

FRAMEWORK

IT Governance Audit Plan

Tactical Alignment

Determine the effectiveness of the IT organization in supporting tactical business needs. Does IT provide the organization with the necessary and sufficient services to enable it to meet its current business objectives?

Discuss the IT service objectives in support of the business. Have the requisite organizational roles to support IT functions been established and are they staffed appropriately?

Discuss IT's role in the company. Are IT roles in alignment with the business strategy, culture and style of the business? To what extent does the IT organization structure meet the current business needs?

Determine the ability of the IT organization to adapt in response to change. Can the organization address a new business challenge through resource realignment or new approaches to work flow? Is the organization complacent or proactive when facing business changes?

Stability and Reliability

Determine whether the organization is stable or is characterized by high turnover. Was the CIO a recent hire? What is the tenure of the last CIO? Is the environment in crisis mode as a result of high personnel turnover?

Determine the level of organization resiliency. Are there backup personnel for critical functions or is there excessive reliance on a few key individuals? Is the organization at risk because of insufficient coverage or too much dependency on a few competent resources?

In relation to IT's role in the company, determine whether or not the sourcing plan is appropriate. Is there a plan for use of internal as well as external sourcing? Are vendor selection criteria established to locate qualified contractors, and are contractors managed to ensure reliable service delivery?

Processes

Determine how organizational workflow processes are created and communicated to the organization. Are they understood by the organization? Are changes well planned, or are they made without input from key business process owners and other stakeholders?

Assess overlap and gaps of organizational coverage. Are necessary processes not being performed by anyone? Are there duplicate functions performing redundant tasks, such as upgrades or configuration of changes?

Determine the level of participation in multi-disciplinary team meetings to review systems changes and future architectural directions. Has the organization been effective in terms of coordination and teaming efforts? Are both formal and informal communications in place to foster cooperation? Are all impacted organizations aware of IT or project changes and new developments?

Technology Leverage

Determine the extent to which the organization is able to absorb IT management resources such as software.

FRAMEWORK

Determine the existence and use of tools such as project management tools.

Determine the extent to which new technologies are leveraged for training and support. Does the organization effectively use the intranet?

Results Management

What mechanisms are in place to validate the effectiveness of the IT organization? Are metrics, benchmarks or other vehicles used to measure organizational performance? Are results reported so that the organization can take corrective actions?

To what extent is the investment in personnel appropriate, and what have been the results of the investment? Is there any validation to determine the company's success in attracting and retaining the requisite skills? Is the caliber and effectiveness of training measured? Are training programs assessed by surveys or other vehicles to determine areas where more skills fortification is needed?

Human Capital

Investigate the depth and breadth of available technical and management skills. A skill shortage can result in service levels being unmet, poor quality, delays in projects and project backlogs. Review whether hiring plans are appropriate, or whether the company is at risk because skills will not be able to keep pace with business needs.

Are appropriate technically trained resources used to resolve problems? Alternatively, are technical skills lacking, resulting in senior resources handling the most basic troubleshooting efforts?

Does the organization have the requisite technical skills required to perform their roles? Can the company provide a skills inventory that covers the range of skills required? Are hiring decisions made based on skills needed?

Review the level of commitment to technical and management training for the purpose of improved job performance. Is there an appropriate investment in training and education?

Determine the level to which core competencies are sourced externally with contractors/consultants. Are systems vendors used to supplement skills appropriately where needed? Is knowledge transfer occurring when outside vendors are utilized? Does the company compromise its competitiveness by overuse of outsourcing for strategic IT initiatives?