



CIP Initial Assessment Selection Guide

Organization name

Version 0.2

28 July 2015

CIP Initial Assessment Selection Guide

Contents

1. Purpose	3
2. Definitions.....	4
2.1. Three levels of assessment	4
2.2. Types of assessment	5
3. Assessment Selection Process	10
3.1. Do I need to assess?.....	10
3.2. What areas should I assess?	10
3.3. Matching assessment level and type to user need.....	11
Document History	13

1. Purpose

This document is the IVI Capability Improvement Program (CIP) Guide to Initial Assessment type selection. It is intended to answer the following questions for key CIP stakeholders:

1. Do I need to assess?
2. What areas should I assess?
3. Which assessment type(s) are optimal for me?

The choice of the initial assessment is about ensuring key CIP stakeholders have the relevant maturity data for their specific organization context and divers for change.

There are three levels of assessment outlined below. The results of each provide CIP leadership with information to both start the preparation of their overall directional and program strategy and plan, but also make some improvements identified from the analysis of the assessment results.

2. Definitions

Selection of the most appropriate Initial Assessment type typically requires consideration of current and relevant information on:

- Drivers for organizational change (both internal and external)
- The stakeholders that need to be involved in order to create organizational momentum for CIP.
- Resource, timing and other constraints
- Ambition for change and capability improvement
- Project sponsor expectations for speed and depth of assessment

This information is used to create a clear Problem Statement. The robustness of assumptions, scope and clarity of this statement, as well as remaining uncertainties, will help determine the choice of Initial Assessment.

The Problem Statement of organizations selecting an Initial IT-CMF assessment varies widely so IVI has designed a wide range of IT-CMF assessment types to match these diverse needs. The table below summarizes the different capability assessment levels and types available for use in CIP:

IVI CIP Assessment			
Level	Types	Main Characteristics	Key Outputs
1. Triage	<ul style="list-style-type: none"> • Accelerator Survey • Service Mgmt Capability Survey (x-SMCD) • Cloud Survey 	<ul style="list-style-type: none"> • Survey only with data results and pointers to CCs • Minimal evaluation 	<ul style="list-style-type: none"> • Self-reported maturity levels • Implied improvement priorities • Clarification of organizational problem statement
2. Global	<ul style="list-style-type: none"> • Full Executive Assessment • Fast Executive Assessment • Full SMC Assessment 	<ul style="list-style-type: none"> • Holistic IT-CMF view of org. maturity and priorities • Quantitative & qualitative analysis • Survey + Interviews • Root cause analysis • CC priorities • Strategic improvement themes (based on CC clusters) • Broad recommendations 	<ul style="list-style-type: none"> • Self-reported maturity and importance levels • Validated improvement priorities • Future vision • Actionable recommendations focused around Strategic Improvement Themes with general CC practice improvements • Evaluation of context-related next steps
3. Diagnostic	<ul style="list-style-type: none"> • Full CC Assessment • Fast CC Assessment • CC Theme Assessment (combined CCs around mgmt. issue) 	<ul style="list-style-type: none"> • Deep-dive diagnostic of a single CC or CC theme • Quantitative & qualitative analysis • Survey + Interviews • Root cause analysis • CC/CBB practice improvement priorities based on improvement themes • Detailed practice recommendations 	<ul style="list-style-type: none"> • Validated maturity levels • Validated improvement priorities • Actionable recommendations focused around Improvement Themes with org-specific CC/CBB practice improvements • Evaluation of context-related next steps

2.1. Three levels of assessment

There are three levels of Assessment

1. **Triage.** This level of assessment is simply a self-assessed survey with data points (current & target) that provide high level guidance for strategic direction and process development. This is a high level assessment with minimum evaluation that directs the refining of problem statements and program direction.

2. **Global.** This level of assessment gives empirical maturity level assessment (current and target) for critical capabilities, including quantitative and qualitative analysis leading to organization specific priorities and improvement projects. This assessment includes a self-assessed survey, as well as one-to-one interviews that serve to validate the survey. In some cases, additional strategic and context information is also evaluated.
3. **Diagnostic.** This is a detailed level assessment on focussed Critical Capabilities and their building blocks with quantitative and qualitative analysis and specific guidance on the relevant practices for improvement.

2.2. Types of assessment

Assessment types outline the options for conducting an assessment at each level. They are determined by the resources, context, time and depth required by the user in conducting the assessment.

Level 1 Assessments

- **Accelerator.** A 20-question survey (separate questionnaires for Business and IT participants). This survey identifies ten fundamental technology management issues, organized into three progressive value steps. Essentially, these steps represent the building blocks that an organization will establish as they build their ability to deliver business value. Operational foundations must be in place to enable support of business and customer objectives. The higher steps of agility and innovation must be built on the foundations of the prior two steps. Each management issue is driven by a set of interdependent (core) Critical Capabilities

This assessment is designed to be highly accessible by business practitioners who are often unfamiliar with technology terminology. Accelerator is therefore organized around management issues rather than by the components of the IT-CMF.

Accelerator is ideal for introducing the IT-CMF to an overall organization or to targeted business stakeholders. The survey can be completed very quickly and can provide rapid first-pass feedback on priority technology issues.

Value Step	Technology Management Issue	Capabilities			
		Anchor	Core		
Agility & innovation	IT-enabled business Innovation	IM	RDE	UED	KAM
	Architectural agility	EAM	BPM	PAM	UED
Business enablement	Value governance	BAR	PPP	PM	ITG
	Strategic integration of business & IT	SP	BPM	PPP	PM
	Business-IT operational partnership	RAM	ITG	PM	SP
	Data, information & security	EIM	ISM	EAM	RM
IT operational excellence	Cost management	TCO	AA	BOP	BGM
	Project & program delivery	PPM	SD	BAR	PM
	Organization & people management	ODP	ITG	PAM	SRC
	Service management & quality	SRP	CFP	DSM	SD

- **Service Management Capability (SMC) Survey** (formerly SMCD). A 70-question survey based on ISO 20000 categories and processes (linked to ITIL processes). It measures service management maturity with improvement recommendations linked to IT-CMF CCs. Can be used to give a broad view of ITIL maturity.

Category	Capability Building Block
Management System	Management Responsibility
	3rd Party Governance
	Documentation
	Resource Management
	Improvement Cycle
Service Delivery	Design & Transition
	Service Level Management
	Service Reporting
	Availability & Continuity
	Financial
Relationship	Capacity Management
	Information Security
Resolution	Business Relationship
	Supplier Management
Control	Incidents & Requests
	Problem Management
Control	Configuration Management
	Change Management
	Release & Deployment Management

- **Cloud Readiness Survey.** A 24-question survey that provides an organization with a high level assessment to rapidly understand their ability to adopt and manage a cloud environment based on eleven key capabilities.

Life Cycle Stage	Life Cycle Step	CC
Architect	1. Investigate	ITG
		BP
		SP
	2. Identify	SRC
EAM		
3. Implementation Strategy	BP	
	RM	
4. Design	SRP	
	Engage	5. Select
6. Negotiate		SRC
Operate	7. Roll Out	RM
		SD
		SRP
	8. Manage the Supply Chain	CFP
		SRC
		TIM
		SD
		SRP
Refresh	9. Review	TCO
		BP
		SP
		SRC

Level 2 Assessments

- **Full Executive Assessment.** Provides a high-level comprehensive view of current and target state in the IT-CMF's 35 Critical Capabilities (CCs). It assesses overall IT maturity, with broad recommendations for improvement. This assessment helps to identify:
 - CC improvement targets for priority capabilities
 - CCs for potential further assessment (deep dives)
 - Improvement themes showing interdependent clusters of CCs to improve in concert

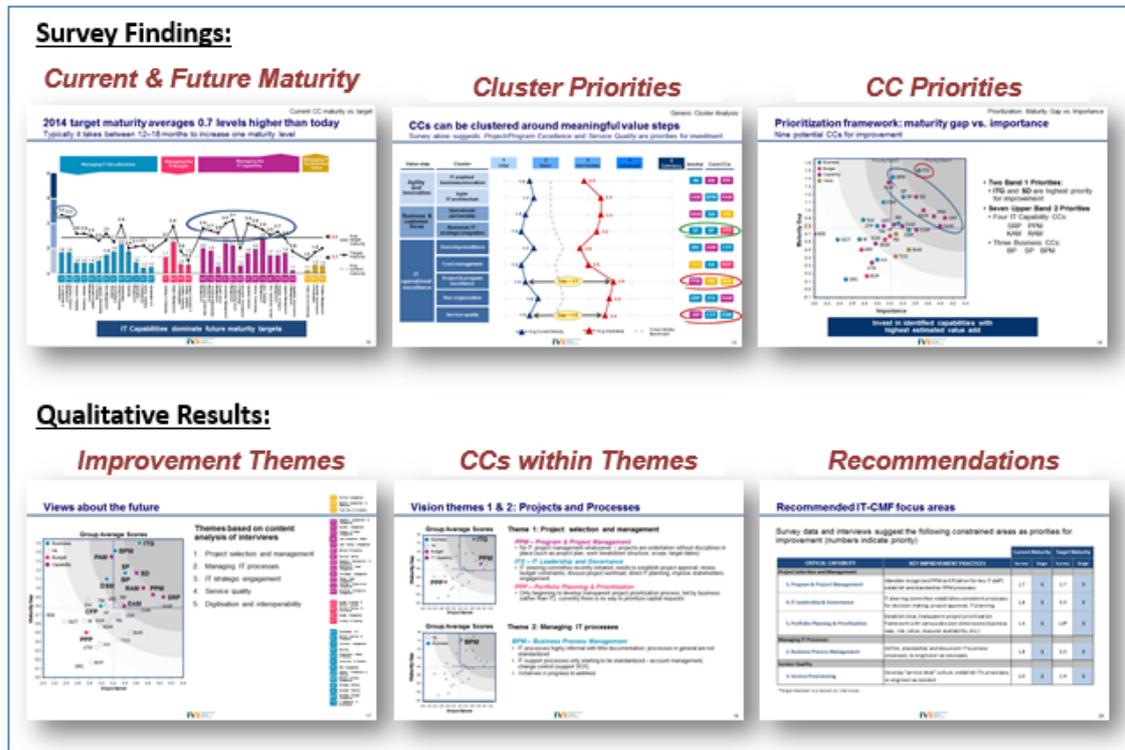
The Full Executive Assessment (EA) includes an online maturity survey, 10-20+ individual interviews and comprehensive analysis of improvement themes, recommendations, including broad practice improvements.

The EA process is summarised below:

1. Assessment kick-off meeting – survey coaching
2. Online survey (external validation of survey results optional)
3. Follow-up participant interviews
4. Analysis of quantitative and qualitative results
5. Final report with improvement recommendations

The EA may be conducted at any level in an organization, but **typically it is enterprise-wide**, except in larger global organizations, when it is sometimes run in organizational units and areas several management layers below the CIO. When not being used on an enterprise scale, the purpose needs to be considered carefully.

A sample of EA outcomes is shown below:



- **Fast Executive Assessment.** The Fast EA is a lower effort, time and cost option for the EA, with the trade-off being a reduction in scope. This means fewer survey participants and interviewees, fewer background documents reviewed, no or limited root-cause analysis and no practice based validation of self-assessed maturity levels. Less analysis can also mean lower depth of insights generated in the assessment process.
- **Full SMC Assessment.** The Full SMC Assessment (SMCA) is a higher effort version of the SMC survey, in terms of depth of analysis and recommendations. Similar to the EA, the SMCA includes full interviews, improvement theme recommendations, and analysis of current service management practice. This is essentially an Executive Assessment of organizational service management – from both ISO20000 and ITIL perspectives.

Level 3 Assessments

- **Full Critical Capability Assessment.** Provides an in-depth deep dive of an individual Critical Capability. It assesses overall current and target maturity at the detailed level of the Capability Building Blocks (CBBs), and offers detailed specific recommendations for improvements in practices. This assessment helps to identify:
 - Practice improvements required to achieve target maturity for priority CBBs
 - Interdependence of the CC in question with other related CCs as defined in the IT-CMF
 - A comprehensive improvement roadmap

The CC Assessment includes an online maturity survey, 10-20+ individual interviews, analysis of current policies & practices, root cause analysis, defined actions to improve maturity (at the practice level), identification of the potential value delivered.

The CC assessment process is summarised below:

1. Assessment kick-off meeting
2. Online survey
3. Follow-up participant interviews
4. Independent assessor validation of survey scores
5. Analysis of quantitative and qualitative results
6. Recommendations for changes in targeted practices
7. Final report with improvement roadmap

A sample of CC assessment outcomes are shown below:

Findings:

Validated Current Maturity

CBB Priorities

Evaluation of Current Practice & Policy

Results:

Root Cause & Interdependency Analysis

Detailed Practice Recommendations

Improvement Roadmap

- **Fast CC Assessment.** The Fast CC Assessment is a lower time and cost option for the CC assessment, reducing elapsed completion time to 1-3 weeks. This assessment uses facilitated stakeholder workshops for CC education, survey and action planning to accelerate the overall process. The process includes:
 - **Workshop 1:** CC education, survey, survey results, POMs introduction
 - **Analysis:** Small number of interviews, maturity validation, review of policies, practices & tools, practice improvement analysis

- **Workshop 2:** validate & prioritize practice improvements, action planning, assessment reporting & presentation
- **CC Theme Assessment** (formerly Cluster). CC theme assessments are composed of a combination of two or more CCs that are interdependent with each other. While themes and associated CCs can be predefined (as they are in the Accelerator Survey), they are more usually defined by a specific organizational business issue or strategic theme that is a priority for the individual organization.

In practice, the Theme Assessment is conducted as a large CC assessment, with very similar processes, deliverables, and outcomes

3. Assessment Selection Process

3.1. Do I need to assess?

Generally it makes sense to conduct an Initial IT-CMF capability assessment given that organizational capability assessments provide:

- A baseline against which to measure improvement
- Clear priorities of what to improve first – critical when there are resource constraints of any type.
- Recommendations and clear guidance on management practices and areas to improve

The exceptions to this general rule are in situations where there is/are:

- No senior project sponsor
- Resource constraints blocking a viable assessment; e.g. budgetary, key participant availability
- Other much higher organizational priorities; e.g. large-scale crisis resolution
- Significant organizational instability; e.g. an on-going major re-organization

However, given the strategic importance of capability improvement for most organizations, it is recommended that these exceptions should be viewed simply as a CIP program delay, with a decision to postpone starting the initial assessment by a fixed period, even if it's for 9 months or a year.

3.2. What areas should I assess?

The starting point for identifying areas to assess is a clear Problem Statement. If it's well written, it will provide clear guidance on the areas that would most benefit from an assessment.

Some project sponsors may find it difficult to articulate a problem statement since they have insufficient information to make a judgement; e.g. a new CIO. This in itself can be the problem statement; e.g. *"The new CIO needs to establish a global baseline view of XY's organizational IT capability maturity and capability gaps, so she can prioritise her management time and resources and sell her initial capability improvement plans to her colleagues"*. It would indicate a need for a Global Assessment; e.g., a Full or Fast Track Executive Assessment.

How to generate an effective Problem Statement

A Problem Statement provides a compelling case for change in areas aligned to the perspectives of key stakeholders on:

1. **What needs to be improved within the organization?** - The ambition for change, i.e. Is incremental, transitional, or transformational change needed? (change levels 1 to 3 respectively)
2. **Why it is important to improve?** (specifies business impacts of the problem and urgency)
3. **How to improve it?** (method or approach)

A powerful Problem Statement clearly and concisely identifies which organizational and technical qualities are needed to deliver on strategic performance ambitions.

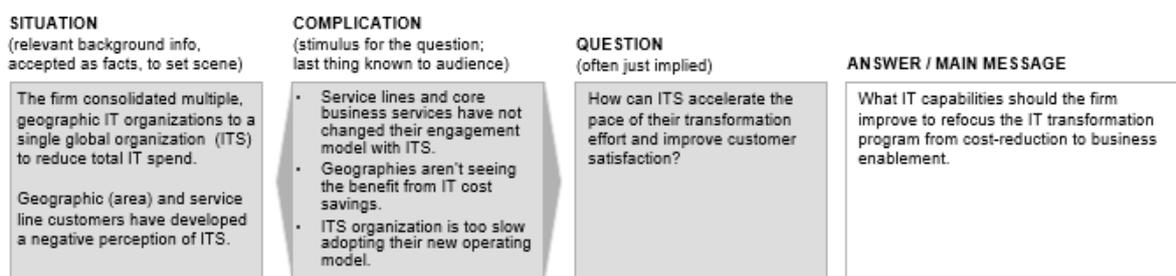
An effective technique for developing a Problem Statement is the Minto Pyramid Principle, which defines the **SCQ technique** (Situation, Complication, Question). The SCQ technique provides a logical flow to define a problem.

SCQ components can be defined as follows:

- **Situation** – State the current situation or establish the context, accepted as facts, to set scene; this is a statement about the subject with which may be common knowledge. (Also called “the opening scene”)
- **Complication** – Describe the complicating event that create the tension, or raises the issue in the situation (e.g., what has changed). This provides stimulus for the question. (Also called “the disturbing event”)
 - **Undesirable Results:** the Complication can be elaborated on by defining the observable, quantifiable negative impact triggered by the Complication
- **Question** – Articulate the implicit question that results from the complication. This addresses what needs to be done to resolve the tension.

The answer to the question is what the assessment will result in.

An example is shown below:



The Problem Statement will be underpinned by assumptions. Key assumptions should be identified and wherever possible, underpinned by relevant and up-to-date facts that validate them.

Sometimes it's not possible to arrange a workshop and the potential project sponsor will simply and briefly describe a problem verbally, perhaps based on their own intuition and in a conference call. It is essential that the IVI/IVI Partner Advisor documents and agrees this Problem Statement in writing with the project sponsor, since it is the key piece of information that informs the selection of assessment type.

3.3. Matching assessment level and type to user need

The outcome of defining (or trying to define) an Initial Assessment Problem Statement will clarify the requirement and the assessment type to start with. The majority of CI Programs will use an Executive Assessment as the initial guiding direction. That may not always be the case, however. The following outlines five typical starting points for assessment selection:

1. **Undefined need and/or uncertain motivation for change amongst key stakeholders**
 - *Requirement:* More information to aid problem definition
 - *Assessment level & type:* **Level 1: Accelerator**
2. **Undefined need, but with a desire to address a specific domain, such as Service Management or Cloud**
 - *Requirement:* Quick answer to a broad problem or issue
 - *Level & type of assessment:* **Level 1: Accelerator (business issue) or SMC survey (service management issue) or Cloud Readiness survey (cloud issue)**
3. **Need for change identified with a potentially complex range of problems. Perhaps new CIO.**
 - *Requirement:* Global view of IT capabilities

- *Level & type of assessment: **Executive Assessment (Fast/Full) or Full SMC Assessment***

4. Identified need for change around a complex strategic or management theme

- *Requirement: Detailed improvement roadmap to a broad problem or issue that spans more than one CC*
- *Level & type of assessment: **Level 3: CC Theme Assessment***

5. Problem Statement indicates a specific IT or organizational capability that maps to a single CC

- *Requirement: Deep-dive diagnostic around the IT or organizational capability specified in the Problem Statement*
- *Level & type of assessment: **Level 3: Deep-dive CC Assessment (Fast/Full)***

An overview of these five starting points is shown in the following table:

Starting Point	Problem Statement	Assessment	Output	Level of Change	Input to Phase 2
1. Overall need undefined	Unspecified	<ul style="list-style-type: none"> • Accelerator (L1) 	<ul style="list-style-type: none"> • Problem Statement defined and clarified 	1 or Unspecified	Not directly
2. Targeted domain	Unspecified (or) Focused on single product issue	<ul style="list-style-type: none"> • Service Management Capability (SMC) Survey (L1) • Cloud survey (L1) 	<ul style="list-style-type: none"> • Problem Statement clarified • Priority CCs identified for Phase 2 assessments 	1,2	YES
3. Need for change identified (global view sought)	Specified	<ul style="list-style-type: none"> • Executive Assessment* (L2) • SMC Assessment (L2) 	<ul style="list-style-type: none"> • Priority CCs identified for Phase 2 assessments • Priority CCs identified for Phase 2 assessments 	1,2,3	YES
4. Need for change in complex management theme	Specified	<ul style="list-style-type: none"> • Management/CC Theme Assessment (L3) 	<ul style="list-style-type: none"> • Priority CCs identified for Phase 2 assessments • Practice improvements & change roadmap 	1,2,3	YES; may be done in Phase 2
5. Point solution - specific (single) Capability	Specified	<ul style="list-style-type: none"> • CC Assessment* (L3) 	<ul style="list-style-type: none"> • Practice improvements & change roadmap 	1	(normally done in Phase 2)

Selection of Fast or Full assessments

FAST assessments provide results in that they are directional rather than evaluative or diagnostic. Their size, scope, effort and hence cost is less than the equivalent FULL assessment. They provide the user with either a quick start or the ability to make a more informed directional statement in the target need domain. They lack the in-depth problem diagnosis, document review, root-cause analysis and more detailed recommendations of a FULL assessment.

Document History

Revision

Version	Filename	Description of Change	Author	Date
1.0	CIPv1.P1.A1.04.Guide to Assessment Selection.docx	V1 Final	D. Trevitt, M. Porter	5 Aug 2015

Authorization

	Name	Signature	Date	Version
Prepared by:				
Reviewed by:				
Released by:				

Acceptance Signatures

Advisor Organization		Customer Organization
Name		
Date		
Signature		

Associated Documents

Title	Description	Version
CIPv1.P0.A0.00. Standard IVI CIP Artefact Template.docx	CIP document format template	V1