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Publication date:
2008

Document Version
Peer reviewed version

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Citation for published version (HARVARD):

Feltus, C 2008, *Definition and validation of a business IT alignment method for enterprise governance improvement in the context of processes based organizations - presentation*.

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Definition and validation of a business IT alignment method for enterprise governance improvement in the context of processes based organizations

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Georges Ataya, Solvay Business School ULB – BELGIUM*

AC Models ...

AC MODEL AND RESPONSIBILITY'S CONCEPTS

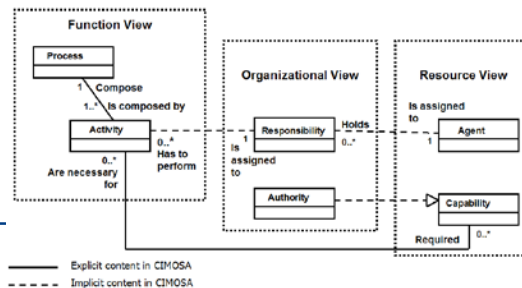
	MAC	DAC	RBAC	UCON
Subject	Yes	Yes	Yes	Yes
Object	Yes	Yes	Yes	Yes
Group	No	User Group	Role	Defined by objects and subject's attributes
Capability	Access Right	Access Right	Access Right	Access Right
Accountability (Obligation, Constraint)	No	No	Yes, static and dynamic separation of duty	Defined by objects and subject's attributes
Commitment	No	No	No	No

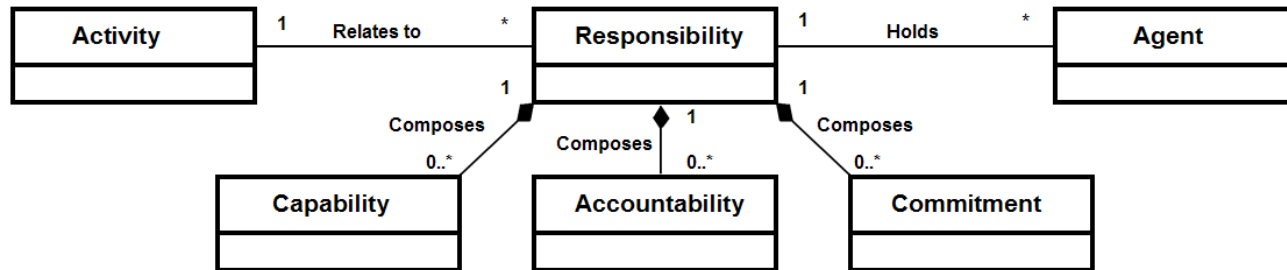
RE Models ...

ENGINEERING METHODS AND RESPONSIBILITY'S CONCEPTS.

	KAOS	I*	GBRAM	ARMF	RACAF	Scenario Driven	Uses Cases
Subject	Agent	Actors	Agent	Users	Actors	Subject	Actors
Object	Yes	Yes	-	Asset	Data	-	Object
Group	-	Yes	-	Yes	Yes	Yes	Yes
Capability (Right, Authorization)	Authorization rules	Abilities and beliefs	-	Permission	Permission	Permission	Access right
Accountability (Obligation, Constraint)	Achieve requirements and expectations	Goal	Achieve a goal	Perform a task	Perform a task	Perform a scenario	Pre-conditions, post-conditions
Commitment	No	Yes	No	No	No	No	No

EAM Models ...

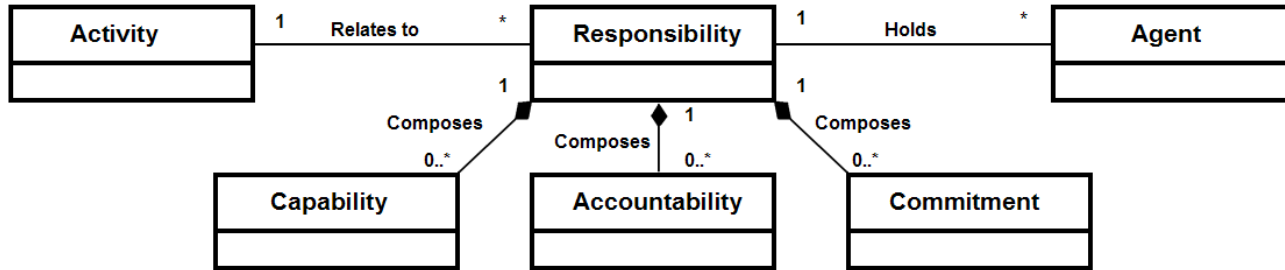




Accountability : which describes the state of being answerable about the achievement of an activity.

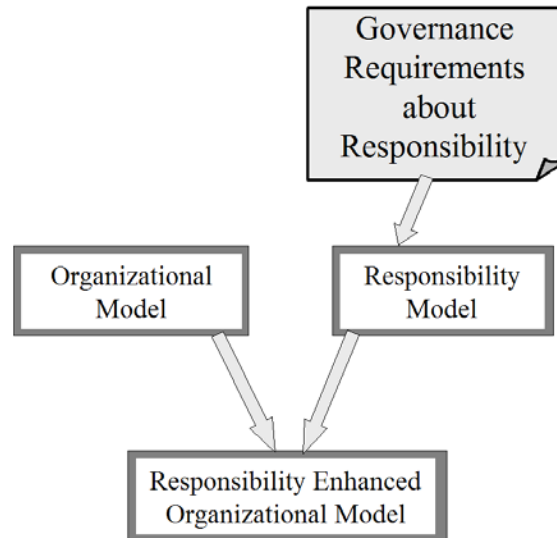
Commitment : is the moral engagement of an agent to fulfill an activity and the assurance that he will do it in respect of an ethical code.

Capability : which describes the require qualities skills or resources to perform an activity.



Advantages

- **Responsibility** are clearly established and understood
- **Accountability** is linked to an agent rather to a group of agent (like role)
- It increases the ethic of the business
- It guarantees the right capability of the right agent. Not more, not less.



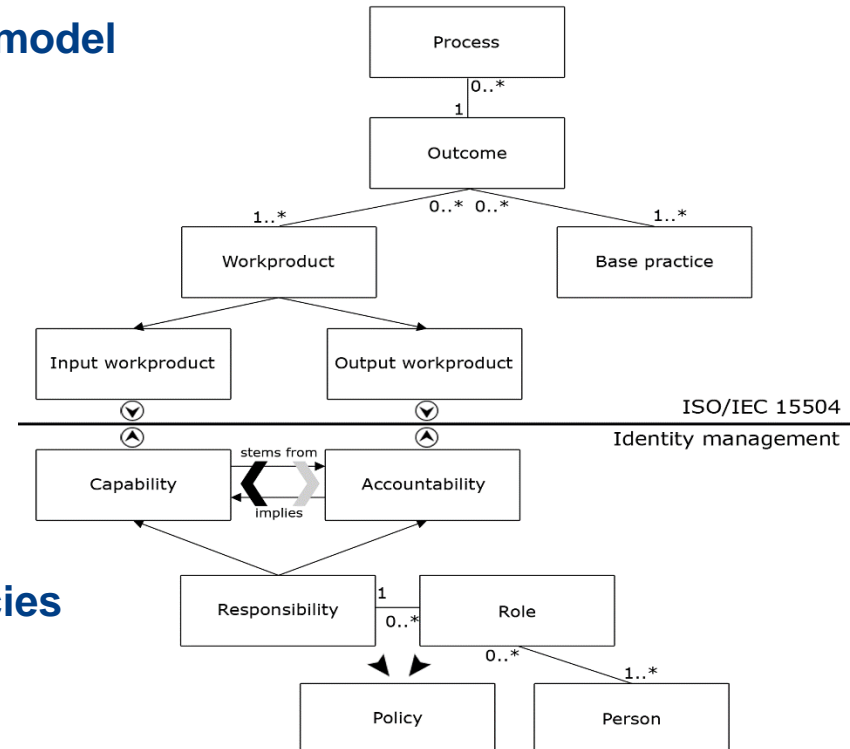
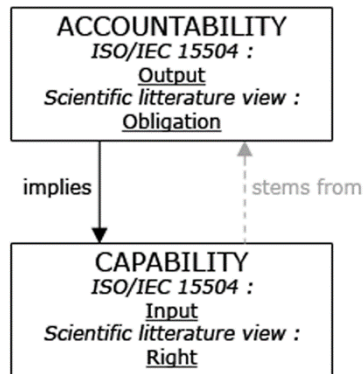
Policy elicitation : The model advantage is a strong framework for policy elicitation.
The model may address all level of the organisation
The policies may be technical as well as managerial

Enhancement of models : Lot of models do not deeply address the responsibility.
We join those models with the responsibility model
The models are closer to governance requirements

Standard enforcement in practices :
The model provide material to enhance the practice

- ISO/IEC 15504 provides a processes structure and a maturity model
- Responsibility is not centric in the standard. It is addressed in Level 2 of the MM
- Basically, the standard may not be used to define policies

→ We make links between the standard and our model



- Based on that link, it is possible to define policies aligned to business requirements

MAIN CONCEPTS OF THE PROJECT MANAGEMENT PROCESS

ISO/IEC 15504-5:2006 → MAN.3 Project management

Purpose	The purpose of the Project management process is to identify, establish, co-ordinate, and monitor the activities, tasks and resources necessary for a project to produce a product and/or service, in the context of the project's requirements and constraints.
Outcomes	3) the tasks and resources necessary to complete the work are sized and estimated;
Base Practices	MAN.3.BP4: Determine and maintain estimates for project attributes. Define and maintain baselines for project attributes. [Outcome: 2,3] MAN.3.BP5: Define project activities and tasks. Identify project activities and tasks according to defined project life cycle, and define dependencies between them. [Outcome: 3]
Workproducts inputs	03-06 Process performance data [Outcome: 3,7] 08-12 Project plan [Outcome: 3, 6, 7] 10-01 Life cycle model [Outcome: 1, 3, 4, 5] 14-06 Schedule [Outcome: 1, 3]
Workproducts output	08-12 Project plan [Outcome: 1, 2, 3, 4, 5] 14-06 Schedule [Outcome: 5]



ISO/IEC 15504-5:2006: MAN.3 Project management

The purpose of the Project management process is to identify, establish, co-ordinate, and monitor the activities, tasks, and resources necessary for a project to produce a product and/or service, in the context of the project's requirements and constraints.

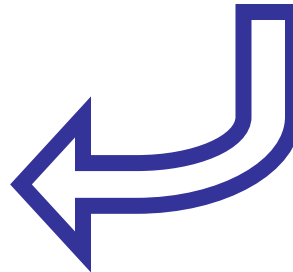
Outcomes :

- 1) the scope of the work for the project is defined;
- 2) the feasibility of achieving the goals of the project with available resources and constraints are evaluate;
- 3) the tasks and resources necessary to complete the work are sized and estimated;
- 4) interfaces between elements in the project, and with other project and organizational units, are identified and monitored;
- 5) plans for the execution of the project are developed and implemented;
- 6) progress of the project is monitored and reported;
- 7) actions to correct deviations from the plan and to prevent recurrence of problems identified in the project are taken when project targets are not achieved.

Base practices :

Expand all | Collapse all

- MAN.3.BP1: Define the scope of work. Identify the project's objectives, motivation and boundaries and define the work to be undertaken by the project. [Outcome: 1]
- MAN.3.BP2: Define project life cycle.: Define a life cycle and strategy for the project, appropriate to its scope, context, magnitude and complexity. [Outcome: 1]
- MAN.3.BP3 Evaluate feasibility of the project.: Evaluate the feasibility of achieving the goals of the project with available resources and constraints. [Outcome: 2]
- MAN.3.BP4: Determine and maintain estimates for project attributes.: Define and maintain baselines for project attributes. [Outcome: 2, 3]
 - Outcome 3 Responsible
 - Accountability
 - Complete 08-12 Project plan
 - Capability
 - Access to 03-06 Process performance data in Read mode
 - Access to 08-12 Project plan in Read/Write mode
 - Access to 10-01 Life cycle model in Read mode
 - Access to 14-06 Schedule in Read mode
- MAN.3.BP5: Define project activities and tasks.: Identify project activities and tasks according to defined project lifecycle, and define dependencies between them. [Outcome: 3]
 - Outcome 3 Responsible
 - Accountability
 - Complete 08-12 Project plan
 - Capability
 - Access to 03-06 Process performance data in Read mode
 - Access to 08-12 Project plan in Read/Write mode
 - Access to 10-01 Life cycle model in Read mode
 - Access to 14-06 Schedule in Read mode



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- MAN.3.BP6: Define needs for experience, knowledge and skills.: Identify the experience, knowledge and skill requirements of the project and apply them to the selection of individuals and teams. [Outcome: 3]
- MAN.3.BP7: Define project schedule.: Identify the project objectives, motivation and boundaries and define the work to be undertaken by the project. [Outcome: 2]
- MAN.3.BP8: Identify and monitor project interfaces.: Identify and agree interfaces of the project with other projects, organizational units and other affected parties and monitor agreed commitments. [Outcome: 4]
- MAN.3.BP9: Allocate responsibilities.: Identify the specific individuals and groups contributing to, and impacted by, the project, allocate them their specific responsibilities, and ensure that the commitments are understood and accepted, funded and achievable. [Outcome: 5, 6]
- MAN.3.BP10: Establish project plan.: Define and maintain project master plan and other relevant plans to cover the project scope and goals, resources, infrastructure, interfaces and communication mechanisms. [Outcome: 5]
- MAN.3.BP11: Implement the project plan.: Implement planned activities of the project, record status of progress and report the current status to affected parties. [Outcome: 5, 6]
- MAN.3.BP12: Monitor project attributes.: Monitor project scope, budget, cost, resources and other necessary attributes and document significant deviations of them against the project baseline. [Outcome: 6]
- MAN.3.BP13: Review progress of the project.: Regularly report and review the status of the project performance against the project plan. [Outcome: 6]
- MAN.3.BP14: Act to correct deviations.: Take action when project goals are not achieved, to correct deviations from the plan and to prevent recurrence of problems identified in the project. Update project plans accordingly. [Outcome: 7]
- MAN.3.BP15: Perform project close-out review.: Perform a review of the performance of the project in order to provide an experience record for establishing the feasibility of future projects and updating historical estimating data. [Outcome 2, 3]

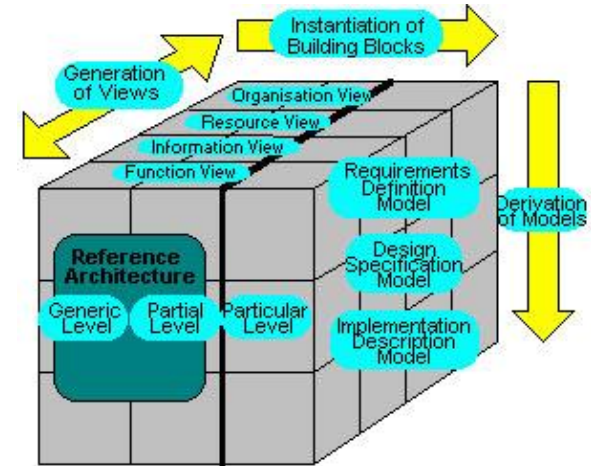
Workproducts :

Inputs	Outputs
02-00 Contract [Outcome: 1, 2]	
03-06 Process performance data [Outcome: 3, 7]	
07-05 Project measure [Outcome: 6]	
08-06 Project activity network [Outcome: 5]	08-06 Project activity network [Outcome: 4]
08-08 Human resource management plan [Outcome: 2]	
08-12 Project plan [Outcome: 3, 6, 7]	08-12 Project plan [Outcome: 1, 2, 3, 4, 5]
08-19 Risk management plan [Outcome: 6, 7]	08-19 Risk management plan [Outcome: 5]
10-01 Life cycle model [Outcome: 1, 3, 4, 5]	
12-01 Request for proposal [Outcome: 1]	
	13-04 Communication record [Outcome: 6]
13-07 Problem record [Outcome: 7]	
13-14 Progress status record [Outcome: 7]	13-14 Progress status record [Outcome: 6]
13-16 Change request [Outcome: 1]	13-16 Change request [Outcome: 7]
13-17 Customer request [Outcome: 1]	
	13-19 Review record [Outcome: 7]
	14-02 Corrective action register [Outcome: 7]
14-06 Schedule [Outcome: 1, 3]	14-06 Schedule [Outcome: 5]
14-08 Tracking system [Outcome: 4, 6]	
14-09 Work breakdown structure [Outcome: 5]	14-09 Work breakdown structure [Outcome: 4]
	15-06 Project status report [Outcomes: 4, 6]
17-03 Customer requirements [Outcome: 2]	
19-07 Software development methodology [Outcome: 5]	

CIMOSA is a modelling framework that provides semantic unification of the concepts from a system architecture.

It contains three axes (CIMOSA Cube) :

- GENERATION (with 4 views : Function, Information, Resources and Organization)
- INSTANTATION
- DERIVATION



Agent = functional entity

→ represented in resource view

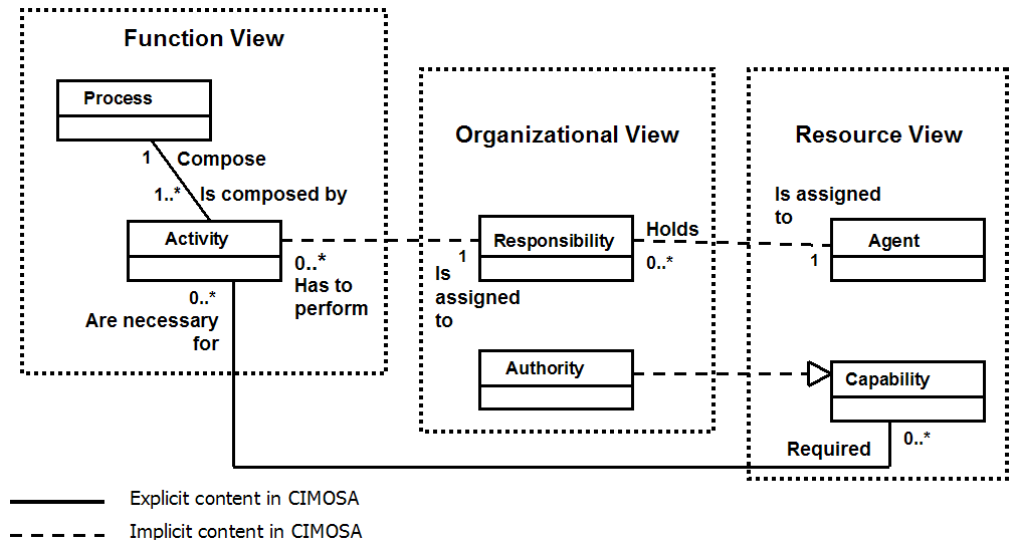
Responsibility

→ represented in organization view

Capability

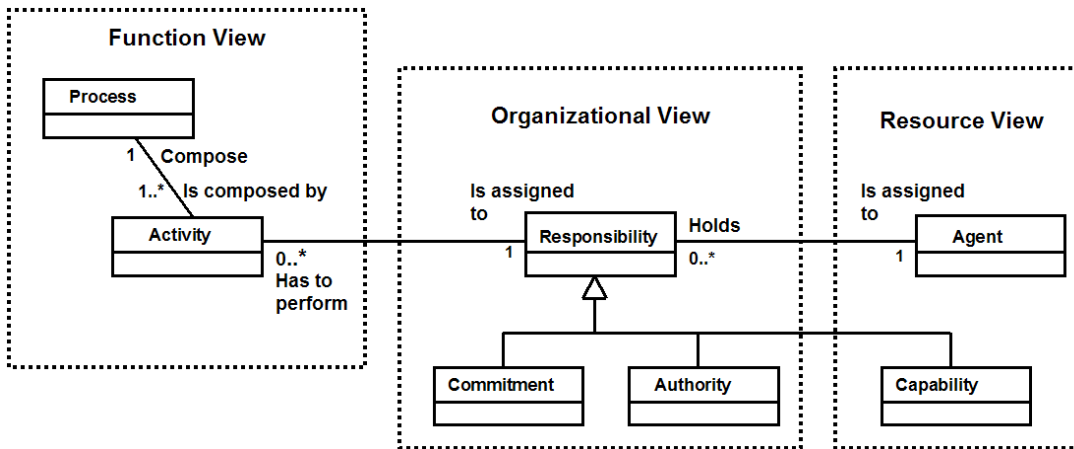
→ represented in resource view

No commitment, no link between accountability and responsibility



Enhancement :

- Responsibility explicitly introduced in organization view
- Responsibility is linked to an activity and to an agent
- Capability no more linked to the activity but is linked to the responsibility
- Commitment is introduced
- Accountability is formally a component of the responsibility



ResourceInput: *Name of resource*
Responsibility:
Accountable : *list of accountabilities*
Capability : *list of capabilities*
Commitment : *list of commitments*

The principle :

2.1.1 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.

ISO/IEC 38500:2008 requirement (from Principle 2 : Strategy) :

Direct

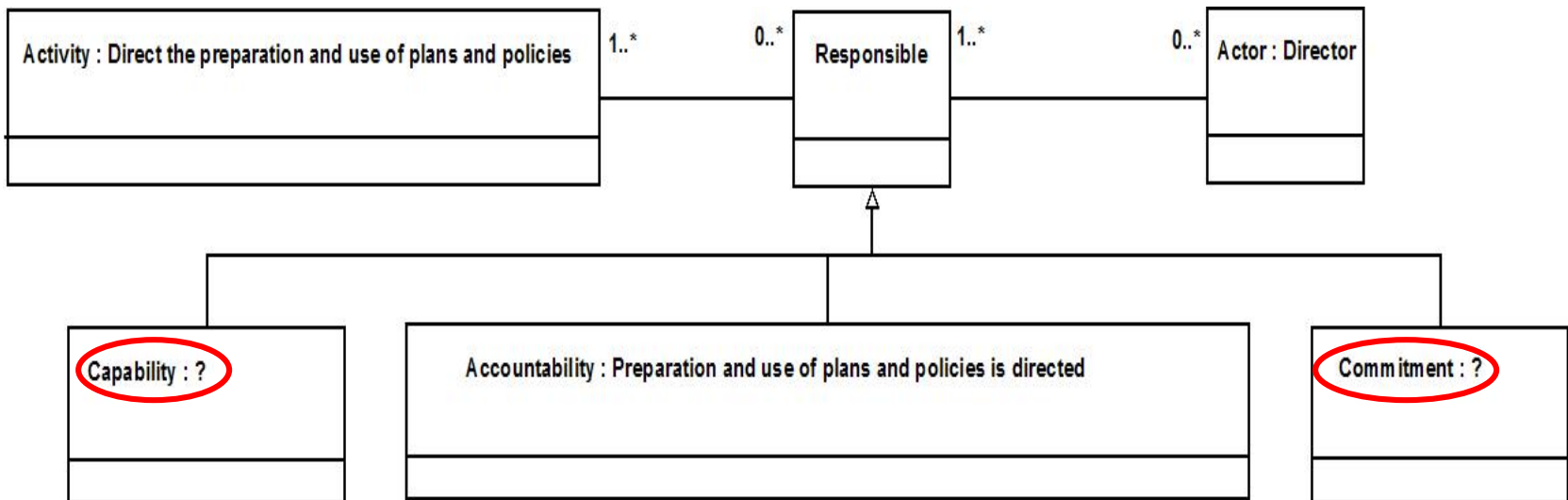
Directors should direct the preparation and use of plans and policies that ensure the organization does benefit from developments in IT.

- **Agent : Director**
- **Activity : Direct the preparation and use of plans and policies**
- **Accountability : Plans and policies**

**The standard provides principles and not guideline
Is it improvable regarding the definition of responsibility ?**

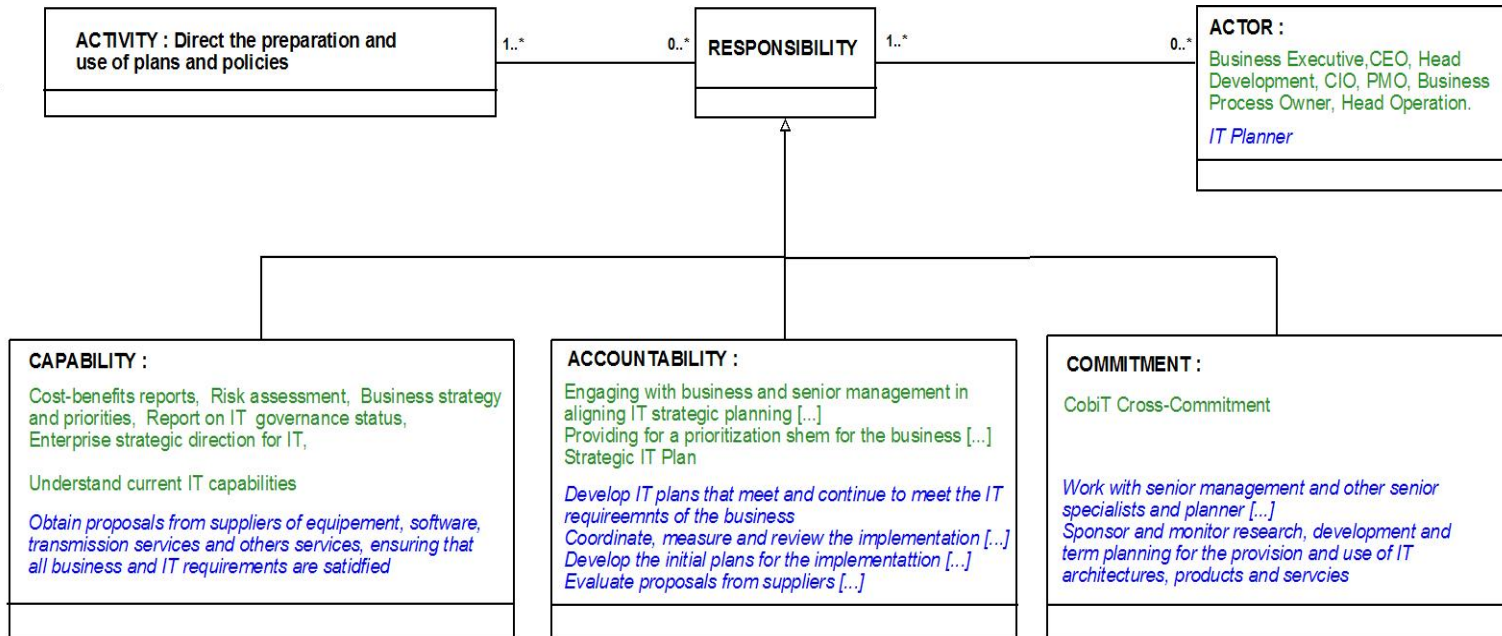
ISO/IEC 38500:2008

Director should direct the preparation and use of plans and policies that ensure the organization does benefit from the developments of IT



ISO/IEC 38500:2008

From principle to guide lines :



Information from :

CobiT : PO1 Plan and Organise : Define a Strategic IT Plan

ITIL : IT Planner role's objectives

ISO/IEC 38500:2008

→ 6 principles :

Principle 1 : Responsibility clearly defined and assigned

Responsibility may be model using Capability, Accountability and Commitment

1st illustration :

Creation of policies (business to IT) from business goals / processes and mapping with the standard ISO/IEC 15504

2nd illustration :

Enhancement of existing models; enhancement of CIMOSA to improve responsibility definition and assignation through enterprise architectures

3rd illustration :

Enhancement of the responsibility definition in governance principle and contribution to the translation of principles in guide-lines.

*Thank you for your attention,
Question ?*



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