
**Information technology — SOA
Governance Framework**

Technologies de l'information — Cadre de gouvernance SOA

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ISO/IEC 17998:2012

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Technical Standard

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Technical Standard

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Preface

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- A new *Version* indicates there is no change to the definitive information contained in the previous publication of that title, but additions/extensions are included. As such, it *replaces* the previous publication.
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This Document

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Referenced Documents

The following documents are referenced in this Technical Standard:

- Introduction to SOA Governance and Service Lifecycle Management, Bill Brown, IBM, March 2009; refer to:
<ftp://ftp.software.ibm.com/software/soa/pdf/IBMSGMMOverview.pdf>
- Introduction to SOA Governance: The official IBM definition and why you need it, Bobby Woolf, IBM developerWorks, July 2007; refer to:
www.ibm.com/developerworks/webservices/library/ar-servgov
- Navigating the SOA Open Standards Landscape Around Architecture”, Joint White Paper from OASIS, OMG, and The Open Group, July 2009 (W096); refer to:
www.opengroup.org/bookstore/catalog/w096.htm
- OASIS Reference Model for SOA (SOA RM), Version 1.0, OASIS Standard, 12 October 2006; refer to: docs.oasis-open.org/soa-rm/v1.0/soa-rm.pdf
- OECD Corporate Governance Principles 2004, Organization for Economic Cooperation and Development; available from: www.oecd.org
- SOA Source Book, C. Harding (editor), The Open Group, 2009; refer to:
www.opengroup.org/bookstore/catalog/g093.htm
- The Open Group Architecture Framework (TOGAF); refer to:
www.opengroup.org/architecture/togaf9
- The Open Group SOA Integration Maturity Model (OSIMM), Technical Standard, August 2009 (C092); refer to: www.opengroup.org/bookstore/catalog/c092.htm

See also Appendix D.

1 Introduction

1.1 Objective

This document describes a framework that provides context and definitions to enable organizations to understand and deploy SOA governance.

This document defines:

- SOA Governance, including its relationship between Business, IT, and EA governance; this assists organizations in understanding the impact that the introduction of SOA into an organization has on governance
- An SOA Governance Reference Model (SGRM) and its constituent parts, which assists organizations in specifying their appropriate governance regimes; and capturing best practice as a basis for a common approach
- The SOA Governance Vitality Method (SGVM) which assists organizations in customizing the SGRM and realizing their SOA Governance Regimen

This document is not intended to be used as provided; it is intended to be customized to create appropriate SOA governance for the organization. Many of the lists are non-normative and exemplary and intended to be filtered and as input to the customization process.

This document does not include an explanation of the fundamentals and value of SOA which is important for being able to understand and apply SOA governance. Many other specifications and books are available on SOA basics (see Referenced Documents and Appendix D).

1.2 Overview

Many companies have adopted Service-Oriented Architecture (SOA) as an approach to architecture to assist in closing the business and IT gap by delivering the appropriate business functionality in a timely and efficient manner. For more details on this, refer to available books and standards on SOA (see Referenced Documents and Appendix D).

Many companies that have approached SOA via a pilot project have not been seeing the same demonstrated SOA benefits once they have deployed a fully-fledged SOA project. While pilot projects achieved a level of re-use, they have tended to be within one division, but as soon as a project boundary crosses multiple divisions, new challenges are encountered.

One of the key disciplines to assist in addressing these challenges is governance. Whilst governance has been around a long time, SOA has heightened the need and importance of having a formal SOA Governance Regimen that sets expectations and eases the transition of an organization to SOA by providing a means to reduce risk, maintain business alignment, and

show business value of SOA investments through a combination of people, process, and technology. The role of the SOA Governance Regimen is to create a consistent approach across processes, standards, policies, and guidelines while putting compliance mechanisms in place.

Most organizations already have a governance regimen for their IT department covering project funding, development, and maintenance activities. These tend to have been defined using either one of the formal standard IT governance frameworks – such as COBIT, ITIL, etc. – or an informal in-house governance framework that has been built over many years. The focus of The Open Group's initial release of an SOA Governance Framework is primarily based on the IT aspects of SOA governance.

This document contains a description of the governance activities that are impacted by SOA, and puts forward some best practice governance rules and procedures for those activities. In order to specify the changes necessary to accommodate SOA in an existing governance regime, the governance activities described in this document must be mapped and integrated to the activities being utilized in the existing regime. Many of the lists provided with the explanations of the SGRM and SGVM are non-normative examples intended to provide a starting point for customization to the SOA solution.

This document is organized as follows:

- This chapter provides a general introduction.
- Chapter 2 discusses the background to SOA governance, describing the reasons why governance is important for SOA, the challenges involved, and the benefits that should be achieved.
- Chapter 3 defines SOA governance and explains The Open Group SOA Governance Framework.
- Chapter 4 defines the generic SOA Governance Reference Model (SGRM) used as a baseline for tailoring an SOA Governance Model for an organization.
- Chapter 5 defines the SOA Governance Vitality Method (SGVM) which describes a method using the generic SGRM to instantiate an organizational unique SOA Governance Model.
- Appendix A describes the SOA governance process activities.
- Appendix B describes the SOA governance process information entities.
- Appendix C provides an SOA governance metrics example.
- Appendix D describes the relationship of this document to other SOA standards.

1.3 Conformance

The SOA Governance Framework does not have strict compliance statements or testing. It is expected that this Technical Standard will be customized appropriately into a governance regimen for the industry or organization applying it.

For those SOA Governance Regimens to be conformant with this Technical Standard, they must have at least the following processes defined:

- Compliance process
- Dispensation process
- Communication process

The SGVM must also be defined for the organization.

The nature and extensiveness of the guidelines and the governed processes depends upon the SOA maturity of the organization; therefore, SOA governance conformance does not assert any requirements on them.

1.4 Terminology

Can	Describes a permissible optional feature or behavior available to the user or application. The feature or behavior is mandatory for an implementation that conforms to this document. An application can rely on the existence of the feature or behavior.
Implementation-dependent	(Same meaning as "implementation-defined".) Describes a value or behavior that is not defined by this document but is selected by an implementer. The value or behavior may vary among implementations that conform to this document. An application should not rely on the existence of the value or behavior. An application that relies on such a value or behavior cannot be assured to be portable across conforming implementations. The implementer shall document such a value or behavior so that it can be used correctly by an application.
Legacy	Describes a feature or behavior that is being retained for compatibility with older applications, but which has limitations which make it inappropriate for developing portable applications. New applications should use alternative means of obtaining equivalent functionality.
May	Describes a feature or behavior that is optional for an implementation that conforms to this document. An application should not rely on the existence of the feature or behavior. An application that relies on such a feature or behavior cannot be assured to be portable across conforming implementations. To avoid ambiguity, the opposite of "may" is expressed as "need not", instead of "may not".
Must	Describes a feature or behavior that is mandatory for an application or user. An implementation that conforms to this document shall support this feature or behavior.
Shall	Describes a feature or behavior that is mandatory for an implementation that conforms to this document. An application can rely on the existence of the feature or behavior.