



Governance Analysis Using Enterprise Architecture

ABID SULTAN

4.1 Responsibilities Imposed by Sarbanes-Oxley

- ▶ Typical Internal Control Questions
 - ✓ For data: What do the data represent?
 - ✓ How are the data processed?
 - ✓ Where are they used? Who is responsible for the data?
 - ✓ When are the data used?
 - ✓ Why are the data needed?
 - ✓ Do these data support the strategic and tactical business plans?

4.1 CONT...

- ▶ For processes:
 - ✓ How do we execute our processes?
 - ✓ What data do they use?
 - ✓ Where are they processed?
 - ✓ Who is responsible for the processes?
 - ✓ When are these processes used?
 - ✓ Why are the processes needed?
 - ✓ Do they support strategic and tactical business plans?

4.1 CONT....

- ▶ For locations:
 - ✓ What data does the location need?
 - ✓ How are processes executed in the location?
 - ✓ Who is responsible for the location?
 - ✓ When is the location involved in key events?
 - ✓ Why does the location exist for the enterprise?
 - ✓ Do the business plans for each location support the strategic and tactical business plans?

4.1 CONT...

- ▶ For business units or people:
 - ✓ What data do the business units need?
 - ✓ How are key processes executed in each business unit?
 - ✓ Where is each business unit located?
 - ✓ Who is responsible for the business unit?
 - ✓ When is the business unit involved in key events?
 - ✓ Why does each business unit exist?
 - ✓ Do the business plans for each business unit support the strategic and tactical business plans?

4.1 CONT.....

- ▶ For business events:
 - ✓ What data does each business event need?
 - ✓ Which processes are initiated by each business event?
 - ✓ Where do business events occur?
 - ✓ Who is responsible for these business events?
 - ✓ When do they occur?
 - ✓ Why do they occur?
 - ✓ Do the business events support the strategic and tactical business plans?

4.1 CONT....

- ▶ For business plans:
 - ✓ What data do the business plans need?
 - ✓ How do processes support the business plans?
 - ✓ Which locations do the business plans apply to?
 - ✓ Who is responsible for these business plans?
 - ✓ When does each event occur that supports the business plans?
 - ✓ Why do the business plans exist?
 - ✓ Do tactical and operational business plans support the strategic plans?

4.2 Governance Analysis Framework (GAF) for Sarbanes-Oxley

- ▶ Data matrices
- ▶ Location matrices
- ▶ Business event matrices
- ▶ Business plan matrices

4.2.1. Developing a Governance Analysis Framework

- ✓ Strategic data
- ✓ Strategic model
- ✓ Planning statements from strategic

4.2.2 Methods and Tools for Governance Analysis

- ▶ Business plan
- ▶ Strategic model
- ▶ Strategic data
- ▶ Business activities
- ▶ Business activity clusters
- ▶ Business locations
- ▶ Business units
- ▶ Business events

4.3 Step-by-Step Approach for Governance Analysis

- ▶ Step 1—Establish plan for strategic modeling project.
- ▶ Step 2—Capture initial business planning input as catalyst.
- ▶ Step 3—Conduct strategic modeling facilitated session.
- ▶ Step 4—Carry out strategic model analysis.
- ▶ Step 5—Derive governance analysis framework documentation.
- ▶ Step 6—Review matrices and governance implementation plan.
- ▶ Step 7—Manage progressive completion of GAF matrices.
- ▶ Step 8—Manage implementation of governance analysis systems.

