

TOGAF

DELIVERING SUCCESS THROUGH GOVERNANCE

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For the prevention of doubt

- ▶ In my observations today I do NOT particularly differentiate between:
 - Corporate Governance
 - IT Governance
 - Outsourcing Governance
 - Any other Governance

- ▶ The set of issues and problems is both analogous and homologous

What do we mean by **Success**

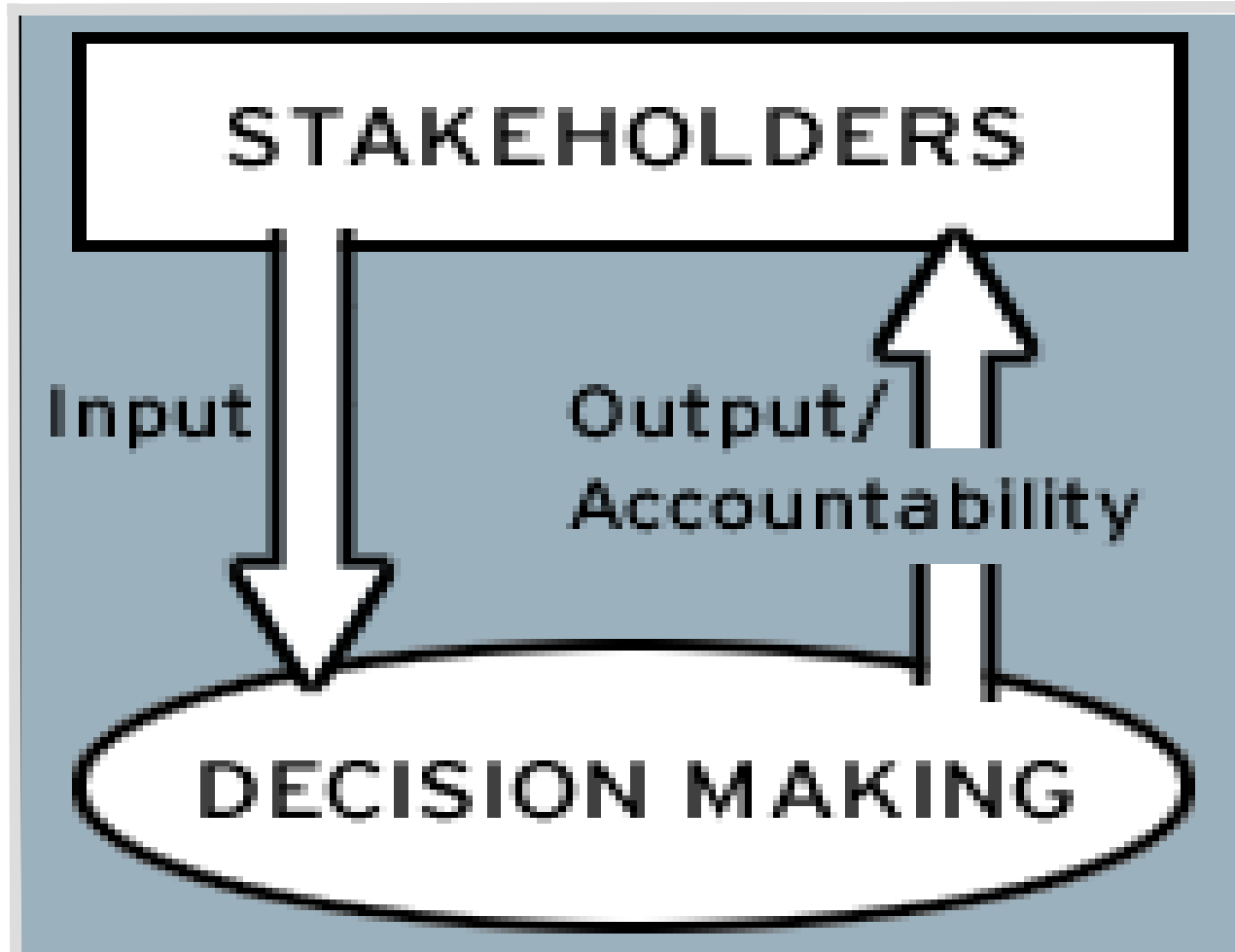
in this context ?

- ▶ adherence to the corporate policies
- ▶ adherence to the corporate processes
- ▶ comply with laws, rules and regulations
- ▶ conform to auditable controls

The need for governance exists:

- ▶ anytime a group of people come together to accomplish an end.
- ▶ Most agree that the central component of governance is decision-making.
- ▶ Governance is about the more strategic aspects of steering, making the larger decisions about both direction and roles.
- ▶ Governance is neither simple nor neat — by nature it may be messy, tentative, unpredictable and fluid.
- ▶ Governance is complicated by the fact that it involves multiple actors, not a single helmsman..
- ▶ These multiple actors are the organization's stakeholders.
- ▶ They articulate their interests, influence how decisions are made, who the decision-makers are and what decisions are taken.
- ▶ Decision-makers must absorb this input into the decision-making process.
- ▶ Decision-makers are then accountable to those same stakeholders for the organization's output and the process of producing it.

The Loop



Governance



- **Focuses on the rights, roles and equitable treatment of shareholders**
- **Disclosure and transparency and the responsibilities of the board**
- **Ensures**
 - **Sound strategic guidance of the organisation**
 - **Effective monitoring of management by the board**
 - **Board accountability for the company and to the shareholders**
 - **Board's responsibilities**
 - **Reviewing and guiding corporate strategy**
 - **Setting and monitoring achievement of management's performance objectives**
 - **includes Governance of the organisations IT**
- ▶ **Promotes the integrity and effectiveness of the organisation's systems**

Governance



- ▶ **Balances change and value**
- ▶ **Governance relies on two major concepts in order to carry out its function**
 - **a set of principles related to the corporation, regulations, IT etc.**
 - **the architectural framework.**
- ▶ **These components allow you to**
 - **manage value and risk**
 - **relax tensions in the organisation**
 - **meet the needs of architects, business and governance**
 - **reconcile issues in a timely and controlled manner**
- ▶ **Within the dynamics of the environment**

Governance... *basically it's a case of*

'... a multiplicity of laws often furnishes excuses for vice, so that a state [or in this case technology governance] is much better ordered when, having only very few laws, they are very strictly observed.'

Rene Descartes , Discourse 2 – Discourse on Methods and Writings, c1637

Governance

- ▶ We already stated that policies are about the management of change
- ▶ The end goal of any change (such as technical, legislative etc.) across the organisation impacts on one or more of
 - Organization
 - Process
 - Integration (systems, business)
- ▶ How do we contextualise these?

Governance

- ▶ We have defined Governance as a process whereby important decisions are taken.
- ▶ Decisions take place within a “framework” or a “system” that defines how the process works or, at the very least, is supposed to work.
- ▶ It is within this governance framework that an organization decides where it is going, monitors its performance, and allocates power and resources.
- ▶ The elements of a governance framework can be divided into three main areas- which interrelate and overlap with one another:
 - the formal legislative context
 - policies
 - informal governance

Policies



There are two axiomatic constraints on the way we can approach solutions:

- **Externally imposed**
 - Law
 - Regulation
 - Custom & Practice
- **Our Business and its Goals**

The cross-mapping of these are Policies

**To assure relevance, completeness and minimal duplication the
'solutions' must fall within the Policy boundaries**

Policies

▶ TOGAF

is about ensuring that the

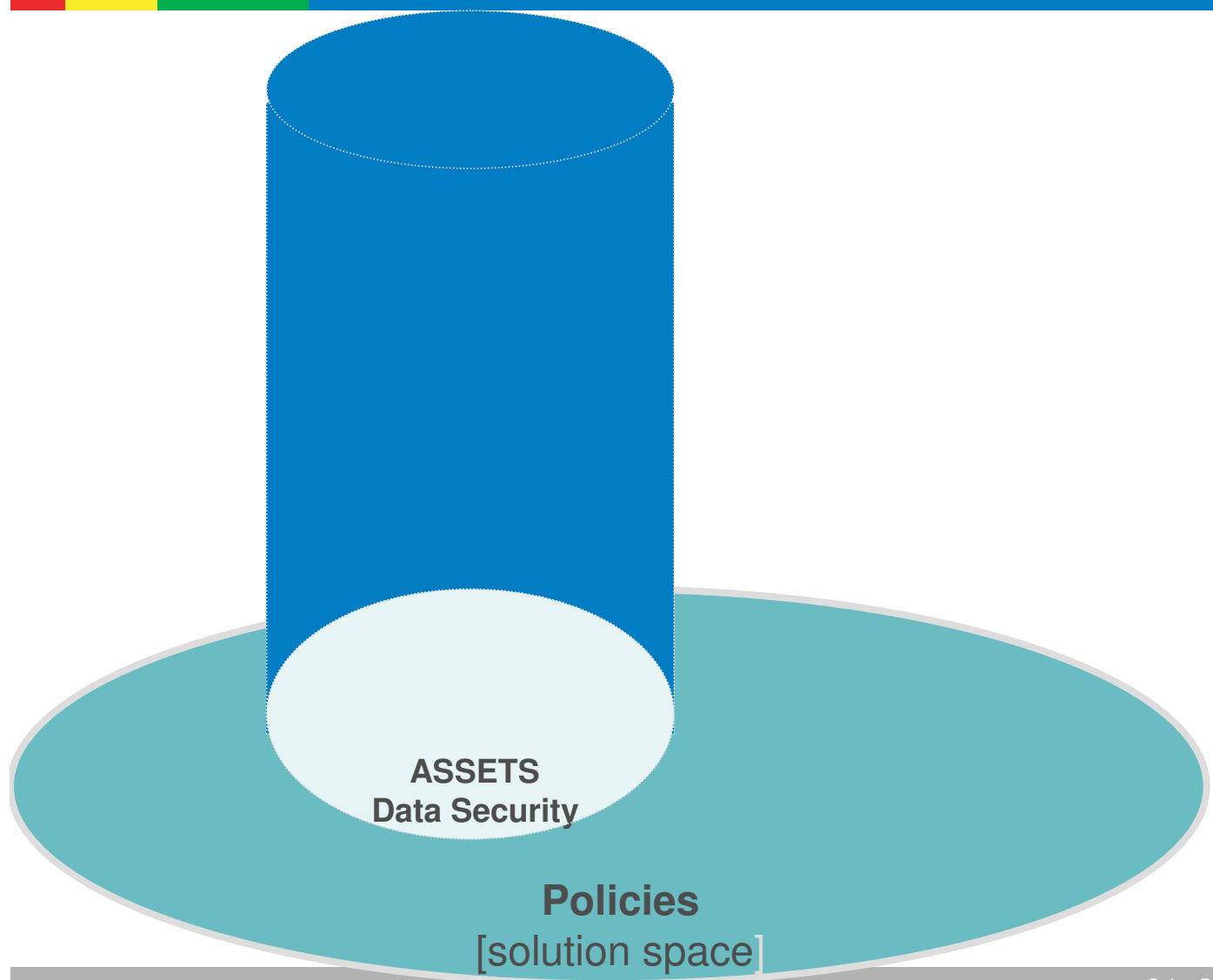
- architectures are developed in a
- framework of
- controls articulated by
- best practice

**e.g. company coding standards
architectures
external obligations
regulations**

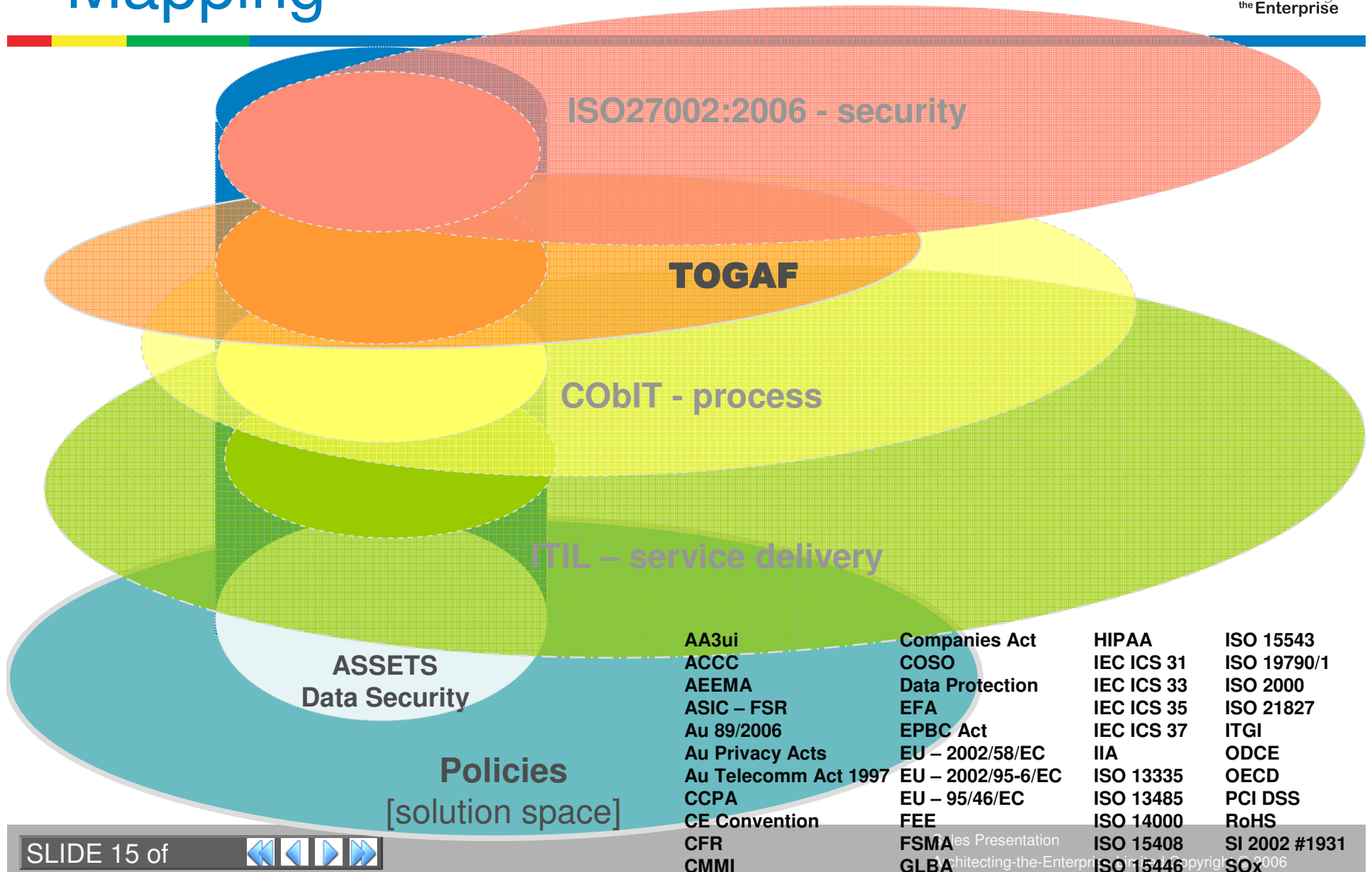
Policies & Architectures

- ▶ **A policy**
is a **statement of** compliance obligation
- ▶ **Architecture**
drives compliance for **solution development**
- ▶ **TOGAF is the framework around it**
- ▶ **Because of this we need to look seriously at the business of generating**
 - single-threaded
 - multi-compliant policies**within the framework**

Mapping



Mapping



Cross Mapping



▶ Required

- To minimise cross reference checking
- To minimise gap-analysis of policies etc.

▶ Is

- Strictly vectored
- Subject to lexical anomalies (such as American spellings)


▶ Is not

- A guarantee that there is adequate coverage

Available relevant mappings

- ▶ TOGAF 7 → TOGAF 8
- ▶ TOGAF 8 → TOGAF 7
- ▶ TOGAF 8 → COBIT 3
- ▶ TOGAF 7 → COBIT 3
- ▶ TOGAF 8 → COBIT 4
- ▶ TOGAF 7 → COBIT 4
- ▶ COBIT 3 → TOGAF 7
- ▶ COBIT 3 → TOGAF 8
- ▶ COBIT 4 → TOGAF 7
- ▶ COBIT 4 → TOGAF 8
- ▶ CCohen → TOGAF 8
- ▶ ITIL → TOGAF 8
- ▶ COBIT 3 → COBIT 4
- ▶ COBIT 3 → FFIEC2000
- ▶ COBIT 3 → ISO27000
- ▶ COBIT 3 → ITIL
- ▶ COBIT 3 → SOx
- ▶ COBIT 3 → AA3ui
- ▶ COBIT 4 → FFIEC2000
- ▶ COBIT 4 → ISO27000
- ▶ COBIT 4 → ITIL
- ▶ COBIT 4 → SOx
- ▶ COBIT 4 → AA3ui
- ▶ PCI → FFIEC2000
- ▶ PCI → ISO27000
- ▶ PCI → AA3ui
- ▶ AA3ui → SOx
- ▶ FFIEC2000 → ISO27000
- ▶ ITIL → COBIT 3
- ▶ ITIL → COBIT 4

Soft mapping Tools

| | |
|--|---|
| <p>Map <input type="text" value="TOGAF to Cobit v3.2"/> <input type="button" value="Apply"/></p> |  |
| <p>Select a TOGAF section</p> <ul style="list-style-type: none">• 4.4 Technology Architecture - Steps<ul style="list-style-type: none">• 4.4.1 Technology Baseline Description<ul style="list-style-type: none">• 4.4.1.2• 4.4.1.3 | <p>Matching Cobit v3.2 sections for TOGAF section 4.4.1.2</p> <ul style="list-style-type: none">• AI - Acquire and Implement<ul style="list-style-type: none">• AI3.1. Assessment of New Hardware and Software |
| <p>4.4.1.2</p> <p>Develop a baseline description of the existing Technology Architecture, to the extent necessary to support the target Technology Architecture. The scope and level of detail to be defined will depend on the extent to which existing Technology components are likely to be carried over into the target Technology architecture, and on whether existing architectural descriptions exist, as described under Approach, above. Define for each major hardware or software platform type:</p> <ul style="list-style-type: none">• Name (short and long)• Physical location• Owner(s)• Other users• Plain language description of what the hardware / software platform is and what it is used for• Business functions supported• Organizational units supported• Networks accessed• Applications and data supported• System inter-dependencies (for example, fall-back configurations) | <p>AI3.1. Assessment of New Hardware and Software</p> <p>Hardware and software selection criteria should be based on the functional specifications for the new or modified system and should identify mandatory and optional requirements.</p> <p>Procedures should be in place to assess new hardware and software for any impact on the performance of the overall system.</p> |

Policy : Operability

- **Policies must be :**
 - unambiguous
 - decently readable [e.g. Flesch-Kincaid Grade Level score ≤ 12.0]
 - capable of being applied

 - discoverable
 - internally consistent
 - unitary at the element level – i.e. no duplication

 - maintainable
 - maintained
 - capable of being applied

The key to these is the Policy Taxonomy

Policy : Taxonomy



... the orderly classification of entities according to their presumed natural relationships

The approach to the Policy Taxonomy must be rooted in the notion of the hierarchy inherent in **Corporate Governance through Principles**



Which brings us back to the 'bulk Architecture'

Have Patience !

*'Explain all that'
said the Mock Turtle*

*'No, no!
The adventures first,'
said the Gryphon in an impatient tone:*



'explanations take such a dreadful long time'

Lewis Carroll, *Alice's Adventures in Wonderland*, 1865