

If It's not a Business Initiative, It's not COBIT 5

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Romero Consulting

Core Competencies – C22



CRISC

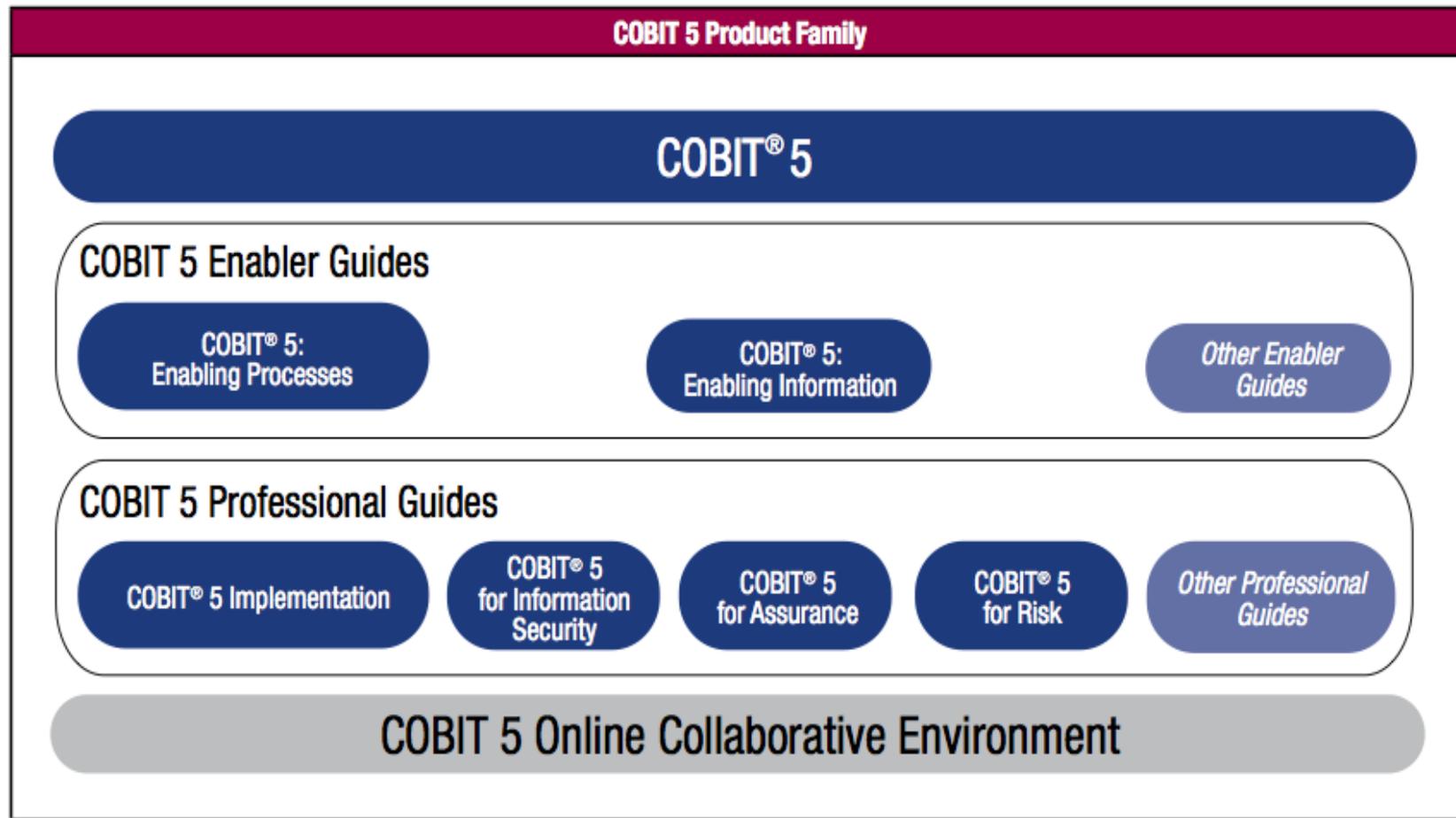
CGEIT

CISM

CISA₁

2013 Fall Conference – “Sail to Success”

COBIT® 5 product family



What is COBIT®5?

COBIT®5 provides a comprehensive framework that assists enterprises in achieving their objectives for the governance and management of enterprise IT.

- Helps create optimal value from IT by maintaining a balance between realizing benefits and optimizing risk levels and resource use.
- Enables IT to be governed and managed in a holistic manner for the entire enterprise.
- Generic – useful for enterprises of all sizes, whether commercials, not-for-profit, or public sector

What is COBIT®5?

IT and the Business

COBIT®5 addresses the governance and management of information and related technology from an enterprise-wide, end-to-end perspective, including the activities and responsibilities of both the IT function and non-IT business functions.

Really, COBIT® means business

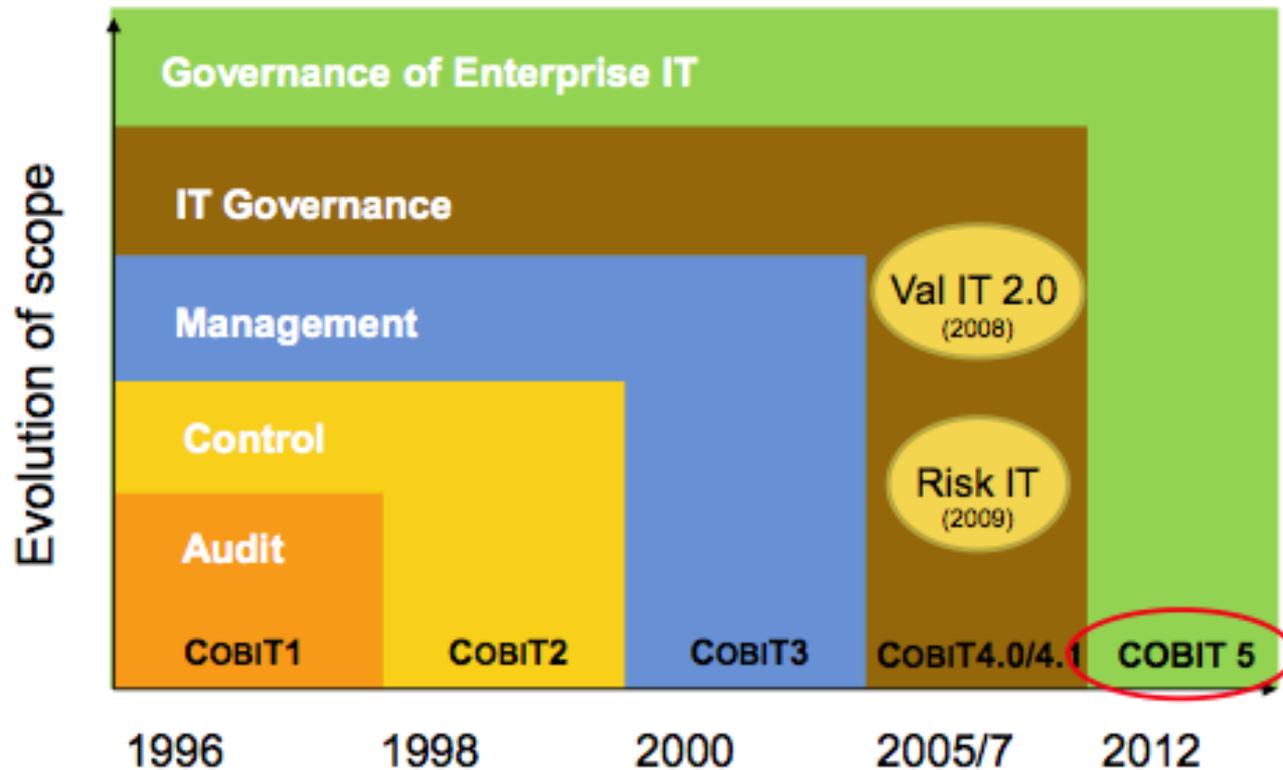
The end-to-end aspect is further supported by COBIT®5 coverage of all critical business elements, e.g. processes, organizational structures, principles & policies, culture, skills, information, service capabilities.

COBIT® 5 objectives

- Building on the current widely recognized and accepted COBIT® framework, link together and reinforce all other major ISACA frameworks and guidance.
- Connect to and align with other major frameworks and standards (ISO 38500, ITIL, EA, NIST etc.)
- Incorporate familiar components such as a Domain/Process model, Governance/Management Best Practices, RACI charts, and process input/output linkages.
- Provide a renewed and authoritative full-spectrum framework for the governance and management of enterprise IT.

COBIT® 5 objectives

- Building on the current widely recognized and accepted COBIT® framework
- Linking together and reinforce all other major ISACA frameworks/guidance



COBIT®5 objectives

Connect to and align with other major frameworks and standards (ISO 38500, ITIL, EA, NIST etc.)

- IT Infrastructure Library (ITIL)
- ISO Standards
- The Open Group Architecture Framework (TOGAF)
- Project Management Body Of Knowledge (PMBOK)
- Val IT (value framework - ITGI)
- Risk IT (risk framework - ITGI)
- Business Model for Information Security (BMIS - ITGI)
- IT Assurance Framework (ITAF - ITGI)
- IT Governance Board Briefing (ITGI)
- Taking Governance Forward (ITGI)

COBIT®5 objectives

Provide a renewed and authoritative full-spectrum framework for the governance and management of enterprise IT.

Governance

- Ensures that enterprise objectives are achieved by evaluating stakeholder needs, conditions, and options
- Sets direction through prioritization and decision making
- Monitors performance, compliance, and progress against the agreed upon direction and objectives

Management

- Plans, builds, runs, & monitors activities in alignment with the direction set by the governance body to achieve the enterprise objectives

COBIT®5 benefits

Incorporating an operational model, and a common language for all parts of the business involved in IT activities, is one of the most important and critical steps toward good governance. It provides a framework for:

- Integrating Best Practices
- Communicating with Stakeholders
- Measuring & Monitoring IT Performance

COBIT®5 benefits

Provides enterprise-wide benefits

- Enables benefits realization
- Ensures business-user satisfaction with IT engagement and services
- Fosters the view of IT as a key enabler
- Assures compliance with relevant laws, regulations, and policies

COBIT®5 benefits

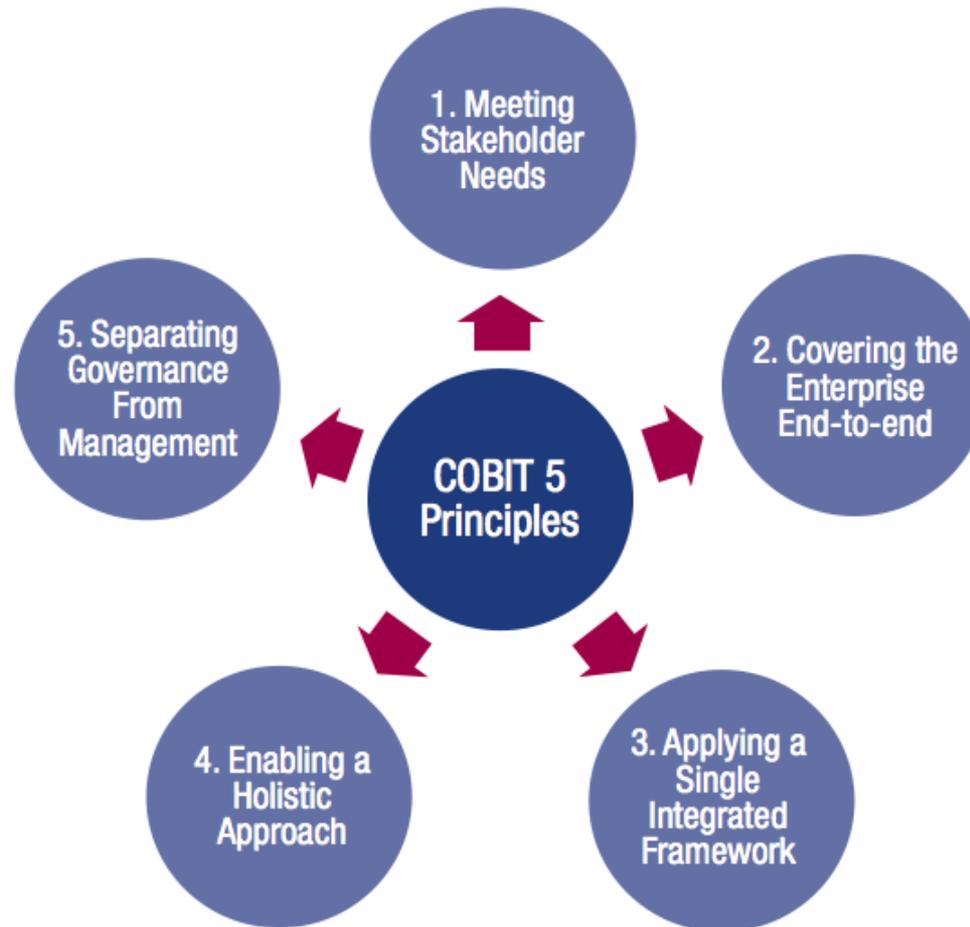
Key Business Benefits

- End-to-end enterprise governance and management of IT
- Transparency in decision making

Key IT Benefits

- Agility of IT to respond to business needs
- Alignment of IT tasks/activities with business needs
- Optimization of:
 - IT assets & resources
 - IT-related business risk
 - Cost performance of IT

COBIT®5 (GEIT) principles



Principle 1: Meeting stakeholder needs

Enterprises exist to create value for stakeholders, therefore value creation is a governance objective.

Value creation is achieved through:

- Benefits realization
- Risk optimization
- Resource optimization

Value creation means different things to different stakeholders.

Value creation means different things to different stakeholders

- Varying values sometimes conflict
- Governance enables negotiation and decision amongst value interests – considering ALL stakeholders by asking the questions:
 - For whom are the benefits?
 - Who bears the risk?
 - What resources are required?
- Stakeholder needs are influenced by a number of drivers:
 - Strategy changes
 - Changing business (mission) & regulatory environment
 - Technology evolution

Principle 1: Meeting stakeholder needs

Stakeholder needs cascade to enterprise goals

- This cascade provides the link between stakeholder needs and practical goals by translating these into increasing levels of detail and specificity:
 - Stakeholder Needs
 - Enterprise Goals
 - IT related Goals
 - » Enabler Goals (e.g. process goals)
- Understanding how stakeholder needs relate to enterprise & IT-related goals is essential
- Allows setting specific goals at every level of the enterprise in support of the overall goals and stakeholder requirements

Principle 1: Meeting stakeholder needs

“Goals Cascade”



Principle 1: Meeting stakeholder needs

Internal Stakeholders	Internal Stakeholder Questions
<ul style="list-style-type: none"> • Board • CEO • Chief financial officer (CFO) • CIO • Chief risk officer (CRO) • Business executives • Business process owners • Business managers • Risk managers • Security managers • Service managers • Human resource (HR) managers • Internal audit • Privacy officers • IT users • IT managers • Etc. 	<ul style="list-style-type: none"> • How do I get value from the use of IT? Are end users satisfied with the quality of the IT service? • How do I manage performance of IT? • How can I best exploit new technology for new strategic opportunities? • How do I best build and structure my IT department? • How dependent am I on external providers? How well are IT outsourcing agreements being managed? How do I obtain assurance over external providers? • What are the (control) requirements for information? • Did I address all IT-related risk? • Am I running an efficient and resilient IT operation? • How do I control the cost of IT? How do I use IT resources in the most effective and efficient manner? What are the most effective and efficient sourcing options? • Do I have enough people for IT? How do I develop and maintain their skills, and how do I manage their performance? • How do I get assurance over IT? • Is the information I am processing well secured? • How do I improve business agility through a more flexible IT environment? • Do IT projects fail to deliver what they promised—and if so, why? Is IT standing in the way of executing the business strategy? • How critical is IT to sustaining the enterprise? What do I do if IT is not available? • What concrete vital primary business processes are dependent on IT, and what are the requirements of business processes? • What has been the average overrun of the IT operational budgets? How often and how much do IT projects go over budget? • How much of the IT effort goes to fighting fires rather than to enabling business improvements? • Are sufficient IT resources and infrastructure available to meet required enterprise strategic objectives? • How long does it take to make major IT decisions? • Are the total IT effort and investments transparent? • Does IT support the enterprise in complying with regulations and service levels? How do I know whether I am compliant with all applicable regulations?
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Enterprise Goals

- Stakeholder value of business investments
- Portfolio of competitive products and services
- Managed business risks (safeguarding of assets)
- Compliance with external laws and regulations
- Financial transparency
- Customer-oriented service culture
- Business service continuity and availability
- Agile responses to a changing business environment
- Information-based strategic decision making
- Optimization of service delivery costs
- Optimization of business process functionality
- Optimization of business process costs
- Managed business change programs
- Operational and staff productivity
- Compliance with internal policies
- Skilled and motivated people
- Product and business innovation culture

Principle 1: Meeting stakeholder needs

Stakeholder needs cascade to enterprise goals

	Stakeholder value of business investments	Portfolio of competitive products and services	Managed business risk (safeguarding of assets)	Compliance with external laws and regulations	Financial transparency	Customer-oriented service culture	Business service continuity and availability	Agile responses to a changing business environment	Information-based strategic decision making	Optimisation of service delivery costs	Optimisation of business process functionality	Optimisation of business process costs	Managed business change programmes	Operational and staff productivity	Compliance with internal policies	Skilled and motivated people	Product and business innovation culture
STAKEHOLDER NEEDS	1.	2.	3.	4.	5.	6.	7.	8.	9.	10.	11.	12.	13.	14.	15.	16.	17.
How do I get value from the use of IT? Are end users satisfied with the quality of the IT service?	■	■				■	■						■			■	■
How do I manage performance of IT?		■			■				■	■	■	■		■			
How can I best exploit new technology for new strategic opportunities?	■	■						■					■			■	■
How do I best build and structure my IT department?								■		■	■	■		■	■	■	
How dependent am I on external providers? How well are IT outsourcing agreements being managed? How do I obtain assurance over external providers?			■	■						■							
What are the (control) requirements for information?				■					■						■		
Did I address all IT-related risk?		■					■		■						■		
Am I running an efficient and resilient IT operation?					■		■										
How do I control the cost of IT? How do I use IT resources in the most effective and efficient manner? What are the most effective and efficient sourcing options?										■		■		■			
Do I...																	

IT-related Goals

- Alignment of IT and business strategy
- IT compliance and support for business compliance with external laws / regulations
- Commitment of executive management for making IT-related decisions
- Managed IT-related business risks
- Realized benefits from IT-enabled investments and services portfolio
- Transparency of IT costs, benefits, and risk
- Delivery of IT services in line with business requirements
- Adequate use of applications, information, and technology solutions
- IT agility
- Security of information, processing infrastructure, and applications
- Optimization of IT assets, resources, and capabilities
- Enablement and support of business processes by integrating applications and technology into business processes
- Delivery of programs delivering benefits, on time, on budget, and meeting requirements and quality standards
- Availability of reliable and useful information for decision making
- IT compliance with internal policies
- Competent and motivated business and IT personnel
- Knowledge, expertise, and initiatives for business innovation

Principle 1: Meeting stakeholder needs

Enterprise goals cascade to IT-related goals

		Enterprise Goal																
		1. Stakeholder value of business investments	2. Portfolio of competitive products and services	3. Managed business risk (safeguarding of assets)	4. Compliance with external laws and regulations	5. Financial transparency	6. Customer-oriented service culture	7. Business service continuity and availability	8. Agile responses to a changing business environment	9. Information-based strategic decision making	10. Optimisation of service delivery costs	11. Optimisation of business process functionality	12. Optimisation of business process costs	13. Managed business change programmes	14. Operational and staff productivity	15. Compliance with internal policies	16. Skilled and motivated people	17. Product and business innovation culture
IT-related Goal		Financial				Customer				Internal				Learning and Growth				
Financial	01	Alignment of IT and business strategy																
	02	IT compliance and support for business compliance with external laws and regulations																
	03	Commitment of executive management for making IT-related decisions																
	04	Managed IT-related business risk																
	05	Realised benefits from IT-enabled investments and services portfolio																
	06	Transparency of IT costs, benefits and risk																
Customer	07	Delivery of IT services in line with business requirements																
	08	Adequate use of applications, information and technology solutions																
Internal	09	IT agility																
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	13	Delivery of programmes delivering benefits, on time, on budget and meeting requirements and quality standards																
	14	Availability of reliable and useful information for decision making																
Learning and Growth	15	IT compliance with internal policies																
	16	Competent and motivated business and IT personnel																
	17	Knowledge, expertise and initiatives for business innovation																

Principle 1: Meeting stakeholder needs

IT-related goals cascade to Enabler goals (processes)

			IT-related Goal																
			01	02	03	04	05	06	07	08	09	10	11	12	13	14	15	16	17
			Alignment of IT and business strategy	IT compliance and support for business compliance with external laws and regulations	Commitment of executive management for making IT-related decisions	Managed IT-related business risk	Realised benefits from IT-enabled investments and services portfolio	Transparency of IT costs, benefits and risk	Delivery of IT services in line with business requirements	Adequate use of applications, information and technology solutions	IT agility	Security of information, processing infrastructure and applications	Optimization of IT assets, resources and capabilities	Enablement and support of business processes by integrating applications and technology into business processes	Delivery of programmes on time, on budget, and meeting requirements and quality standards	Availability of reliable and useful information for decision making	IT compliance with internal policies	Competent and motivated IT personnel	Knowledge, expertise and initiatives for business innovation
COBIT 5 Process			Financial					Customer			Internal						Learning and Growth		
Evaluate, Direct and Monitor	EDM01	Ensure Governance Framework Setting and Maintenance	P	S	P	S	S	S	P		S	S	S	S	S	S	S	S	S
	EDM02	Ensure Benefits Delivery	P		S		P	P	P	S			S	S	S	S		S	P
	EDM03	Ensure Risk Optimisation	S	S	S	P		P	S	S		P			S	S	P	S	S
	EDM04	Ensure Resource Optimisation	S		S	S	S	S	S	S	P		P		S			P	S
	EDM05	Ensure Stakeholder Transparency	S	S	P			P	P						S	S	S		S
Align, Plan and Organise	AP001	Manage the IT Management Framework	P	P	S	S		S			P	S	P	S	S	S	P	P	P
	AP002	Manage Strategy	P		S	S	S	P	S	S	S	S	S	S	S	S	S	S	P
	AP003	Manage Enterprise Architecture	P		S	S	S	S	S	S	P	S	P	S		S			S
	AP004	Manage Innovation	S		S	S	P			P	P		P	S		S			P
	AP005	Manage Portfolio	P		S	S	P	S	S	S	S	S	S		P				S
	AP006	Manage Budget and Costs	S		S	S	P	P	S	S			S		S				
	AP007	Manage Human Resources	P	S	S	S			S		S	S	P		P		S	P	P
	AP008	Manage Relationships	P		S	S	S	S	P	S			S	P	S		S	S	P
	AP009	Manage Service Agreements	S			S	S	S	P	S	S	S	S	S		S	P	S	
	AP010	Manage Suppliers		S		P	S	S	P	S	P	S	S		S	S	S		S
	AP011	Manage Quality	S	S		S	P		P	S	S		S		P	S	S	S	S
	AP012	Manage Risk		P		P		P	S	S	S	P			P	S	S	S	S
	AP013	Manage Security		P		P		P	S	S		P				P			

Principle 1: Meeting stakeholder needs

IT-related goals cascade to Enabler goals (processes)

		IT-related Goal																
		01	02	03	04	05	06	07	08	09	10	11	12	13	14	15	16	17
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		Financial					Customer					Internal					Learning and Growth	
		COBIT 5 Process																
Build, Acquire and Implement	BAI01	Manage Programmes and Projects	P		S	P	P	S	S	S							S	S
	BAI02	Manage Requirements Definition	P	S	S	S	S			P	S	S	S	S	P	S	S	S
	BAI03	Manage Solutions Identification and Build	S			S	S			P	S			S	S	S	S	S
	BAI04	Manage Availability and Capacity				S	S			P	S	S		P		S	P	S
	BAI05	Manage Organisational Change Enablement	S		S		S			S	P	S		S	S	P		P
	BAI06	Manage Changes			S	P	S			P	S	S	P	S	S	S	S	S
	BAI07	Manage Changes Acceptance and Transitioning				S	S			S	P	S		P	S	S	S	S
	BAI08	Manage Knowledge	S				S			S	S	P	S	S	S		S	P
	BAI09	Manage Assets		S		S		P	S	S	S	S	S	P			S	S
	BAI10	Manage Configuration		P		S		S		S	S	S	S	P			P	S
Deliver, Service and Support	DSS01	Manage Operations	S	S		P	S			P	S	S	S	P			S	S
	DSS02	Manage Service Requests and Incidents				P				P	S	S	S	S			S	S
	DSS03	Manage Problems		S		P	S			P	S	S	S	P	S		P	S
	DSS04	Manage Continuity	S	S		P	S			P	S	S	S	S	S		P	S
	DSS05	Manage Security Services	S	P		P	S			S	S	S	S	S	S		S	S
	DSS06	Manage Business Process Controls		S		P				P	S	S	S	S	S		S	S
Monitor, Evaluate and Assess	MEA01	Monitor, Evaluate and Assess Performance and Conformance	S	S	S	P	S	S	P	S	S	S	P		S	S	P	S
	MEA02	Monitor, Evaluate and Assess the System of Internal Control		P		P		S	S	S	S				S		P	S
	MEA03	Monitor, Evaluate and Assess Compliance With External Requirements	P			P	S		S			S					S	S

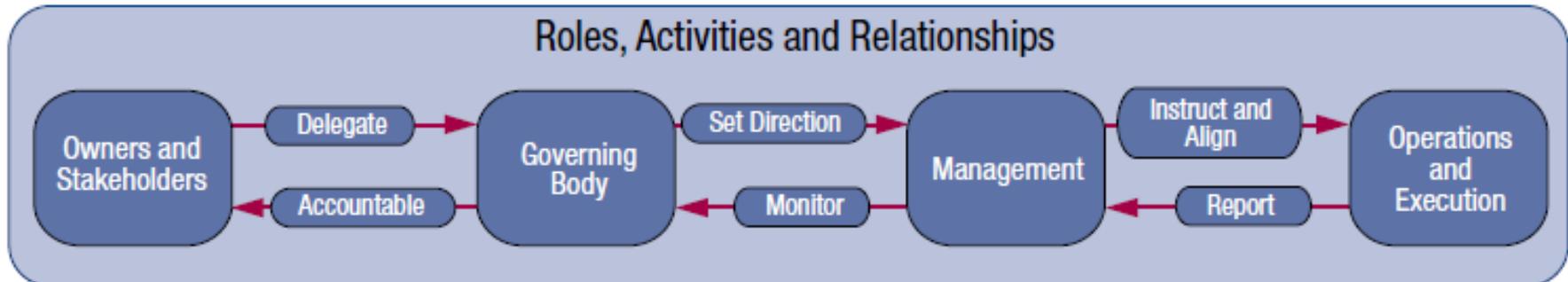
Principle 2: Covering enterprise end-to-end

Enterprise-wide end-to-end governance and management of information technology

- Integrates IT governance into any enterprise governance
- Covers all required functions and processes required to govern and manage enterprise information and related technologies
 - All relevant internal and external IT services
 - Internal and external business functions

Principle 2: Covering enterprise end-to-end

- Governance Enablers (Principle 4)
 - Frameworks, principles, structures, processes, practices
- Governance Scope - definable
 - Enterprise, entity, or tangible asset
- Roles, activities and relationships



Steve: No business leaders? No COBIT®5

ITG

Information
Technology
Governance

BTG

Business
Technology
Governance

GEIT

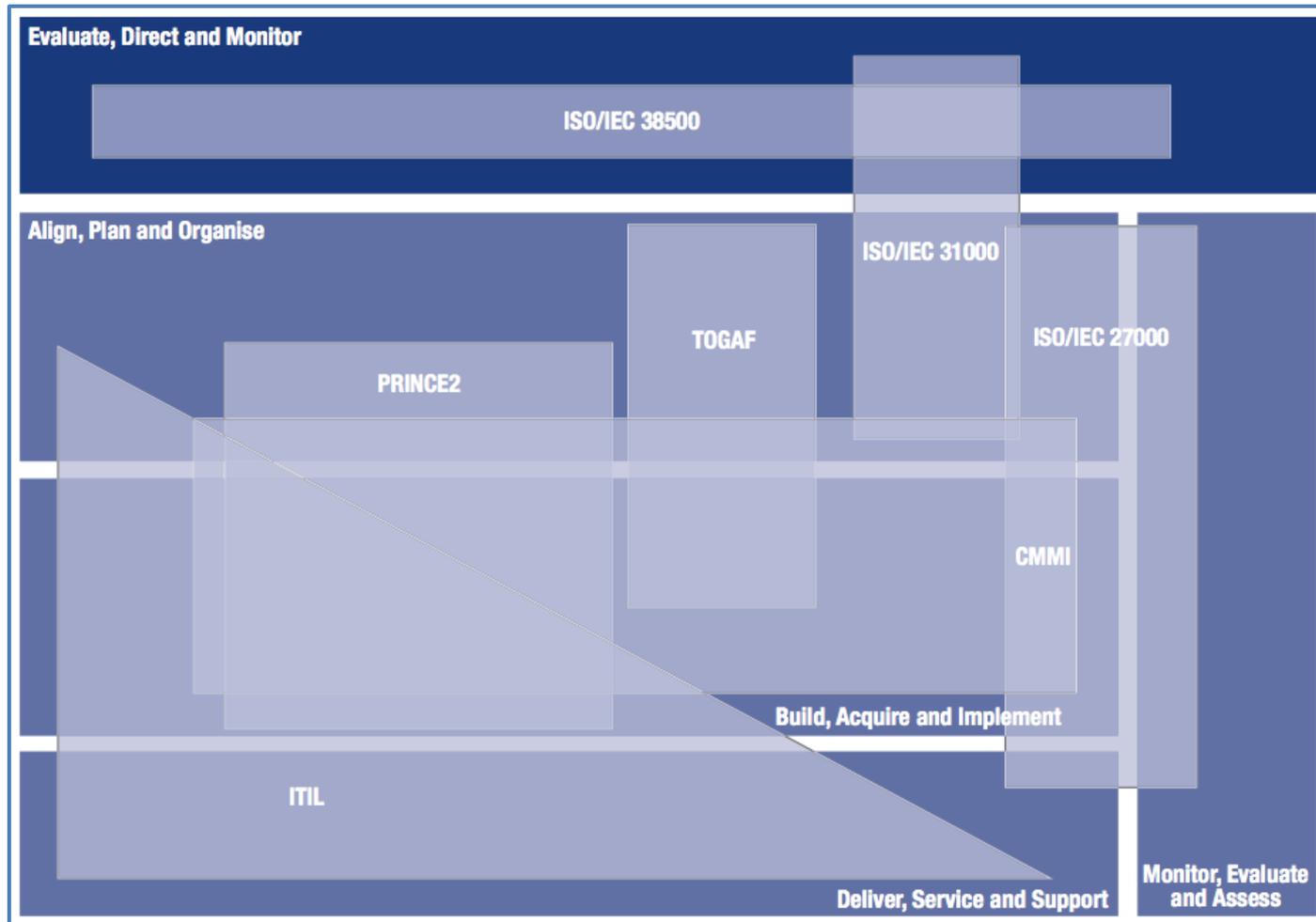
Governance
of Enterprise
Information
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Principle 3: Applying a single integrated framework

- Integrates existing ISACA guidance on governance and management of enterprise IT
- Aligns with current relevant standards & frameworks
- Simple architecture for structuring a consistent body of guidance materials

Principle 3: Applying a single integrated framework

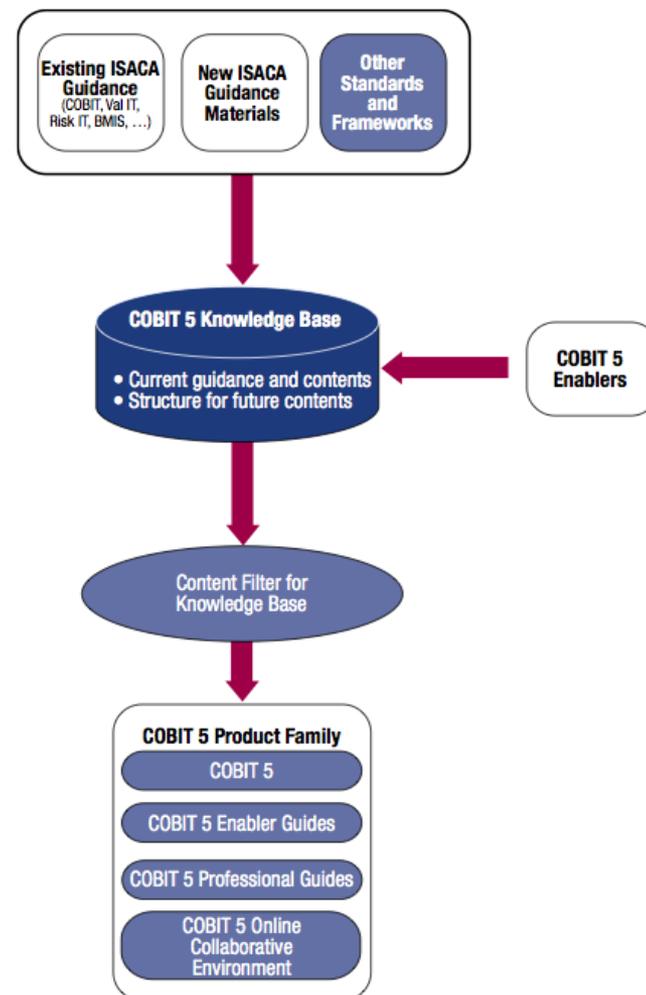


Principle 3: Applying a single integrated framework

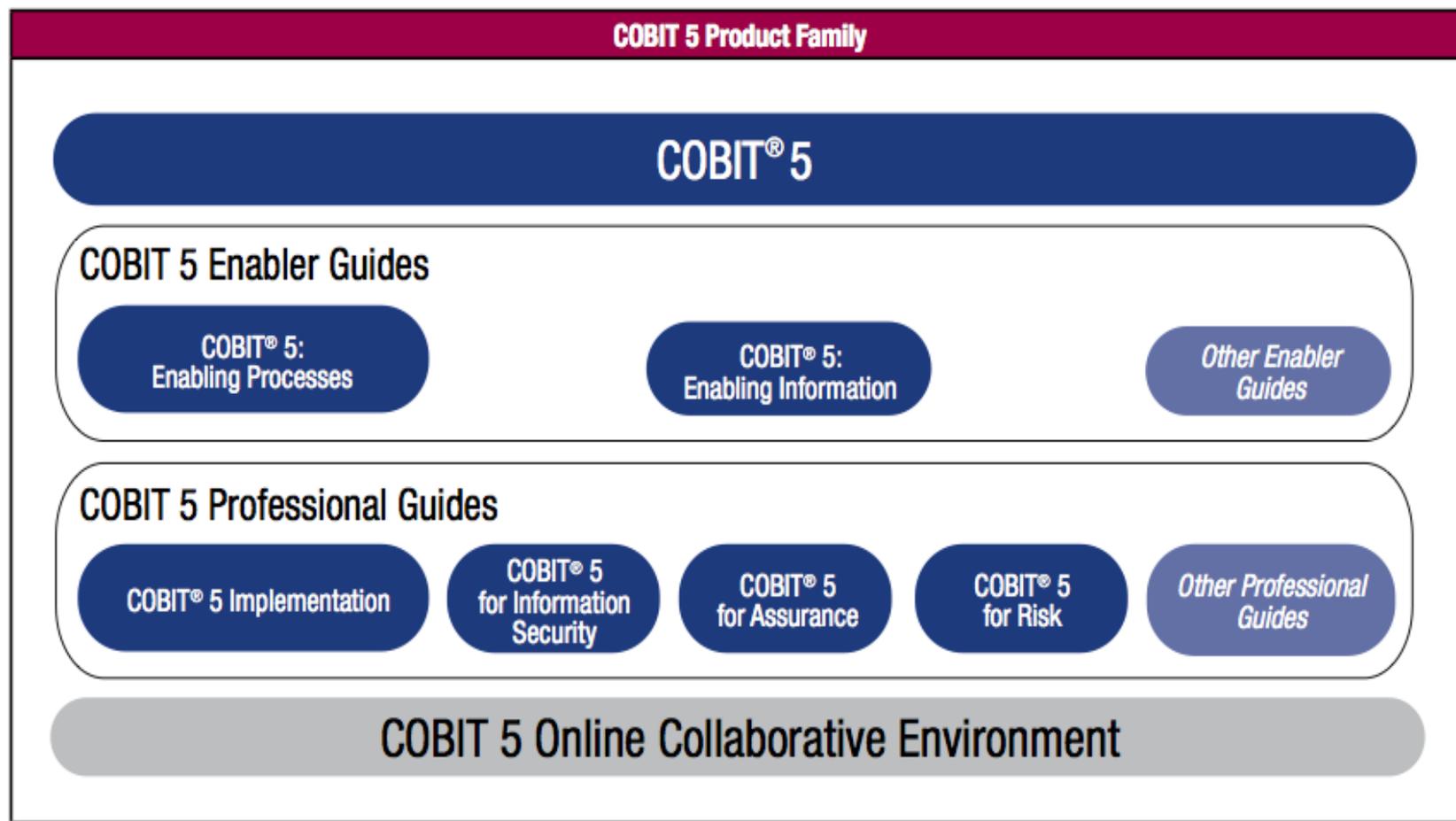
Framework Integrator

Enablers:

- Principles, Policies, & Frameworks
- Processes
- Organizational Structures
- Cultures, Ethics, Behaviors
- Information
- Services Infrastructure Applications
- People, Skills, & Competencies

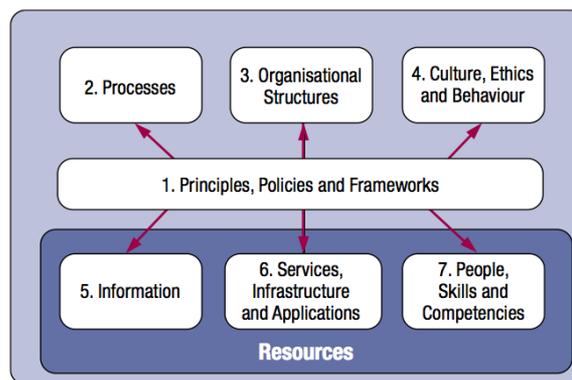


Principle 3: Applying a single integrated framework



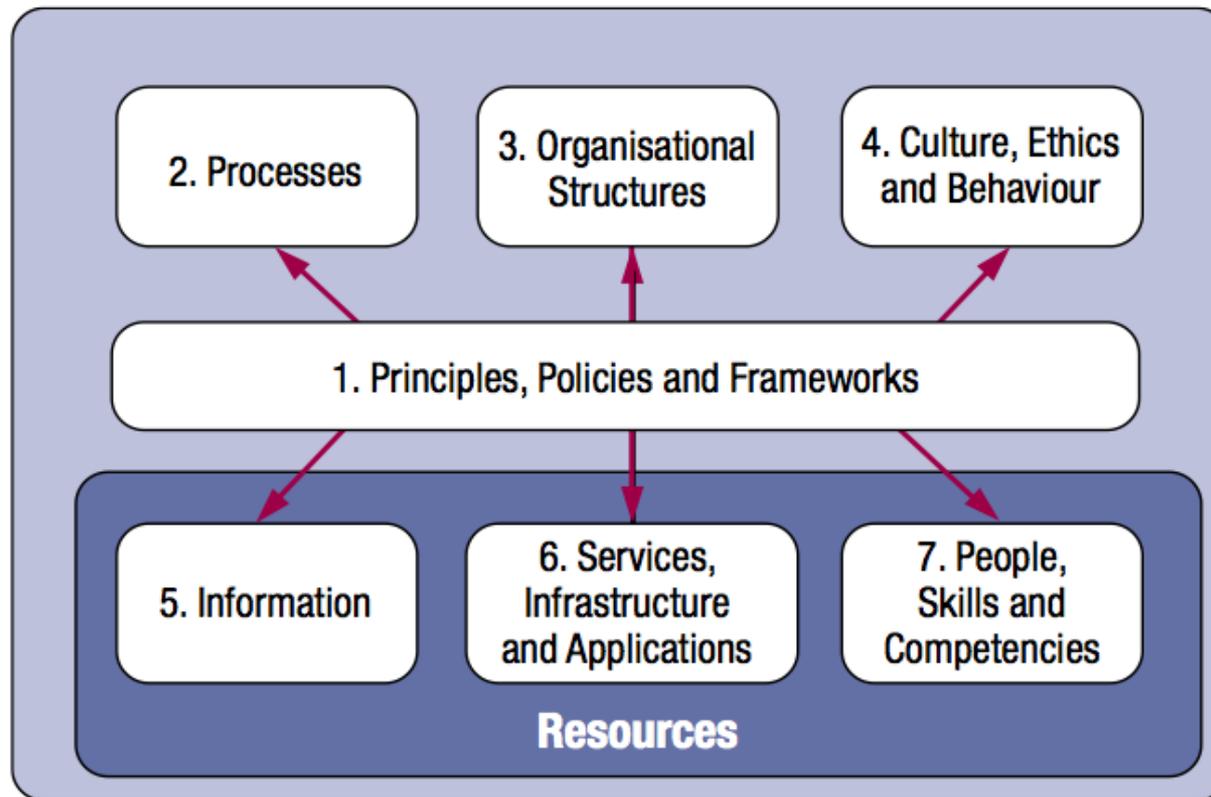
Principle 4: Enabling a holistic approach

- Purpose of enablers is to implement an effective & efficient governance and management system for enterprise IT
- Defined as anything that facilitates achievement of enterprise governance objectives, including resources such as information and people
- IT-related goals define what enablers should achieve



Principle 4: Enabling a holistic approach

COBIT®5 enablers



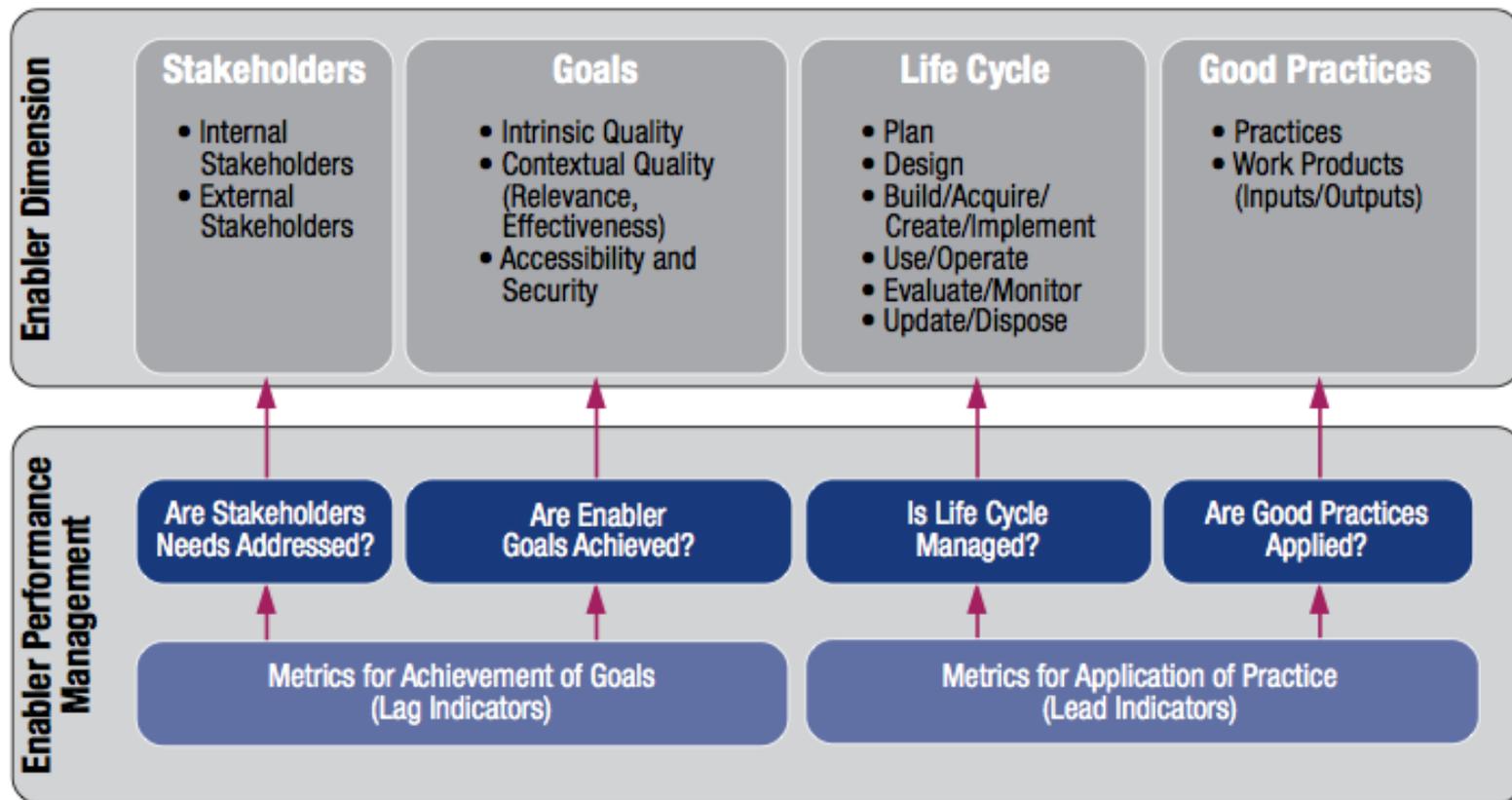
Principle 4: Enabling a holistic approach

Enabler model purpose

- A governance system is a complex interaction amongst all enablers
- Having a simple, structured, and uniform way to analyze each enabler can facilitate adoption and successful integration
- Enablers all have certain elements in common therefore a generic model standardizes conceptualization

Principle 4: Enabling a holistic approach

Generic enabler model



Principle 4: Enabling a holistic approach

Enabler dimensions: *Stakeholders*

- Stakeholders can be internal or external to the organization, and have their own interests and needs, which can be conflicting
- Stakeholders needs translate to enterprise goals, then IT-related goals, and ultimately to enabler goals

Principle 4: Enabling a holistic approach

Enablers dimensions: *Goals*

- Properties of goals associated with performance metrics are:
 - Outcomes expected of the enabler (associated with Lag indicators)
 - Operation of the enabler itself (associated with Lead indicators)
- Qualities associated with goals are categorized as follows:
 - Intrinsic quality — The extent to which enablers work accurately, objectively, and provide accurate, objective and reputable results
 - Contextual quality — The extent to which enablers and their outcomes are fit for purpose given the context in which they operate
 - Access and Security — The extent to which enablers and their outcomes are accessible and secured

Principle 4: Enabling a holistic approach

Enabler dimensions: *Life Cycle*

Phases consist of:

- Plan
- Design
- Build/acquire & implement
- Use/operate
- Evaluate/monitor
- Update/dispose

Principle 4: Enabling a holistic approach

Enabler dimensions: *Good practice*

- Guidance as to how best implement the enabler
- Good Practice can be:
 - Internal – provided within COBIT®5
 - External – provided outside COBIT®5
- Work Products (inputs/outputs)

Principle 4: Enabling a holistic approach

Enabler performance management

To manage performance of enablers, metrics associated with the following enabler dimensions must be developed, implemented, and monitored:

- Stakeholders: Are stakeholder needs addressed?
- Goals: Are enabler goals achieved?
- Life Cycle: Is the enabler life cycle managed?
- Good Practices: Are good practices applied?

Principle 4: Enabling a holistic approach

Enabler metrics - *measuring either:*

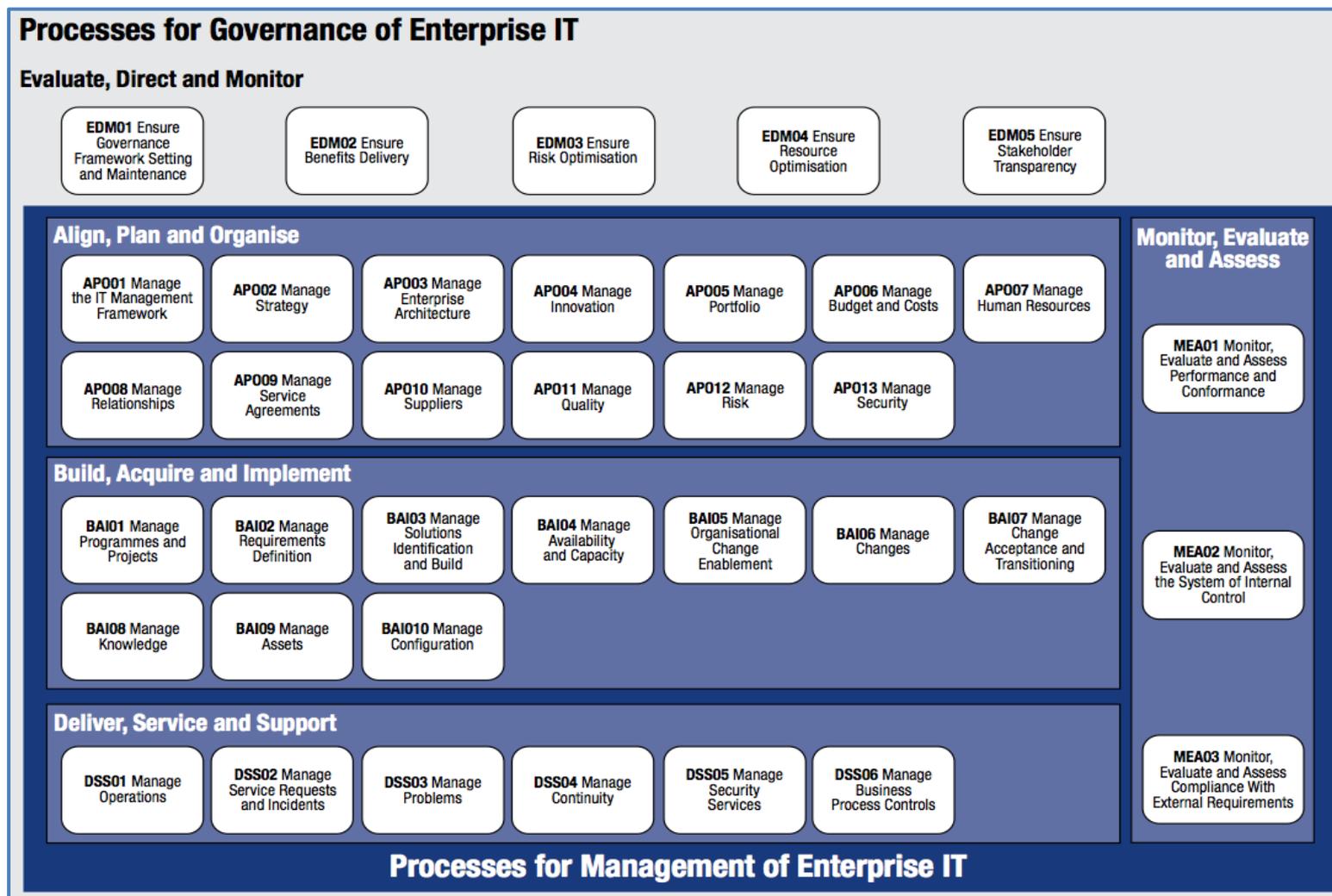
- Achievement of goals (lag indicators)
 - Stakeholder requirements met
 - Enabler goals achieved
- Application of Good Practice (lead indicators)
 - Life cycle managed
 - Good practices applied

Principle 5: Separating governance & mgt.

COBIT®5 framework makes a clear distinction between governance and management

- Different types of activities
- Require different organizational structures
- Serve different purposes

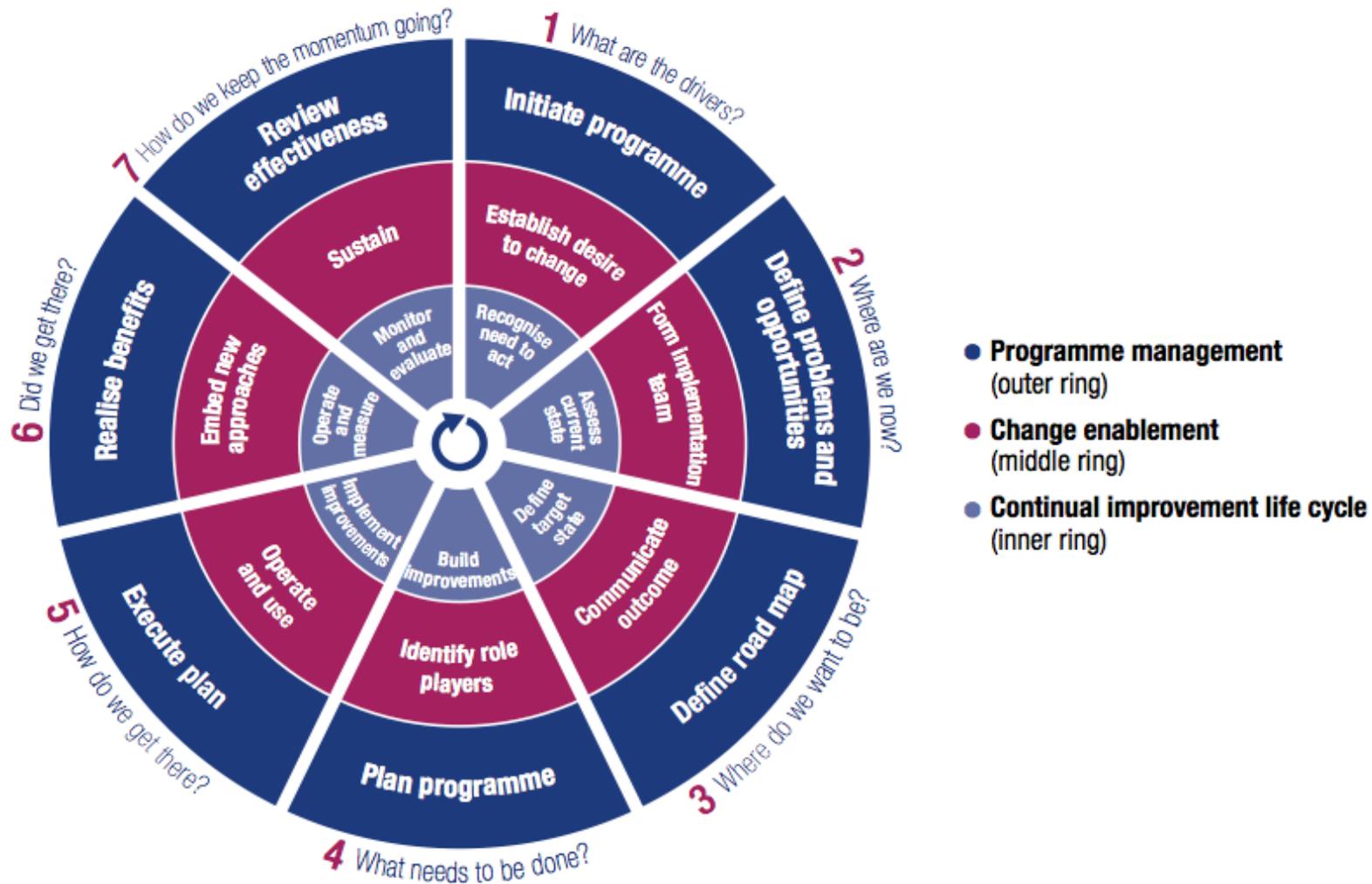
Principle 5: Separating governance & mgt.



Process RACI - example

BAI06 RACI Chart																										
Key Management Practice	Board	Chief Executive Officer	Chief Financial Officer	Chief Operating Officer	Business Executives	Business Process Owners	Strategy Executive Committee	Steering (Programmes/Projects) Committee	Project Management Office	Value Management Office	Chief Risk Officer	Chief Information Security Officer	Architecture Board	Enterprise Risk Committee	Head Human Resources	Compliance	Audit	Chief Information Officer	Head Architect	Head Development	Head IT Operations	Head IT Administration	Service Manager	Information Security Manager	Business Continuity Manager	Privacy Officer
BAI06.01 Evaluate, prioritise and authorise change requests.					A	R			C		C					C	C	R	C	R	R	C	R	C		
BAI06.02 Manage emergency changes.					A	I					C					C	C	R	I	R	R		I	C		
BAI06.03 Track and report change status.					C	R			C									A		R	R		R			
BAI06.04 Close and document the changes.					A	R			R		C					C	C	R	C	R	R	I	I			

COBIT®5 Implementation Guidance



COBIT®5 Implementation Guidance

- Based on a continual improvement life cycle
- Not intended as a prescriptive approach or complete solution
- Designed as a guide to:
 - Assist in the creation of successful outcomes
 - Leverage best practices
 - Avoid commonly encountered pitfalls
- Supported by an implementation tool kit containing a variety of resources:
 - Self-assessment, measurement, and diagnostic tools
 - Presentations aimed at various audiences
 - Related articles & further explanations

COBIT®5 Implementation Guidance

Implementation areas of focus

- Considering the enterprise context
- Creating the appropriate environment
- Recognizing pain points and trigger events
- Enabling change
- Taking a lifecycle approach
- Making the business case

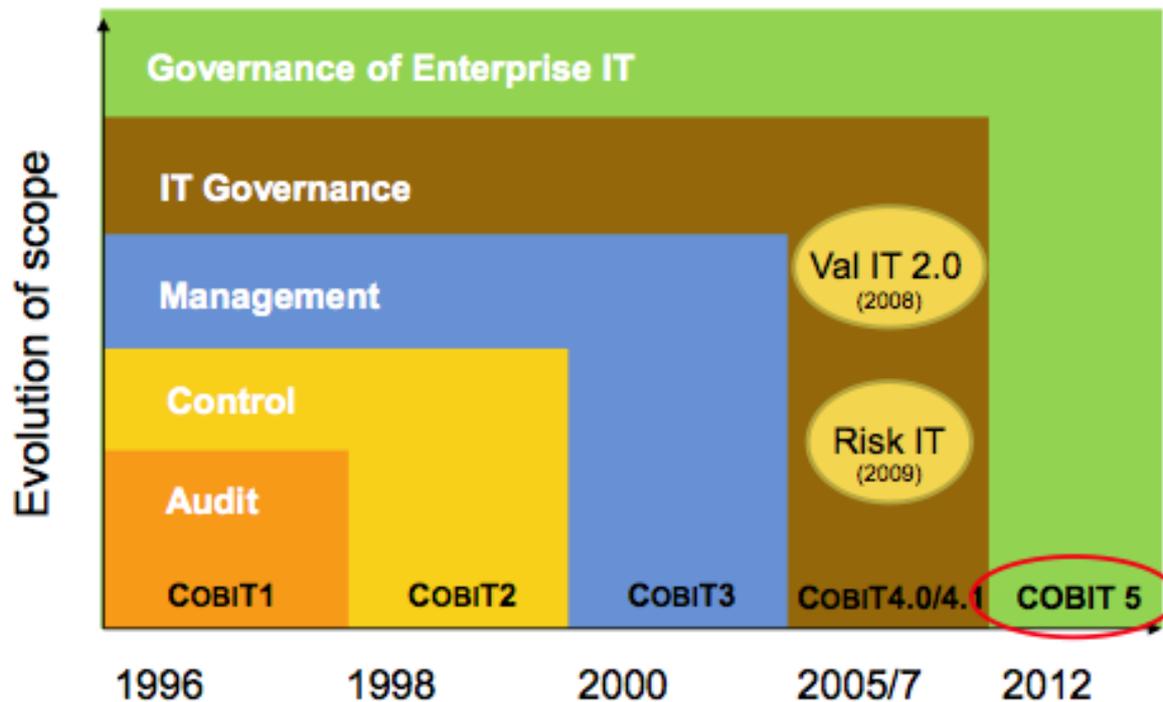
COBIT®5 Implementation Guidance

Key factors for successful implementation

- Top management providing direction and mandate for the initiative and visible ongoing commitment & support
- All parties supporting governance and management processes need to understand the business & IT objectives
- Ensuring effective communication and enablement of the necessary changes
- Tailoring ITG framework as well as other supporting best practices and standards to fit the unique context of the organization
- Focusing on quick wins and prioritizing the most beneficial improvements

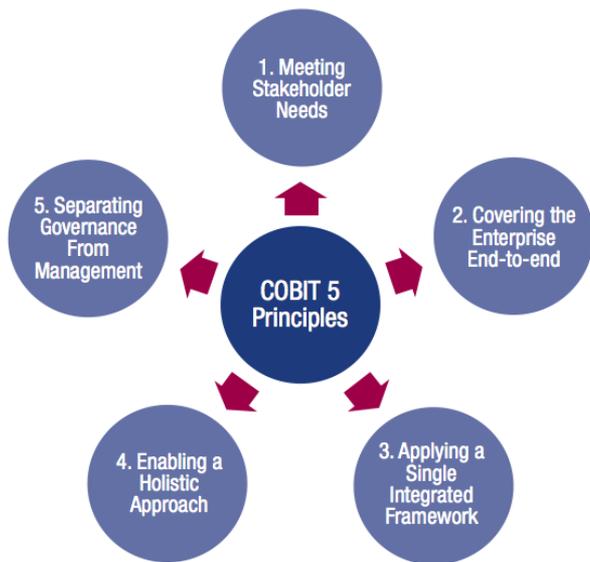
The evolution of IT Governance and COBIT®

- IT governance is not new....or even different
- COBIT® is not new...but COBIT®5 is very different

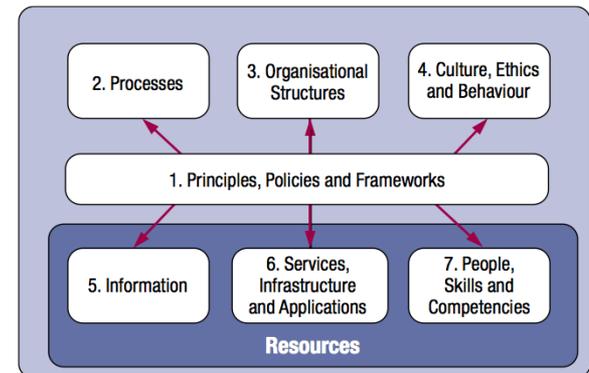


COBIT®5 engages the business *like no COBIT before*

New COBIT Principles “Goals Cascade”

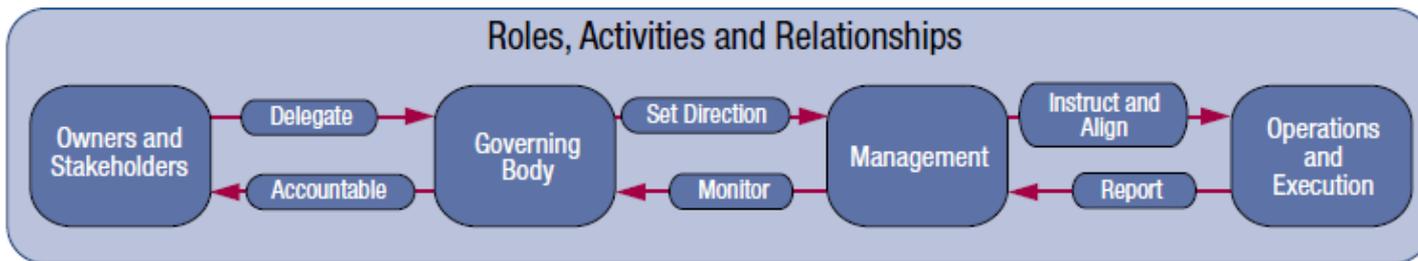


Holistic Approach



COBIT®5 needs the Business

Owners and Stakeholders, a.k.a. The Enterprise (GEIT)



a.k.a. The Business!

- CEO
- CFO
- Business executives
- Business process owners
- Business managers
- Risk managers
- Security managers
- Service managers
- HR
- Privacy officers
- IT users
- etc.



THANK YOU



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2013 Fall Conference – “Sail to Success”