## Process Health Assessment Discussion Worksheet

### Part I: Applies to any and all processes

<table>
<thead>
<tr>
<th>Objective</th>
<th>Potential Risks from not meeting Objective</th>
<th>Summary of Current State</th>
<th>Business Impact (So What! For us)</th>
</tr>
</thead>
</table>
| **Process Goals and Objectives** | • Process effectiveness difficult to measure  
• Business objectives not supported by processes |  |  |
| • 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 (SMARRT)? | | | |
| **Process Ownership** | • Processes performing unreliably  
• Processes not working together effectively  
• Gaps in process coverage likely  
• Process errors not rectified | |  |
| • 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? | | | |
| **Process Repeatability** | • Inconsistent process results and likelihood of process errors  
• High reliance on process specialists  
• Processes unable to react to problems and new requirements | | |
| • Repeatability is a management objective?  
• Evidence of management review of high-risk processes?  
• Scalable and flexible?  
• Adherence to the process? | | | |
| **Roles and Responsibilities** | • Process performance likely to be variable and unreliable  
• Processes not performed as intended  
• Problems and errors likely to remain unresolved | | |
| • Information about the key activities and deliverables are defined and maintained?  
• Supporting policies, procedures and guidance developed? | | | |
| **Policy, Plan and Procedures** | • Processes not aligned with business objectives  
Staff members not knowing how to perform critical tasks  
Policy violations | | |
| • 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? | | | |
| **Process Performance Improvement** | • Processes slow to react to business needs.  
• Processes too costly  
• Process outcomes and deliverables not in line with overall IT and business objectives | | |
| • Measures exist and provide high level of insight into the operations (outcomes and performance) with limited effort?  
• Targets set for measures? | | | |

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)**

<table>
<thead>
<tr>
<th>Objective</th>
<th>Key Impacted Boundary Process(es)</th>
<th>Potential Risks from not meeting Objective</th>
<th>Summary of Current State</th>
<th>Business Impact (So What! For us)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Identification and Classification of Problems</strong></td>
<td>• Incident Management (DS8)</td>
<td>• Disruption of IT services;</td>
<td></td>
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</tr>
<tr>
<td>• Adequate processes supported by appropriate tools?</td>
<td>• Change Management (AI6)</td>
<td>• Increased likelihood of problem recurrence;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Clear criteria to classify and prioritize problems?</td>
<td>• Release and Deployment Management (AI7)</td>
<td>• Recurrence of incidents;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Steps to check accuracy of classification?</td>
<td>• Configuration Management (DS9)</td>
<td>• Problems &amp; incidents not solved in a timely manner</td>
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<td></td>
<td>• Service Level Management (DS1)</td>
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<tr>
<td><strong>Problem Tracking and Resolution</strong></td>
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<tr>
<td>• Processes and tools to register, classify, prioritize, and track problems to resolution?</td>
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<tr>
<td>• Management reports on problems available via tools?</td>
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<td><strong>Problem Closure</strong></td>
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<td>• Problems closed ONLY after confirmation of resolution by stakeholders?</td>
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<td><strong>Integration of Configuration, Incident and Problem Management</strong></td>
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<tr>
<td>• Processes appropriately integrated?</td>
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<td>• Owners meet regularly to discuss future planned changes?</td>
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</tbody>
</table>

*Drawn from a combination of ITIL V3 and the COBIT Management Guidelines*

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

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**Facilitated discussion requires the participation of key knowledgeable stakeholders from the process being assessed and the key impacted boundary processes.**
Process name: ___________________________________

<table>
<thead>
<tr>
<th>Maturity Level</th>
<th>Awareness and Communication</th>
<th>Policies, Plans and Procedures</th>
<th>Tools and Automation</th>
<th>Skills and Expertise</th>
<th>Responsibility and Accountability</th>
<th>Goal Setting And Measurement</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
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</tbody>
</table>

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

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