on the effectiveness of systems and controls.	

Infonomics
Plain language about Governance of IT for executives and directors.

Self Assessment Score Sheet

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