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Architecture Governance

A Practical Framework for Architectural Governance

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Brussels

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Two observations regarding governance …

"If management is about running businesses, governance is about seeing that they are run properly"

Prof Robert Tricker (2002)

"Governance is one of the few subject areas that has no natural humour, whether this is because it is about common sense or that it has no natural enemies and therefore has no reason to hide, is unclear"

Alan Simmonds (2003)

Overview

- Governance
  - Overview and best practice
  - Stakeholders
- Overview of governance framework and environment

- Case study of a UK financial services supplier

What is architecture governance?

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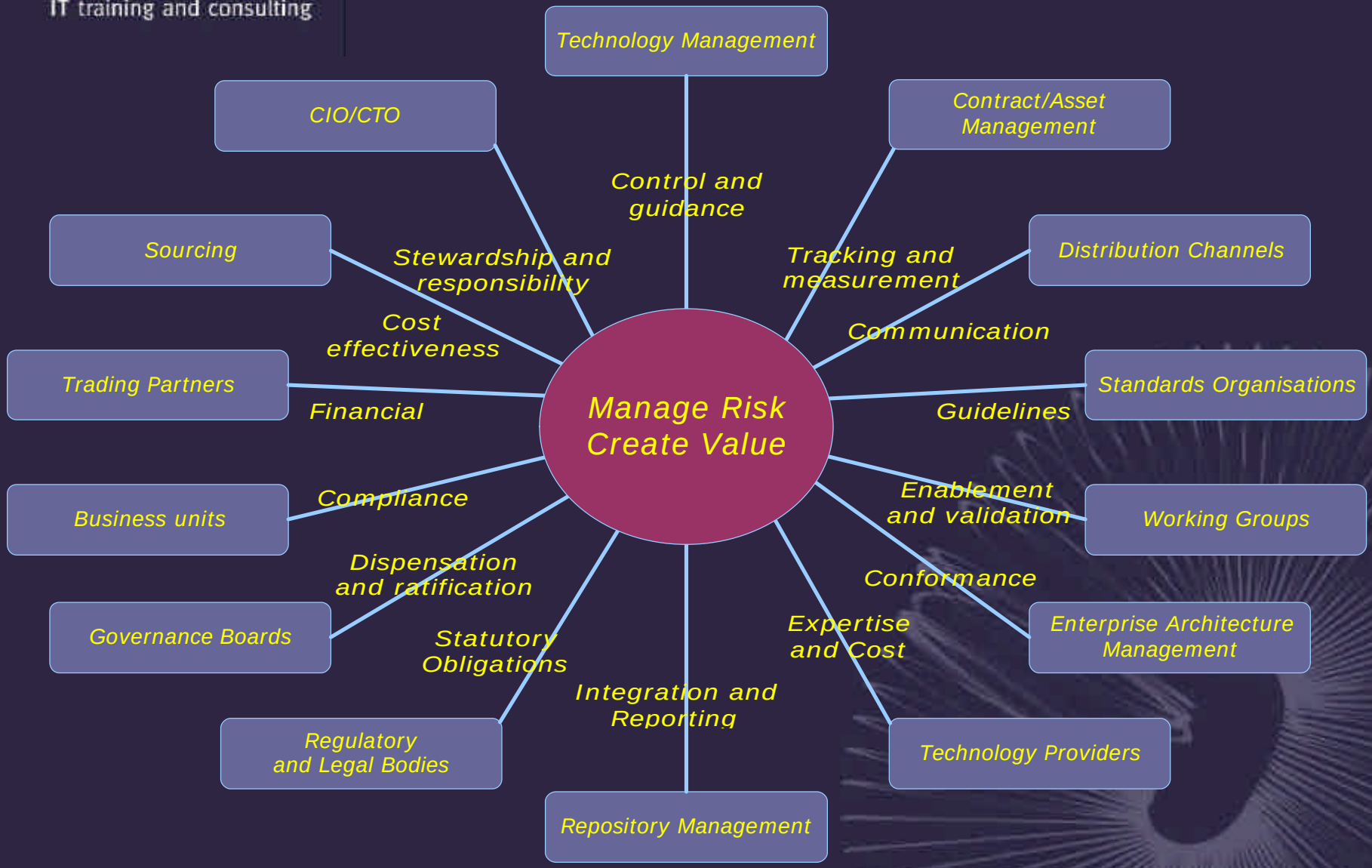
- The practice by which enterprise and other architectures are managed
  - Establishing processes to support management of architectural activities
  - Implementing a system to ensure compliance with internal and external standards and regulatory obligations
  - Capturing and managing all relevant architectural artefacts:
    - Architectural models (architecture continuum)
    - Approved product and technology set (solutions continuum)
    - Architecture contracts
- A framework covering the following governance activities:
  - Adoption/take on
  - Compliance
  - Dispensation
  - Retirement and refreshment
- So basically its a framework that ensures the integrity and effectiveness of the organisation's architectures

When is architecture governance important?

- Boundaries facing change or challenges through:
  - Outsourcing – before, during and after
  - Corporate transformation including M&A, JVs …
- Meeting regulatory requirements or environmental issues
  - Lawsuit activity
  - Changing market/industry environment
- Internal improvement
  - All IT processes and procedures
  - Standards, rules and guidelines for design, development and implementation
  - Architectures and related models
  - Metrics for SLAs and OLAs
  - Assessment and selection of both technology and product
  - Roles and responsibilities

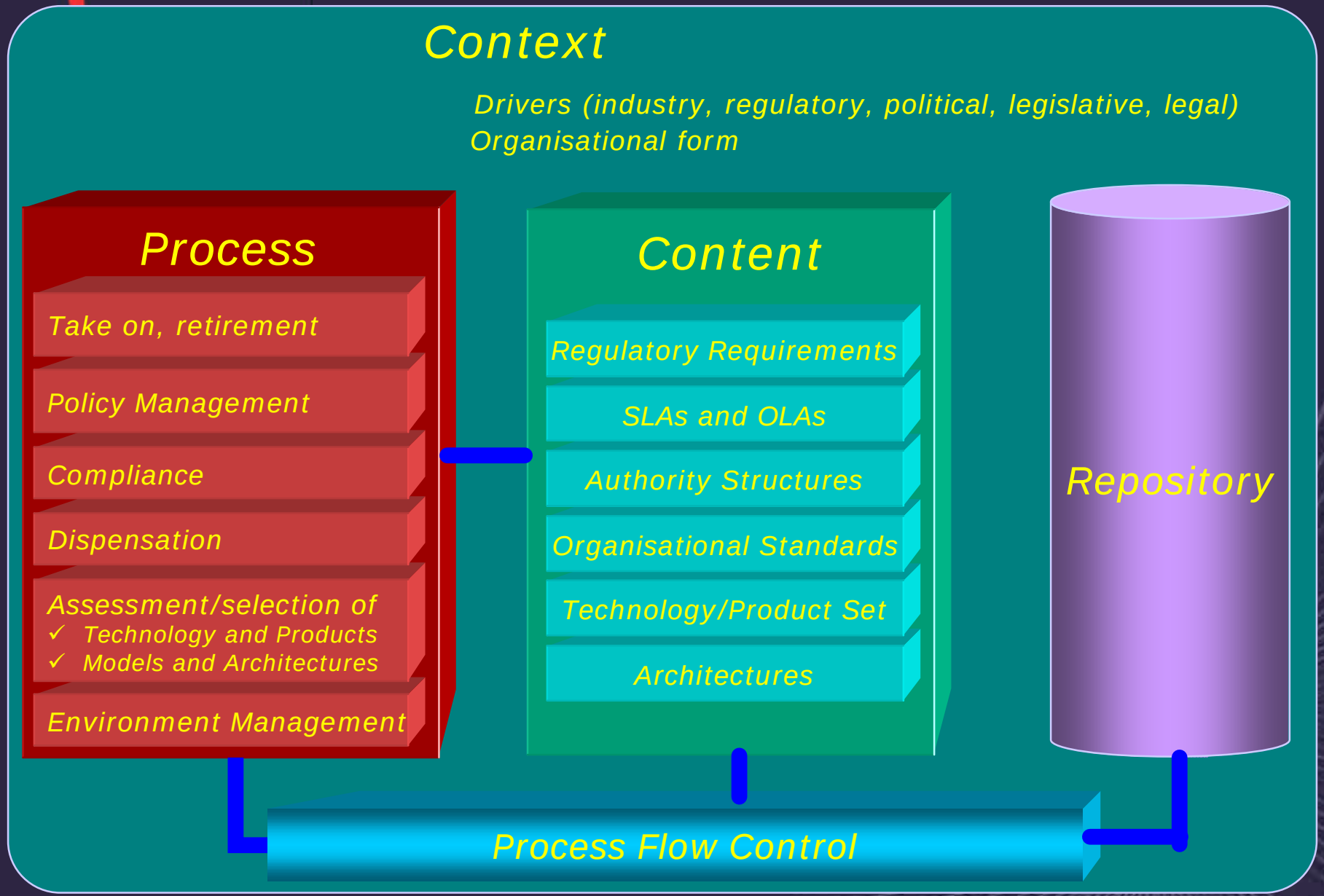
Who is involved?



Governance Framework – 4 Basics

- Process
  - Content is managed through processes e.g. take-on, policy management, compliance, dispensation, action tracking and feedback
- Content
  - Includes all elements that must be governed e.g. information, rules, standards, schedules, SLAs, OLAs, regulations etc.
- Context
  - Established by external and internal parts of the organisation
  - Organisational structure (i.e. global, local and business unit level), political, geographic, legislative, legal and regulatory obligations and requirements
- Environment management
  - Includes repository management, access, communication, training and accreditation

Governance Environment Framework



Environment Management (Enterprise Continuum)

- All services required to ensure that the repository-based environment underpinning the governance framework is effective and efficient
- Formal process …
  - Register, validate, ratify, manage and publish new or updated content (i.e. architecture artefacts such as models, service agreements, contracts, components)
- Includes …
  - Physical and logical repository management, access, communication, training and accreditation of all users
  - Administrative processes that include user management, internal SLAs and management information reporting
- Ensures …
  - Orderly integration with existing governance content so all relevant parties, documents, contracts and supporting information are managed, monitored and audited
- Takes into account industry standards such as COBIT and ITIL

QA Case Study - Overview

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- QA was engaged to assist a major UK financial institution meet its regulatory obligations with regard to the Banking Act/FSA Section 39 covering:
  - Control of technology change
  - Auditable processes
  - Records management

- Requirements
  - Identify and articulate a common understanding of technology governance for the bank
  - Design the processes required to support effective technology governance
  - Create the environment in which to run the processes
  - Ensure that every action and decision is audited
  - Establish the organisational structures required to ensure that the processes became part of the culture

QA Case Study - Activities

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- Reviewed
  - Approved product and technology sets
  - Infrastructure definition and management
  - Service and user views supported by each of the above
  - Existing governance processes and repository support
- Considered existing:
  - Design authorities
  - Sourcing
  - Management controls
- Developed
  - Enriched technology/product set proforma and documentation
  - Streamlined processes for product and technology selection and sourcing alignment
  - Common approach for use across multiple business units
  - Automated system for compliance assessments, audit management and governance process control

QA Case Study – Results and Benefits

- Clear guidelines on build services engagement with new governance processes
  - Extension of current compliance activities to increase effectiveness
- People-based authority and accountability
  - Consistent, common language
  - Support for differing levels of empowerment to support local autonomy but global reporting and control
- Automated support for group technology governance
  - Repository-based workflow environment supporting reusable governance processes
  - Defined integration points with existing systems, technologies and methodologies
- Met the requirements of the Banking Act/FSA

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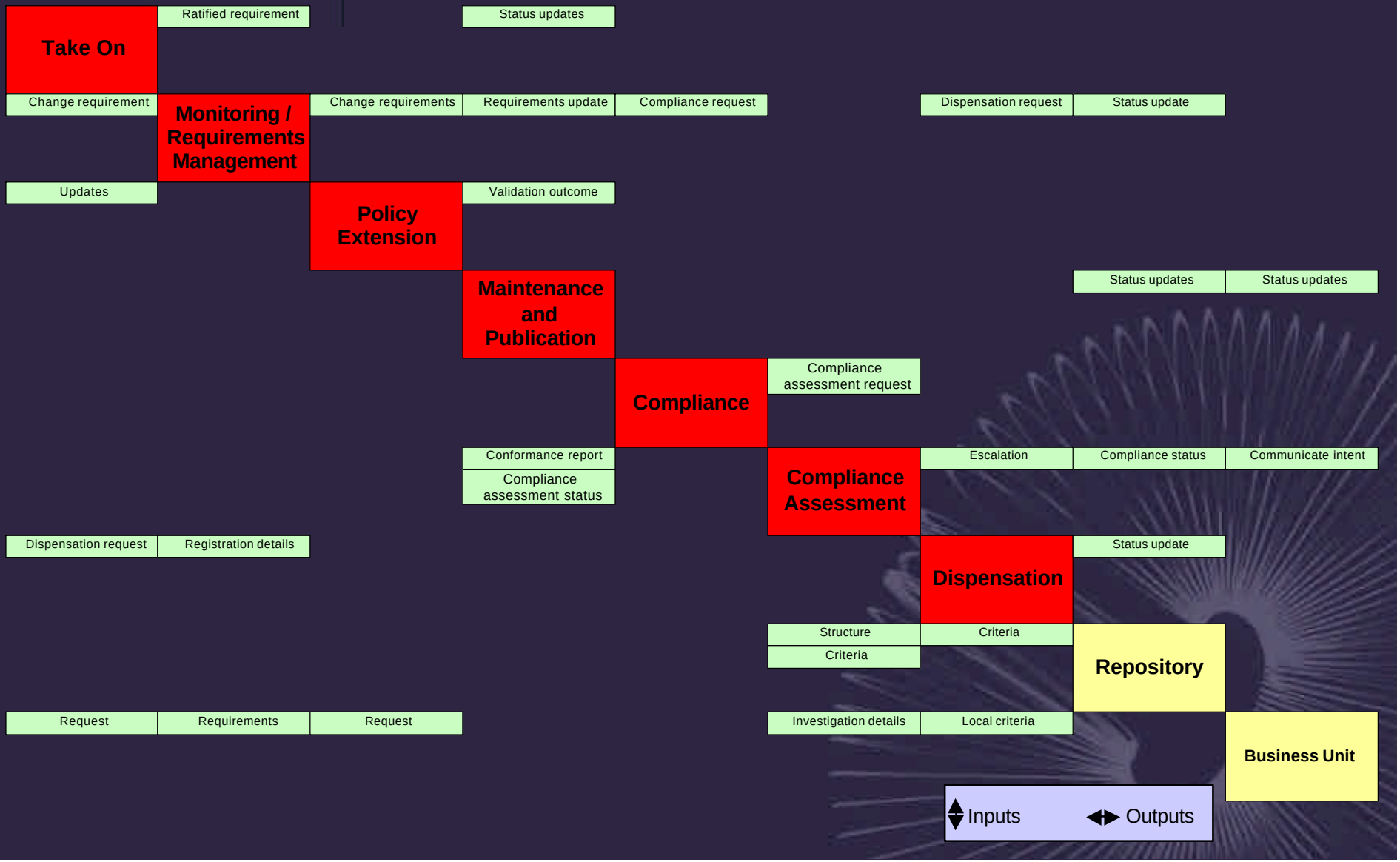
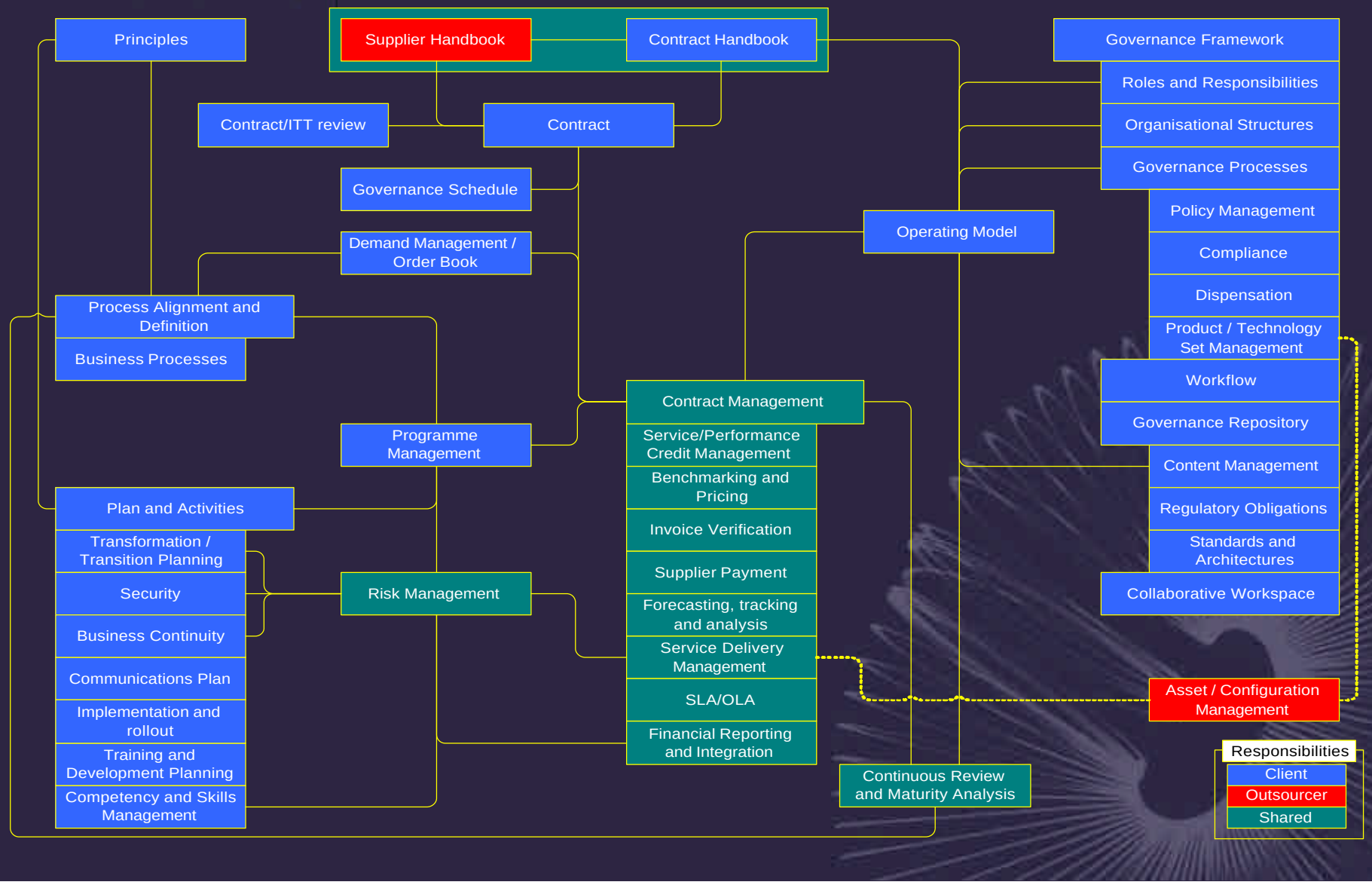
Linking Architecture Governance with the Project Lifecycle

- Governance [processes] complement existing processes by:
  - Allowing embedded best practice to continue and promoting its exploitation
  - Highlighting critical points when compliance or dispensation is necessary
- Governance processes do not replace or reduce the requirement for a managed project lifecycle
  - Is integral in the Prince2 framework
  - Is implemented at project level through project boards and steering committees
- Governance is an integrative approach supported by a framework that ensures best practice, control, guidance and communication effectively used

Best Practice Governance Processes



Example Outsourcing Governance Scope



Governance Project Portfolio

- Global Industrial Gases
  - Global telecoms contract governance
  - Architecture governance
- Health Services
  - Information governance
- Utilities
  - Outsourcing contract governance
- Global FMCG
  - Global portfolio management and project management
- Global Financial Services
  - Outsourcing governance best practice
  - Unified testing process governance

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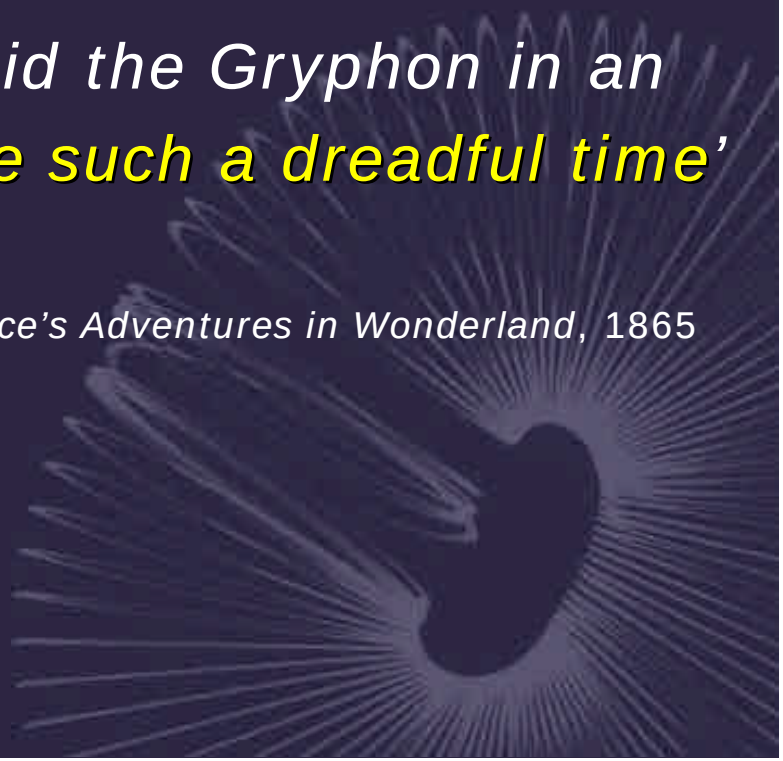
'Explain all that' said the Mock Turtle

'No, no! The adventures first,' said the Gryphon in an impatient tone: 'explanations take such a dreadful time'

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



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Questions?

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