Palladium

MAKE IT POSSIBLE

21st Century INPI

Benchmarking Questionnaire: IT Workstream

Contents

Introduction

21st Century INPI, Benchmarking and IT

In the context of the changes brought by the 4th Industrial Revolution, the Brazilian Intellectual Property Office, the INPI - *Instituto Nacional de Propriedade Industrial*, started an important improvement journey, aiming at taking its IT Services to a higher level, with even more quality, efficiency and efficacy.

To make it possible, a lot of actions are being taken by the INPI, and the International Benchmarking initiative, that is presented in this document, is one of that. In a general overview, what is intended is to identify how important aspects related to IT Services are managed, planned and implemented by different IP Offices around the world.

In this context, having your IP Office as a reference organization, the INPI invites you to answer the benchmarking questionnaire presented below, which only addresses Information Technology (IT) subjects. More specifically, the questions are focused on aspects related to IT Services.

As a way to say thank you for all the attention, effort and help of your IP Office and team, we would like to offer a small retribution, in a form of a feedback with a comparative analysis of your answers, strictly attending all the confidentiality concerns. We would feel very glad with your acceptance, so please let us know if you want to receive it.

Finally, we would like to thank you so much for all your attention and collaboration, and also to put ourselves at your disposal for any further clarification.

Thank you!

Understanding the questionnaire

Questionnaire Overview

Aiming at a deeper understanding of the IT Services, the INPI's IT Benchmarking Questionnaire is divided into Thematic Blocks and Sections, as presented below:

- Thematic Block 1 – Strategic Overview:
    - Section 1 – Strategy and Planning;
    - Section 2 – Financial Management;
    - Section 3 – Goals and Priorities.

- Thematic Block 2 – Understanding the IT Services and its Management:
    - Section 4 – IT Services Portfolio and Catalogue;
    - Section 5 – Service Level and Business;
    - Section 6 – Operation and Validation;
    - Section 7 – Continual Improvement;
    - Section 8 – Measure and Report.

- Thematic Block 3 – Operation and Development:
    - Section 9 – Capacity, Availability and Continuity;
    - Section 10 – IT Architecture;
    - Section 11 – Transformation.

- Thematic Block 4 – IT Department Day-to-Day:
    - Section 12 – Demands Management;
    - Section 13 – Changes;
    - Section 14 – Requests;
    - Section 15 – Incidents and Problems.

- Thematic Block 5 – Security:
    - Section 16 – Access and Information Security;
    - Section 17 – Assets and Events;
    - Section 18 – Knowledge;
    - Section 19 – IT Audit.

The division of the questionnaire under thematic blocks and sections aims to ease the identification of the question's subject. In addition, every section begins with an abstract that briefly contextualizes the purpose of each set of questions.

This Thematic Blocks and Sections structure enables the questionnaire to be handled in modules, allowing them to be answered separately, by different respondents, without compromising quality and result.

However, if the questionnaire is answered by different respondents, we ask you to fill in the identification fields that are available in each Thematic Block, as exemplified below.

Respondent's Full Name	
Oganization/Department	
Position in the organization	
Email address	
Phone Number	

Each Thematic Block and Section presents a different total number of questions, but their question's structure is always the same, as the following example:

1. **Questions' text**

   Answer field to be completed in written text.

   [ ] Checkbox to answer "no".

   Comments field to enable the insertion of additional information to the answer.

In relation to the "answer" field, we kindly ask you to include, whenever possible, version, update year, edition, manufacturer, etc., and every information that could ease the understanding, identification, localization and disambiguation of your answer. If the answer refers to the ITIL framework, for example, we would be glad if it its version number were mentioned.

Lastly, in what concerns to the "comments" field, we gently ask you to complete it with every additional information that could contribute with the answer's better comprehension.

We thank you again for all your help and, if you need any further clarification or assistance regarding this IT Benchmarking Questionnaire, please contact our IT Workstream team:

IT Workstream

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Alinne Beteto – Workstream Consultant – albeteto@gmail.com - +551196308-2296

Thank you!

Thematic Block 1 - Strategic Overview

Content:

Total number of questions: 28

Identification

Before answering the questions, please fill in the identification fields below.

Respondent's Full Name	
Oganization/Department	
Position in the organization	
Email address	
Phone Number	

Section

01

Strategy and Planning

Abstract: The following questions aims to understand the IT Department's strategic aspects, including its strategic processes and the conversion of strategic plans into tactical plans, to meet the established goals.

1. **How is the IT Strategic Plan made?**
    Please describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:
    _____

    [   ] There is no IT Strategic Plan.

    Comments:
    _____

2. **How and how often is the strategic alignment made between the IT department and the organization's goals?**
    Please, describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:
    _____

    [   ] There is no strategic alignment between the IT department and the organization.

    Comments:
    _____

3. **Which actions are held by the IT Department to ensure that the organization's Strategic Plan has the technological support needed, in terms of material and human resources, as well as IT Services?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:
    _____

    [   ] The IT Department does not take any actions to ensure that the organization's Strategic Plan has the technological support needed.

    Comments:
    _____

4. **How and by who (position in the organization/department/company/etc.) is developed the architecture of new IT Services and the architecture of change in existing IT services?**

Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[   ] There is no architecture of new IT Services or architecture of change for existing IT Services.

Comments:

_____

5. **How the IT Services projects are coordinated in what concerns to the Services Architecture?**
   Please describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   _____

   [   ] There are no Services Architecture.
    Comments:

   _____

6. **How the IT Services quality control is made at the service architecture phase?**
   Please describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   _____

   [   ] There is no quality control in the service architecture phase.

   Comments:

   _____

7. **How, and based on which criteria, it is made the planning for the start of operation of an IT Service?**
   Please describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   _____

    [   ] There is no planning for the start of operation of a service.

   Comments:

   _____

8. **How the IT Department supports the organization's mission, vision and values?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

[   ] The IT Department doesn't support the organization's mission, vision, and values.

Comments:

9. **How is the organization's IT Governance structured; which governance actions are implemented; and who (position in the organization/department/company/etc.) is responsible for the IT governance subject?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   [   ] The organization doesn't have an IT Governance implemented.

   Comments:

10. **Which IT operational results are reported to the IT Governance?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    [   ] The organization doesn't have an IT Governance implemented.

    Comments:

11. **Which aspects are monitored by the IT Governance?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    [   ] The organization doesn't have an IT Governance implemented.

    Comments:

12. **How the IT Department defines the value delivery/generation/creation to its consumers, including the whole organization; how it happens in practice; and how the value is measured?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

[   ] The IT Department doesn't have a "value" concept on its processes.

Comments:

---

13. **How the IT Department's consumer contributes, in practice, with the value creation/delivery/generation; how this value is measured; and who (position in the organization/department/company/etc.) is responsible for this measurement?**
Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

[   ] The IT Department doesn't have a "value" concept on its processes.

Comments:

---

14. **How the IT Services Lifecycle are structured?**
Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

[   ] The IT Department doesn't have an IT Services Lifecycle structured.

Comments:

---

15. **How the Agile Methodologies are adopted and implemented by the IT Department?** Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

[   ] The IT Department does not adopt Agile Methodologies.

Comments:

---

16. **How the organization's IT Department is structured in terms of people, resources, activities, etc.?**
Please, describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

[   ] The organization's IT Department does not have any structure. In this case, please, specify in the comments how people, resources and activities interact in the IT Department.

Comments:

_____

17. Which guidance, guidelines, standards, rules, etc., guide the IT Department?
Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[   ] The IT Department doesn't follow any guidance, guidelines, standards, rules, etc.

Comments:

_____

18. How the guidance, guidelines, standards, rules, etc. that guide the IT Department are monitored; how often; and by who (position in the organization/department/company/etc.)?
Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[   ] The guidance, guidelines, standards, rules, etc. that guide the IT Department aren't monitored.

Comments:

_____

Section

02

Financial Management

Abstract: The following questions aims to understand how the IT Department manages its financial aspects.

1. **How it is made and who (position in the organization/department/company/etc.) is responsible for the IT Department Financial Planning, in what concerns to the IT Services?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [   ] The IT Department doesn't have any Financial Planning concerning the IT Services.

   Comments:
   _____

2. **How is it made and who (position in the organization/department/company/etc.) is responsible for analysing the financial impact of an IT Service change requested by consumer; which criteria are considered for the financial approval of the IT Service change?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [   ] The IT Department does not have any financial impact analysis concerning IT Services change requests.

   Comments:
   _____

3. **How and in what proportion the costs, expenses and investments related to the IT Services are internally shared between the organization's departments?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [   ] The IT Services costs, expenses and investments are not shared.

   Comments:
   _____

Section

03

Goals and Priorities

Abstract: The following questions aims to understand how the IT Department goals are determined and how the IT demands are addressed in what concerns to queues, delays and risks related to the IT Services provision.

1. **How is it made and who (position in the organization/department/company/etc.) is responsible for establishing the IT Department goals?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [   ] The IT Department does not have any goals to follow.

   Comments:
   _____

2. **How, how often and by who (position in the organization/department/company/etc.) is the alignment made between the IT Department goals and the Organization's goals, including strategic goals?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including corresponding versions, in your answer.

   Answer:
   _____

   [   ] The IT Department does not have any goals to follow.

   Comments:
   _____

3. **How, how often and by who (position in the organization/department/company/etc.) it is made the analysis of the IT Department capability on following the goals established, in what concerns to material resources, human resources, deadlines and conciliation with the already existing demands; which criteria guides the decision of maintaining, changing or removing the goals?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [   ] The IT Department does not have any goals to follow.

   Comments:
   _____

4. **How and who (position in the organization/department/company/etc.) monitors and measures the IT Department goals accomplishment?**

Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[   ] The IT Department does not have any goals to follow.

Comments:

_____

5. **How and who is responsible for managing queues, delays and risks concerning the IT Services provision?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   _____

   [   ] The IT Department does not have any management concerning queues, delays, and risks on the IT Services provision.

   Comments:

   _____

6. **Which prioritization techniques are adopted by the IT Department to manage demands?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   _____

   [   ] The IT Department does not adopt any demand prioritization technique.

   Comments:

   _____

7. **How the IT Department aligns its priority demands with the priority demands of its consumers and with the priority demands of the organization's direction?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   _____

   [   ] The IT Department doesn't have demand prioritization. In this case, please, specify below if the resources are enough and how the demands are taken.

   Comments:

   _____

Thematic Block 2 Understanding the IT Services and its Management

Content:

Total number of questions: 21

Identification

Before answering the questions, please fill in the identification fields below.

Respondent's Full Name	
Oganization/Department	
Position in the organization	
Email address	
Phone Number	

Section

04

IT Services Portfolio and Catalogue

Abstract: The following questions aims to understand how the IT Department plans and manages new IT Services, as well as how the existing IT Services are maintained from the managerial point of view. The questions also focus on the understanding of how the organization manages each IT Services information, according to its consumers.

1. **What the organization understands by "IT Services"?**

    Answer:
    _____

    [   ] There is not a concept of IT Services defined in the organization.

    Comments:
    _____

2. **Which IT Services composes the organization's IT Services Portfolio? Describe the IT Services, mentioning their purposes and indicating where they are documented.** Please cite examples, methodologies, frameworks, software, tools, etc., including versions, in your answer.

    Answer:
    _____

    [   ] There is not a portfolio for the IT Services.

    Comments:
    _____

3. **Which analyses are made by the IT Department before the creation of a new IT Service or before modifying an existing one?**
    Describe the steps and processes that are adopted, cite examples, methodologies, frameworks, software, tools, etc., including versions, in your answer.

    Answer:
    _____

    [   ] The IT Department does not perform any analysis related to IT Services creation or modification.

    Comments:
    _____

4. **Which are the metrics applied to IT Services, in order to map performance results? Describe the main performance indicators for each IT Service and their objectives.** Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including versions, in your answer.

    Answer:

[   ] No metrics are applied to IT Services.

Comments:

5. **How is the IT Services Catalogue structured and where is it made available to the IT Department consumers?**
   Please, describe the main content of the IT Service Catalogue, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   [   ] There are no IT Services Catalogue.

   Comments:

6. **What information about the IT Services are documented in the IT Services Catalogue?** Please cite examples, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   [   ] There are no IT Services Catalogue.

   Comments:

Section

05

Service Level and Business

Abstract: The following questions aim to understand the relationship between the IT Department and its consumers, in order to promote consumer's satisfaction through the fulfillment of Service Level Agreements.

1. **What are the IT Services communication channels offered by the IT Department to receive requests from its internal consumers? Describe the communication channels, for what kind of requests each one are used and how and by who (position in the organization/department/company/etc.) the requests received through them are managed.**
   Please cite the tools, software etc., including their versions, in your answer.

   Answer:

   _____

   [   ] The IT Department do not offer any IT service communication channel.

   Comments:

   _____

2. **How and how often the IT Department evaluates its internal consumer's satisfaction concerning the IT Services?**
   Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including versions, in your answer.

   Answer:

   _____

   [   ] The IT Department does not evaluate consumer satisfaction.

   Comments:

   _____

3. **How it is made, by who (position in the organization/department/company/etc.) and which parameters are considered by the IT Department to establish an IT Service Level Agreement?**
   Please, describe tools, methodologies, frameworks, software, etc., including their versions, in your answer.

   Answer:

   _____

   [   ] The IT Department does not establish any IT Service Level Agreement.

   Comments:

   _____

4. **How the IT Department measures and reports the IT Services performance results and who (position in the organization/department/company/etc.) receives this information?**
   Please, describe tools, methodologies, frameworks, software, etc., including their versions, in your answer.

Answer:

[   ] The IT Department does not measure the IT Services performance results.

Comments:

5. **How the IT Department measures its consumer's satisfaction regarding Service Level Agreements accomplishment?**
   Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including versions, in your answer.

   Answer:

   [   ] The IT department does not measure its consumer's satisfaction regarding the Service Level Agreements accomplishment.

   Comments:

Section

06

Validation and Operation

Abstract: The following questions aims to understand how the IT Department addresses the processes concerning the IT Services validation and its start of operation.

1. **Which actions are adopted by the IT Department to guarantee the IT Services quality, before turning it available on the production environment?**
   Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including versions, in your answer.

   Answer:
   _____

   [   ] The IT Department does not adopt any IT Services quality actions.

   Comments:
   _____

2. **Which are the steps or processes that the IT Department must follow to turn a new IT Service or a change in an existing IT Service available on the production environment?** Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including versions, in your answer.

   Answer:
   _____

   [   ] The IT Department does not adopt any steps or processes before turning an IT Service available on the production environment.

   Comments:
   _____

3. **How new IT Services or changes in existing IT Services, turned available on the production environment, are communicated by the IT Department to its consumers and to those responsible for the technical support?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including versions, in your answer.

   Answer:
   _____

   [   ] The IT department does not communicate IT Services turned available on the production environment.

   Comments:
   _____

Section

07

Continual Improvement

Abstract: The following questions aims to understand the IT department actions related to the IT Services continual improvement.

1. **Which are the IT Services continual improvement processes currently adopted by the IT Department; and how they are implemented?**
   Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including versions, in your answer.

   Answer:
   _____

   [   ] The IT Department does not adopt any IT Services continual improvement process.

   Comments:
   _____

2. **How the continual improvement area is structured in the IT Department, who (position in the organization/department/company/etc.) is responsible for it and how its managed?**
   Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including versions, in your answer.

   Answer:
   _____

   [   ] There is not a continuous improvement area in the IT Department. In this case, please, specify in the comments field below how the continuous improvement actions are managed.

   Comments:
   _____

Section

08

Measure and Report

Abstract: The following questions aims to understand the organization's and the IT Department's existing processes and the metrics that are adopted by both to support the decision making, reducing its uncertainty levels.

1. **Which metrics, frameworks and methodologies are adopted by the organization and by its IT Department, in order to support the continual improvement processes and the decision making, reducing its uncertainty levels?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:
    _____

    [   ] The organization and its IT Department do not adopt any metrics, frameworks, or methodologies to support the continual improvement processes and decision making.

    Comments:
    _____

2. **Which organization's and IT Department's aspects are monitored in order to support the continual improvement processes and the decision making, reducing its uncertainty levels; how often are these aspects monitored and how are they classified and treated?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:
    _____

    [   ] The organization and its IT Department do not monitor any aspects to support the continual improvement processes and the decision making.

    Comments:
    _____

3. **Who (position in the organization/department/company/etc.) is responsible for leading each metric and its monitoring in practice; how and how often the monitoring results are reported; and who receives and analyses the reports?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:
    _____

    [   ] The organization and its IT Department do

Comments:

4. **Which actions are taken in practice by the organization, and also by its IT Department, in relation to the metrics monitoring results; who (position in the organization/department/company/etc.) is responsible for leading the practical actions; and how are they measured?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   [   ] The organization and its IT Department do not monitor any aspects to support the continuous improvement processes and the decision making.

   Comments:

5. **How the organization, and also its IT Department, defines the goals to be measured; who is responsible for this decision; how often and based on which criteria the goals measured are redefined?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   [   ] The organization and its IT Department do not measure any goals.

   Comments:

Thematic Block 3 - Operation and Development

Content:

Total number of questions: 39

Identification

Before answering the questions, please fill in the identification fields below.

Respondent's Full Name	
Oganization/Department	
Position in the organization	
Email address	
Phone Number	

Section

09

Capacity, Availability and Continuity

Abstract: The following questions aims to understand how the IT Department addresses the IT Services capacity, availability, and continuity, in relation to support and operation.

1. **How the IT Department ensures the IT Services availability?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including versions, in your answer.

    Answer:
    _____

    [   ] The IT Department doesn't ensure the IT Services availability.

    Comments:
    _____

2. **How the IT Services availability is monitored; which kind of monitoring is made; how and how often the monitoring results are reported; who (position in the organization/department/company/etc.) reports the monitoring results and who analyses it?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:
    _____

    [   ] The IT Department doesn't monitor the IT Services availability.

    Comments:
    _____

3. **Which practical actions are taken by the IT Department regarding the IT Services availability monitoring results; how the results are classified and treated?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:
    _____

    [   ] The IT Department doesn't take any practical actions regarding the IT Services monitoring results.

    Comments:
    _____

4. **Which practical actions are taken by the IT Department to ensure that each IT Service will be capable to support current and future demands?**

Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[ ] The IT Department doesn't take any practical actions to ensure that the IT Services will be capable to support current and future demands.

Comments:

_____

5. **How the IT Services capacity is monitored regarding the demands; what kind of monitoring is made for each IT Service provided; and which are the main aspects observed in each monitoring?**
Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[ ] The IT Department does not adopt any kind of IT Services capacity monitoring.

Comments:

_____

6. **Which practical actions are taken by the IT Department regarding the IT Services capacity monitoring results; how the results are classified and treated?**
Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[ ] The IT Department doesn't take any practical actions regarding the IT Services monitoring results.

Comments:

_____

7. **How and by who (position in the organization/department/company/etc.) the IT Services continuity plans are made; how and where they are documented; how and how often they are reviewed; and which practical actions are taken regarding to them?** Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[ ] There aren't IT Services continuity plans.

Comments:

_____

Section

10

IT Architecture

Abstract: The following questions aims to understand the aspects that composes the IT Department's Architecture.

1. **How the IT Department Architecture is mapped, described, and documented; which framework is used to describe the architecture and its resources?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   [   ] The IT Department Architecture is not documented.

   Comments:

2. **How the IT Department's Target Architecture is mapped, described and documented; which framework is used to describe the target architecture and its needed resources?** Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   [   ] The IT Department doesn't have any Target Architecture.

   Comments:

3. **How and by who (position in the organization/department/company/etc.) it is made the IT Department's roadmap to support the evolution from the current architecture to the target architecture; how and where the roadmap is documented; how often the roadmap is reviewed?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   [   ] The IT Department doesn't have any roadmap to support its evolution from the current architecture to the target architecture.

   Comments:

4. **How the IT Department monitors, measures and ensures that the changes made on its resources, products and services support the roadmap to the target architecture?** Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

[ ] The IT Department doesn't have any roadmap to support its evolution from the current architecture to the target architecture.

Comments:

5. **How does the IT Department manage issues that can impact the roadmap from the current architecture to the target architecture; how the roadmap and the target architecture are reviewed from that?**
Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

[ ] The IT Departments does not manage issues that can impact the roadmap from the current architecture to the target architecture.

Comments:

6. **How and how often the IT Department measures and monitors its evolution from the current architecture to the target architecture; who is responsible for that; which metrics are used; how are results reported; and which actions are taken in practice according to the results?**
Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

[ ] The IT department does not measures its evolution from the current architecture to the target architecture.

Comments:

7. **Which continual improvement methods are adopted for the IT Department Architecture Management; how, how often and by who (position in the organization/department/company/etc.) the continual improvement results are measured, monitored and reported?**
Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[   ] The IT department does not adopt any methods for the IT Department Architecture Management.

Comments:

_____

8. **What business processes are supported by the IT Architecture?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   _____

   [   ] The IT Architecture doesn't support any business processes.

   Comments:

   _____

9. **How the IT Architecture supports the business processes needed, in what concerns to data management - collection, organization, protection and distribution?**
   Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including versions, in your answer.

   Answer:

   _____

   [   ] The IT Architecture doesn't support any business processes.

   Comments:

   _____

10. **How the IT Architecture supports the business processes needed, in what concerns to data processing applications; which applications are implemented; how the applications work?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    _____

    [   ] The IT Architecture doesn't support any business processes.

    Comments:

    _____

11. **How the IT Architecture supports the business processes needed, in what concerns to hardware and software requirements?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

[   ] The IT Architecture doesn't support any business processes.

Comments:

Section

11

Transformation

Abstract: The following questions aims to understand how the IT Department develops, executes and supports its IT Services and Information Systems.

1. **How the IT Department implements the agile development; which methodologies are adopted?** Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    [   ] The IT Department doesn't have any agile development methodologies implemented.

    Comments:

2. **How and by who (position in the organization/department/company/etc.) it is made the decision concerning in-house software development or off-the-shelf software acquisition; is there any policies established; which criteria lead the decision making?** Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer**.**

    Answer:

    [   ] There is no in-house software development or off-the-shelf software acquisition. In this case, please, specify your answer in the comments field below.

    Comments:

3. **How the in-house software development team is structured; how many people integrates the in-house software development team; and what are the team's main skills and specializations.**

    Answer:

    [   ] There is no in-house software development.

    Comments:

4. **How and by who (position in the organization/department/company/etc.) it is made the decision about software-house companies hiring; which criteria are taken in count?** Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including versions, in your answer.

    Answer:

[ ] There is no software-house companies hiring.

Comments:
_____

5. **How does the IT Department ensure that the software solutions fulfills the consumer's needs in terms of functionality, reliability, maintenance capacity, compliance and auditability; who is responsible for that; how actions are taken in practice if some adjustment is needed?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:
    _____

    [ ] The IT Department does not ensure that its software solutions fulfills consumer's needs.

    Comments:
    _____

6. **Which are the main software development life cycle phases adopted by the IT Department?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:
    _____

    [ ] The IT Department does not adopt any software development life cycle phase. Please, in this case describe in the comments field below how the software development is structured.

    Comments:
    _____

7. **How it is made software transition from the development environment to the production environment?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:
    _____

    [ ] There is not any established process related to the software transition from the development environment to the production environment. Please, in this case, describe in the comments field below how the software is made available to the IT Department's consumers.

    Comments:
    _____

8. **How and by who (position in the organization/department/company/etc.) it is made the tactical decision concerning the best approach to each software development?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

[   ] There is no tactical decision concerning the best approach to each software development. Please, in this case, describe in the comments field below, how it is made the decision about the software development approach.

Comments:

9. **How and by who (position in the organization/department/company/etc.) it is made the quality evaluation of in-house developed software?**
   Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including its corresponding versions, in your answer.

   Answer:

   [   ] There is no quality evaluation of in-house developed software.

   Comments:

10. **How the in-house infrastructure and technical support teams are structured; how many people integrates each team; and what are the main skills and specializations of each team.**

    Answer:

    [   ] There aren't in-house infrastructure and technical support teams.

    Comments:

11. **How, by who (position in the organization/department/company/etc.) and based on which criteria it is made the decision concerning the outsourcing of IT Services, as those related to infrastructure and technical support?**

    Answer:

    [   ] There is no outsourcing of any IT Service.

    Comments:

12. **How, by who (position in the organization/department/company/etc.) and based on which criteria it is made the decision about outsourcing IT Services or improving the internal IT teams' skills so they would be capable to perform the IT Services needed?** Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including corresponding versions, in your answer.

Answer:

___

[ ] There is no definition about this subject in the organization or in the IT Department. Please, in this case, cite examples about how similar cases have been addressed.

Comments:

___

13. **How the IT Department provides technical support to the business technological solutions, that are implemented by other departments from the organization without the IT Department's agreement and participation?**
Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including versions, in your answer.

Answer:

___

[ ] There are no technological solutions implemented without the IT Department's agreement and participation. Please, in this case specify in the comments field below how this practice is avoided by the organization and by its IT Department.

Comments:

___

14. **How the organization and the IT Department addresses the cases concerning business technological solutions, that are implemented by other departments from the organization without the IT Department's agreement and participation, including in what concerns to information security, hardware damages, inappropriate usage licenses and related risks?**
Please cite examples, and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

___

[ ] There are no technological solutions implemented without the IT Department's agreement and participation.

Comments:

___

15. **Which software development methodology is adopted by the IT Department; why has the methodology been chosen; since when the methodology is being used?**

Answer:

___

[ ] The IT Department doesn't adopt any software development methodology.

Comments:

___

![Palladium logo](MAKE IT POSSIBLE)

16. Which system architecture model is adopted by the IT Department; why the model have been chosen; since when the model is being used?

Answer:

_____

[　] The IT Department doesn't adopt any system architecture model.

Comments:

_____

17. Which methodologies are adopted by the IT Department to address the aspects related to systems resilience; why the methodologies have been chosen?
Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[　] The IT Department doesn't adopt any methodology to address aspects related to systems resilience.

Comments:

_____

18. How the IT Systems are monitored on the production environment, in order to ensure that if its operation comes to be unexpectedly interrupted, its reestablishment will occur as quickly as possible?
Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[　] The IT Systems are not monitored on the production environment. Please, in this case, specify in the comments field below how the IT Systems interruptions on the production environment are addressed.

Comments:

_____

19. Which policies and criteria authorizes the home-office practice in the organization; is there any specific condition concerning the IT Department?

Answer:

_____

[ ] There are no policies and criteria that authorizes the home-office practice.

Comments:
_____

20. **How the IT Department addresses the research, development and innovation activities; how the IT research team is structured; how many people integrates the IT research team; what are the IT research team's main skills and specializations?**

    Answer:
    _____

    [   ] The IT Department doesn't have any IT research, development and innovation activities structured. Please, in this case, specify in the comments field below how the research activities are made by the IT Department.

    Comments:
    _____

21. **How the IT Department takes part in the management and inspection activities of Information, Technology and Communication contracts signed by the organization?**

    Answer:
    _____

    [   ] The IT Department does not take part in the management and inspection of activities of Information, Technology and Communication contracts signed by the organization.

    Comments:
    _____

Thematic Block 4 -
IT Department Day-to-Day

Content:

Total number of questions: 14

Identification

Before answering the questions, please fill in the identification fields below.

Respondent's Full Name	
Oganization/Department	
Position in the organization	
Email address	
Phone Number	

Section

12

Demands Management

Abstract: The following questions aims to understand how the IT Department manages current and future demands from its internal consumers.

1. **How, by who (position in the organization/department/company/etc.) and how often it is made the analysis aiming the understanding of the IT Services current demands and the estimate of future demands; what are its main purposes and how the information is used in practice?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [   ] There is no analysis concerning the IT Services demands.

   Comments:
   _____

2. **How often are monitored the demands related to the IT Services in operation, in order to ensure that the needed resources (material and human) are allocated adequately, efficiently and effectively?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [   ] There is no demand for monitoring concerning the IT Services in operation.

   Comments:
   _____

3. **How, by who (position in the organization/department/company/etc.) and based on which metric is the adequacy between the demands of IT Services in operation and the allocated resources (material and human) measured?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [   ] There is no demand monitoring concerning the IT Services in operation.

   Comments:
   _____

4. **What actions are taken in practice, how and by who (position in the organization/department/company/etc.) when the IT Services demand measurement reveals that the IT Department doesn't have sufficient resources or have resources in excess?**

Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

[   ] There is no IT Services demand measurement.

Comments:

Section

13

Changes

Abstract: The following questions aims to understand how the IT Department receives and manages the changes related to IT Services and Products.

1. **How does the IT Department receive and manage the changes requisitions related to IT Services and Products?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [   ] The IT Department doesn't receive change requisitions concerning its services and products.

   Comments:
   _____

2. **How and by who (position in the organization/department/company/etc.) it is made the analysis of change requisitions concerning IT Services and Products, from the requisition to the decision making and eventual practical action?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [   ] The IT Department doesn't receive change requisitions concerning its services and products.

   Comments:
   _____

3. **How, by who (position in the organization/department/company/etc.) and based on which criteria it is made the evaluation of requisitions of change in IT Services and Products?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [   ] The IT Department doesn't receive change requisitions concerning its services and products.

   Comments:
   _____

Section

14

Requests

Abstract: The following questions aims to understand how the IT Department addresses the requests from its internal consumers.

1. **How are the IT Services requests forwarded to the IT Department; is there any kind of previous selection to decide which requests will get personal or automatic answers, for example?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   _____

   [   ] The IT Department does not receive IT Services requests.

   Comments:

   _____

2. **Who (position in the organization/department/company/etc.) is responsible for managing the requests that are forwarded to the IT Department; how is the volume measured; which statuses are foreseen; and what actions are taken in practice according to each status?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   _____

   [   ] The IT Department does not receive IT Services requests.

   Comments:

   _____

3. **How the IT Services requests forwarded to the IT Department are treated and managed, from its receipts to its conclusion?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   _____

   [   ] The IT Department does not receive IT Services requests.

   Comments:

   _____

Section

15

Incidents and Problems

Abstract: The following questions aims to understand how incidents and problems reported to the IT Department are treated.

1. **How does the IT Department receive, treat and manage the incidents and problems reported by internal and external consumers?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [ ] The IT Department does not receive incidents and information of problems from its consumers. In this case, please, specify in the comments field below how the IT Department identifies, treats, and manages incidents and problems.

   Comments:
   _____

2. **How does the IT Department measure the occurrence, recurrence, and persistence of incidents?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [ ] There isn't any measurement concerning incidents occurrence, recurrence and persistence. In this case, if any other incident aspect is measured, please specify in the comments field below.

   Comments:
   _____

3. **How and by who (position in the organization/department/company/etc.) are identified, classified, treated and solved the problems that originates incidents or that have the potential to originate incidents; how this potential is measured and classified; which actions are taken in practice according to each classification?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:
   _____

   [ ] There isn't any identification of problems that can originate incidents.

   Comments:
   _____

4. **How and by who (position in the organization/department/company/etc.) it is made the problems management; how the problems are measured and classified; which actions are taken in practice according to each classification?**
Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

[ ] There is no problem management. In this case, please, specify in the comments field below, how the problems are addressed.

Comments:

Thematic Block 5 - Secuity

Content:

- Section 16 – Access and Information Security
- Section 17 – Assets and Events
- Section 18 – Knowledge
- Section 19 – IT Audit

Total number of questions: 13

Identification

Before answering the questions, please fill in the identification fields below.

Respondent's Full Name	
Oganization/Department	
Position in the organization	
Email address	
Phone Number	

Section

16

Access and Information Security

Abstract: The following questions aims to understand how the aspects concerning Information Security are approached and managed.

1. **Which aspects and actions concerning information security are implemented and how, how often and by who (position in the organization/department/company/etc.) they are monitored; which results can be obtained from the monitoring and what actions are taken in practice according to each result?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    [   ] There are no actions related to Information Security implemented.

    Comments:

2. **How the aspects concerning data confidentiality and integrity in the organization are planned, leaded, implemented and monitored in practice and who (position in the organization/department/company/etc.) is responsible for that; which aspects are implemented and monitored?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    [   ] There are no actions related to data confidentiality and integrity implemented.

    Comments:

3. **How the IT Services access are managed and monitored and who (position in the organization/department/company/etc.) is responsible for that; which results can be obtained from the monitoring; which actions are taken in practice according to the monitoring results?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    [   ] The IT Services access are not monitored.

    Comments:

Section

17

Assets and Events

Abstract: The following questions aims to understand how the IT assets configuration items are managed, as well as how the events related to them are managed and monitored.

1. **How and by who (position in the organization/department/company/etc.) it is made the management of the IT assets configuration items?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    [   ] There are no management of IT assets configuration items.

    Comments:

2. **Which processes and methodologies are implemented by the IT Department to manage the asset configuration?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    [   ] There are no management of IT assets configuration items.

    Comments:

3. **How it is made the events management concerning the IT Services assets and who (position in the organization/department/company/etc.) is responsible for that?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    [   ] There are no events management concerning the IT Services assets.

    Comments:

4. **How and by who (position in the organization/department/company/etc.) it is made the events monitoring concerning the IT Services assets?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[ ] There are no events monitoring concerning the IT Services assets.

Comments:

_____

5. **How are the events classified and which actions are foreseen to each event related to the IT Services assets?**
Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

Answer:

_____

[ ] There are no events classification concerning the IT Services assets.

Comments:

_____

Section

18

Knowledge

Abstract: The following questions aims to understand how the IT Department addresses the IT Services Knowledge Management.

1. **How it is made the IT Services Knowledge Management, including in what concerns to change/maintenance of information and storage location?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    [   ] There are no knowledge management concerning the IT Services.

    Comments:

2. **Who (position in the organization/department/company/etc.) is responsible for the IT Services Knowledge Management; what kind of monitoring is made and how results are measured and classified?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    [   ] There are no knowledge management concerning the IT Services.

    Comments:

3. **How the information concerning the IT Services Knowledge management are made available; who (position in the organization/department/company/etc.) can access that information?**
    Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

    Answer:

    [   ] There are no knowledge management concerning the IT Services.

    Comments:

Section

19

IT Audit

Abstract: The following questions aims to understand the IT Services auditing processes.

1. **How, how often and based on which standards, rules, guidelines, guidance, etc., the IT Audits are carried out; who (position in the organization/department/company/etc.) is responsible for the audit processes, for analysing its results and also for planning/taking actions in practice, if necessary?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   [   ] There are no IT Audits.

   Comments:

2. **How, how often and by who (position in the organization/department/company/etc.) the IT Services, Products and Processes are audited; which processes are more audited; how the reports are made and for who they are delivered?**
   Please cite examples and describe processes, methodologies, frameworks, software, tools, etc., including their versions, in your answer.

   Answer:

   [   ] There are no IT Audits.

   Comments: