

# ALIGNING IT SYSTEMS CONTROLS WITH PROCESS GOVERNANCE

## AN EKS CASE STUDY

### Situation Analysis

A multi-state federal government organization was directed to prepare for the implementation of a nation-wide system which would consolidate IT systems and automate certain aspects of key service delivery processes.

The mission of this organization involved supporting other constituent-facing groups with program material to carry out their activities effectively and consistently. Programs were worth many hundreds of millions in US dollars annually, and required common yet customized versioning for specific constituents.

Executives were equally concerned about improving IT governance and establishing proper controls so that customer confidence could be maintained. A dual-track approach was taken because controls could only track processes when these processes are being utilized, while governance would focus on providing assurance that the organization was using those processes. Executives were interested in methods to benchmark, improve and track how the new IT system would fit with existing organizational governance.

### Desired Outcome

The optimum approach would be to audit the current program of technology improvement across the organization in configuration management in order to assess the following:

- 1) Identify system interfaces
- 2) Establish a business case for change
- 3) Estimate implementation impacts

### Intervention

Over the course of 4 months, a small consulting team utilized the EnCompass Enterprise (E<sup>2</sup>™) software suite, comprised of the EnCompass<sup>®</sup> Organizational Process Mapping module and the OrgAnalyst<sup>®</sup> Organizational Activity Cost Management module to gather and analyze data from across the organizations involved. The intuitive, convenient web-based survey-style data collection and automated data synthesis and map generation greatly expedited the process.

EnCompass maps revealed that key individuals were working with multiple databases simultaneously. Since all systems were custom applications, this finding called data integrity into question with the lack of a single sign-on interface. These views showed executives how their management team and subject matter experts interacted with each other and systems to provide reports to decision makers, and how those decisions influenced the enterprise.

OrgAnalyst determined that, within the study's scope, 25% of operational costs were technology-related. A tailored activity dictionary provided accurate and readily allocatable data from the top level down to the individual respondents, allowing deeply granular analysis of costs.

### Results

E<sup>2</sup> results provided the catalyst the executives needed to justify and accelerate the development of a single sign-on method for the entire organization. Executives and participating practitioners were also briefed on previously hidden costs and areas of inefficiency. A critical finding was that key practitioners were being overburdened with activities. Ensuring process governance was being informally done by placing these key individuals as gatekeepers to systems. This significantly impacted the workloads of these mission-critical people. As a result, process controls were implemented based on user access rights that improved retention and enabled the expansion of the capabilities of the entire organization.

OrgAnalyst <sup>®</sup> Client Configuration Management (CM) Study IT Support Costs - Grouped by CM Areas of Decision Making							
Summary Report:							
Study Name	Total Organizational Activity Cost Captured	% of Total CM Costs	% of Total CM Hours	AVG Reports (Study-Level)	AVG IT FTE	AVG Concentration	AVG FTE Costs (Study-Level)
IT Support for CM	\$ 2,308,582	23%	13%	51.75	11.30	4%	\$ 66,352
Area of Decision Making (ADM)	Total Organizational Activity Cost Captured	% of All ADM Costs	# of IT ADM Hours	AVG Reports (ADM-Level)	AVG ADM FTE	ADM Concentration	Actual FTE Costs (ADM-Level)
Approval of business case to proceed	\$ 328,610	14.23%	5,174	8.71	2.91	3.96%	\$ 59,383
Develop draft configuration change	\$ 114,583	4.96%	1,760	6.83	0.99	2.19%	\$ 59,762
Test draft configuration change	\$ 124,704	5.40%	1,933	17.80	1.09	2.74%	\$ 57,133
Finalize configuration change instructions	\$ 14,476	0.63%	224	3.33	0.13	1.25%	\$ 58,034
Certify change documentation	\$ 64,897	2.81%	1,143	5.50	0.64	2.29%	\$ 52,322
Manage initial configuration change	\$ 4,231	0.18%	65	1.50	0.04	1.08%	\$ 64,200
Manage service fleet configuration update	\$ 473,006	20.49%	9,355	5.07	5.27	8.29%	\$ 49,762
Provide stakeholder communications	\$ 29,785	1.29%	414	3.00	0.23	7.77%	\$ 63,887

