

Process Health Assessment Discussion Worksheet

Part I: Applies to any and all processes

Objective	Potential Risks from not meeting Objective	Summary of Current State	Business Impact (So What! For us)
Process Goals and Objectives <ul style="list-style-type: none"> • Process goals and objectives defined (and periodically reviewed and refreshed)? • Process goals linked back to business goals? • Process goals specific, measurable, actionable, realistic, results-oriented, and timely (SMART)? 	<ul style="list-style-type: none"> • Process effectiveness difficult to measure • Business objectives not supported by processes 		
Process Ownership <ul style="list-style-type: none"> • Overall owner exists for the process? • Owner's roles and responsibilities have been defined? • Sufficient authority has been provided to support the roles and responsibilities? 	<ul style="list-style-type: none"> • Processes performing unreliably • Processes not working together effectively • Gaps in process coverage likely • Process errors not rectified 		
Process Repeatability <ul style="list-style-type: none"> • Repeatability is a management objective? • Evidence of management review of high-risk processes? • Scalable and flexible? • Adherence to the process? 	<ul style="list-style-type: none"> • Inconsistent process results and likelihood of process errors • High reliance on process specialists • Processes unable to react to problems and new requirements 		
Roles and Responsibilities <ul style="list-style-type: none"> • Information about the key activities and deliverables are defined and maintained? • Supporting policies, procedures and guidance developed? 	<ul style="list-style-type: none"> • Process performance likely to be variable and unreliable • Processes not performed as intended • Problems and errors likely to remain unresolved 		
Policy, Plan and Procedures <ul style="list-style-type: none"> • Rules exist about how IT processes will be documented and how the documentation will be used for training and communicated? • Documentation owned, maintained and used? 	<ul style="list-style-type: none"> • Processes not aligned with business objectives Staff members not knowing how to perform critical tasks • Policy violations 		
Process Performance Improvement <ul style="list-style-type: none"> • Measures exist and provide high level of insight into the operations (outcomes and performance) with limited effort? • Targets set for measures? 	<ul style="list-style-type: none"> • Processes slow to react to business needs. • Processes too costly • Process outcomes and deliverables not in line with overall IT and business objectives 		

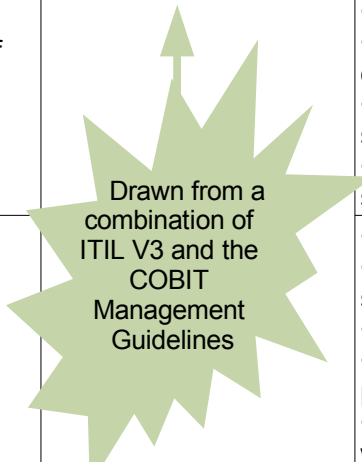
Source: Adapted from the IT Assurance Guide: Using COBIT, ISACA/ITGI, 2007

Facilitated discussion requires the participation of key knowledgeable stakeholders from the process being assessed and the key impacted boundary processes.

Process Health Assessment Discussion Worksheet

Part II: Process Specific Considerations

Example: Problem Management (DS10)

Objective	Key Impacted Boundary Process(es)	Potential Risks from not meeting Objective	Summary of Current State	Business Impact (So What! For us)
Identification and Classification of Problems <ul style="list-style-type: none"> Adequate processes supported by appropriate tools? Clear criteria to classify and prioritize problems? Steps to check accuracy of classification? 	<ul style="list-style-type: none"> Incident Management (DS8) Change Management (AI6) 	<ul style="list-style-type: none"> Disruption of IT services; Increased likelihood of problem recurrence; Recurrence of incidents; Problems & incidents not solved in a timely manner 		
Problem Tracking and Resolution <ul style="list-style-type: none"> Processes and tools to register, classify, prioritize, and track problems to resolution? Management reports on problems available via tools? 	<ul style="list-style-type: none"> Release and Deployment Management (AI7) Configuration Management (DS9) Service Level Management (DS1) 	<ul style="list-style-type: none"> Recurrence of problems and incidents; Loss of information; Critical incidents not solved properly; Business disruptions; Insufficient service quality 		
Problem Closure <ul style="list-style-type: none"> Problems closed ONLY after confirmation of resolution by stakeholders? 	 <p>Drawn from a combination of ITIL V3 and the COBIT Management Guidelines</p>	<ul style="list-style-type: none"> Outstanding queries; Increased service disruption; Critical incidents not solved properly; Dissatisfaction with IT services 		
Integration of Configuration, Incident and Problem Management <ul style="list-style-type: none"> Processes appropriately integrated? Owners meet regularly to discuss future planned changes? 		<ul style="list-style-type: none"> Loss of information Critical incidents not solved properly Business disruptions Increasing number of problems Decreased satisfaction with IT services 		

Source: Adapted from the IT Assurance Guide: Using COBIT, ISACA/ITGI, 2007

Facilitated discussion requires the participation of key knowledgeable stakeholders from the process being assessed and the key impacted boundary processes.

Process name: _____

Rising Star Process Assessment Template						
Maturity Level	Awareness and Communication	Policies, Plans and Procedures	Tools and Automation	Skills and Expertise	Responsibility and Accountability	Goal Setting And Measurement
5						
4						
3						
2						
1						

Adapted from material in IT Assurance Guide Using COBIT & IT Governance Implementation Guide (both by ITGI)



represents the "as-is" level



represents the realistic "must-be" level

Overall Process Maturity: As-is: _____ Must Be: _____

While not absolutely necessary, for best results, don't complete this template until after having completed the Process Health Assessment Discussion Worksheets for the process. Works best when completed by the same facilitated group who completed the discussion worksheet.

- Always refer to the following when completing this template:
- COBIT® 4.1, Figure 15 – Maturity Attribute Table
 - IT Assurance Guide: Using COBIT®, Figure 22 – Assessing Process Maturity Attributes
 - COBIT® 4.1, Maturity Model for the process being assessed

Process name: Problem Management

EXAMPLE

Rising Star Process Assessment Template						
Maturity Level	Awareness and Communication	Policies, Plans and Procedures	Tools and Automation	Skills and Expertise	Responsibility and Accountability	Goal Setting And Measurement
5						
4						
3	★ ↑ ●	★ ↑ ●		★ ↑ ●	★ ↑ ●	★ ↑ ●
2			★ ↑ ●			
1			●		●	●

Adapted from material in IT Assurance Guide Using COBIT & IT Governance Implementation Guide (both by ITGI)

● represents the “as-is” level ★ represents the realistic “must-be” level

Overall Process Maturity:
As-is: 1.5 Must Be: 3

Estimate overall maturity based on the assessment of the six attributes

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