



Trust in, and value from, information systems

San Francisco Chapter

“Understanding COBIT 5”

based on ISACA© Materials
www.isaca.org/cobit

Session Objectives

- Why COBIT is important
- What COBIT 5 is
 - Framework
 - Implementation Life Cycle
 - Process Reference Model
 - Process Assessment Method
- How to use COBIT
- What is different about COBIT 5 vs. COBIT 4.1



*A Business Framework for the
Governance and Management
of Enterprise IT*

COBIT[®] 5
AN ISACA[®] FRAMEWORK

Personal Copy of: Ms. Debra L. Mallette



COBIT 5 Laminate



Enabling Processes

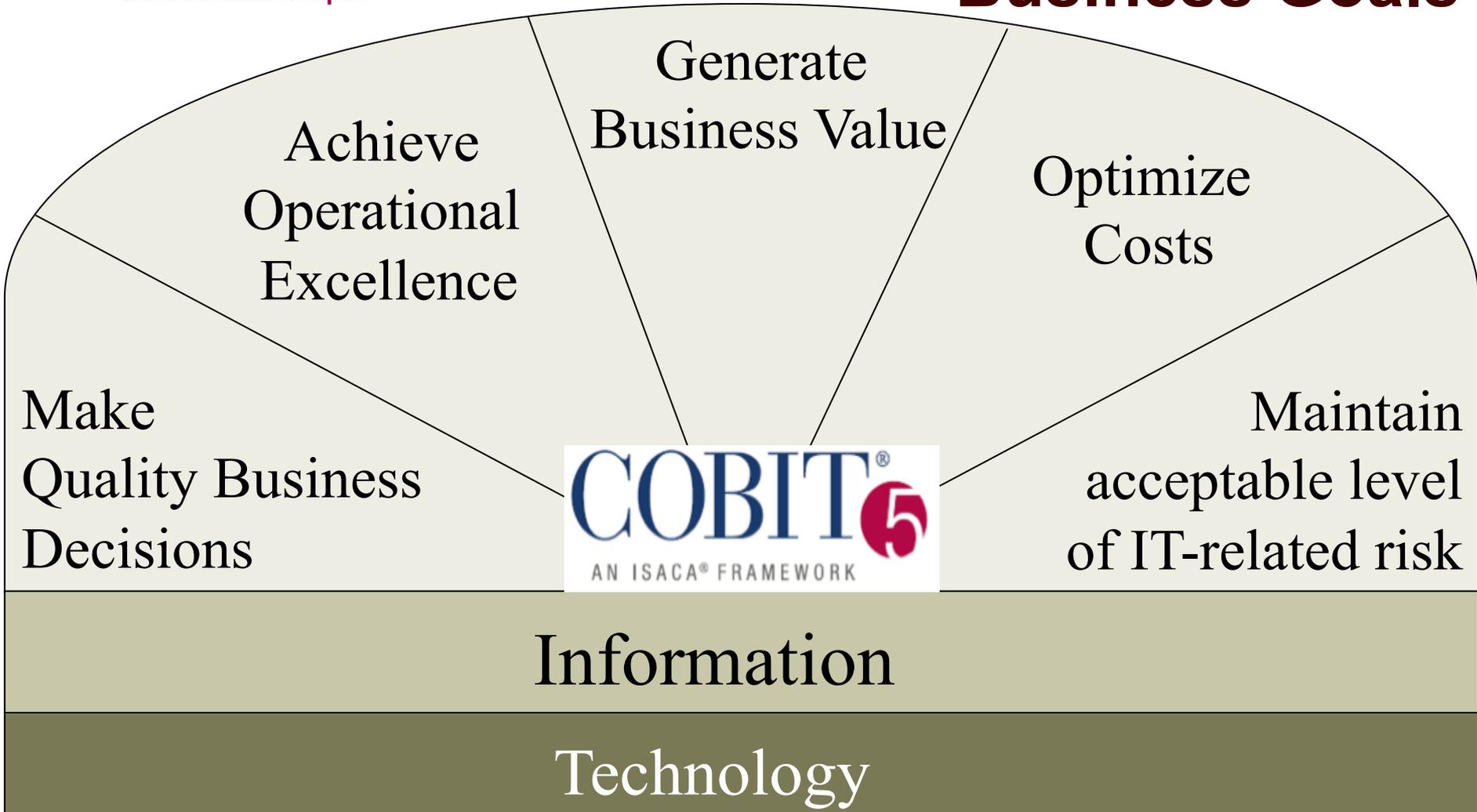
COBIT[®] 5
AN ISACA[®] FRAMEWORK

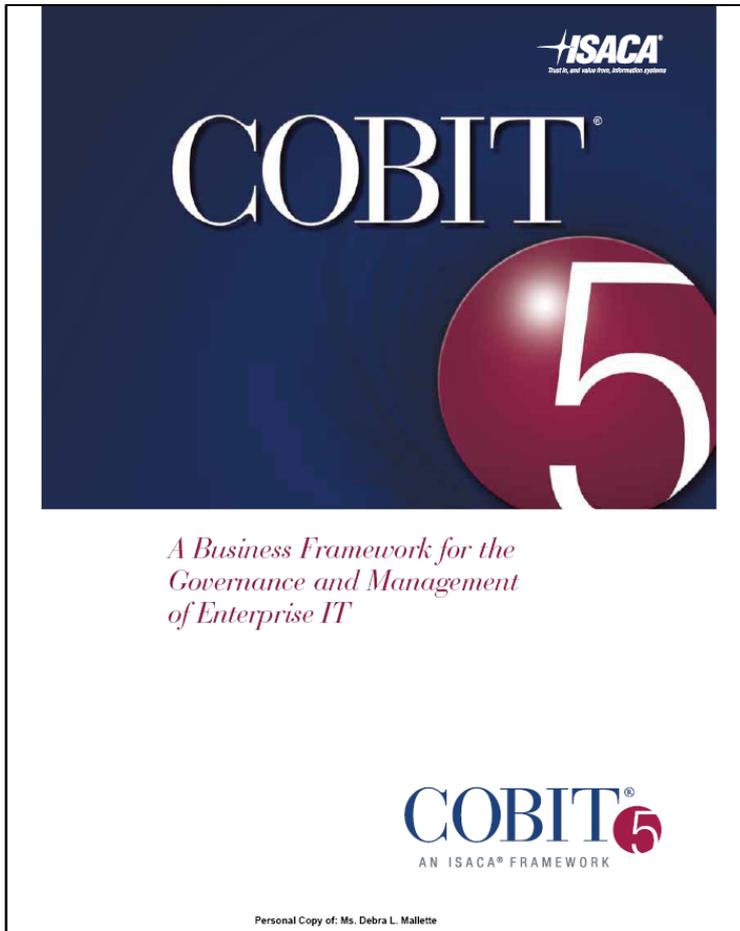
Personal Copy of: Ms. Debra L. Mallette

Why is COBIT important to Your Enterprise?

- ❑ IT audit and assurance de-facto standard
- ❑ Governance, Risk and Compliance
- ❑ Information Security
- ❑ Business value focused IT Process Framework
- ❑ ITIL, CMMI and PMBOK synergies
- ❑ Governance and Management processes
- ❑ “How to” monitor, evaluate, assess and improve business process performance

COBIT Framework to Achieve Business Goals

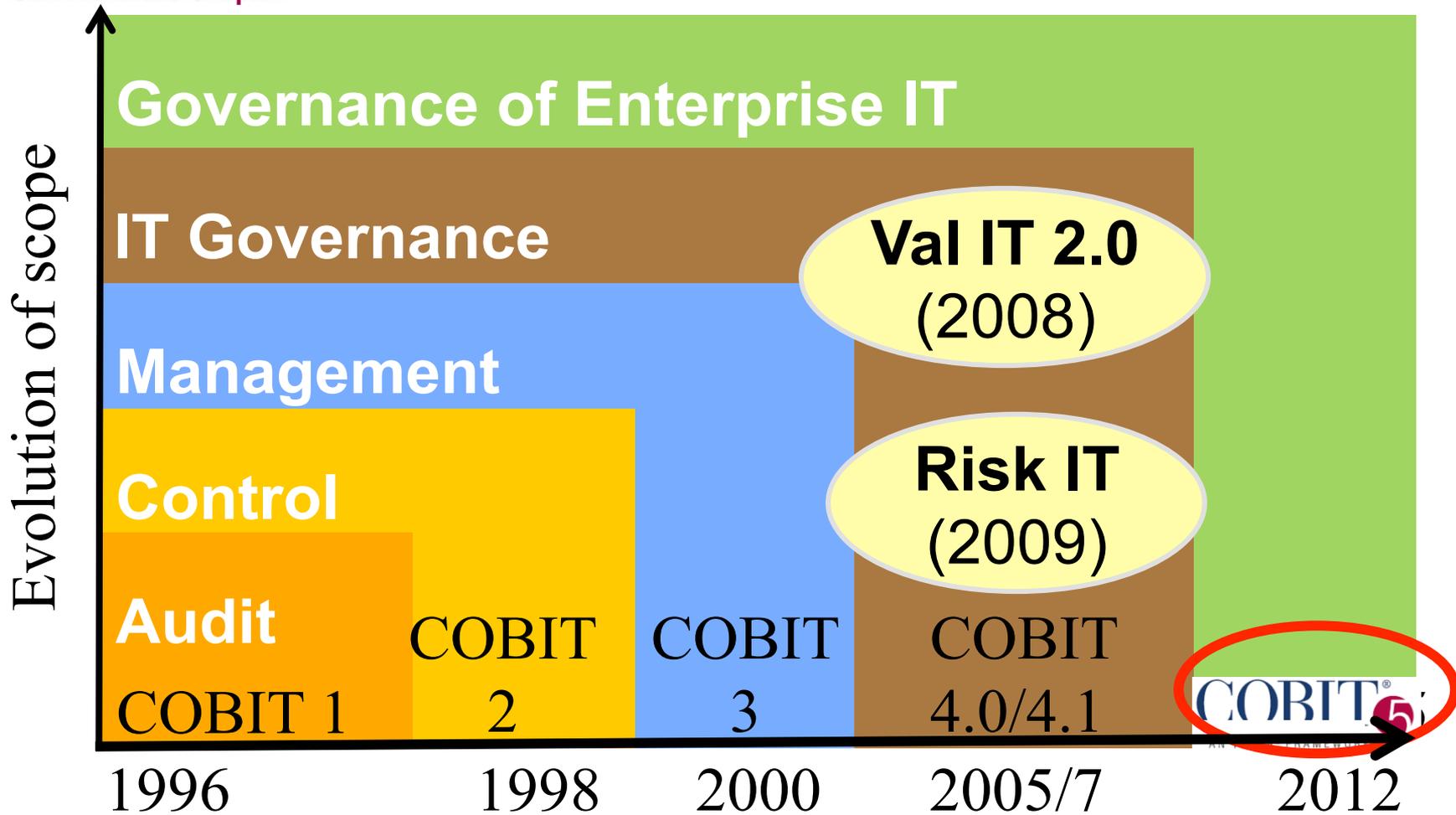




*A Business Framework for the
Governance and Management
of Enterprise IT*

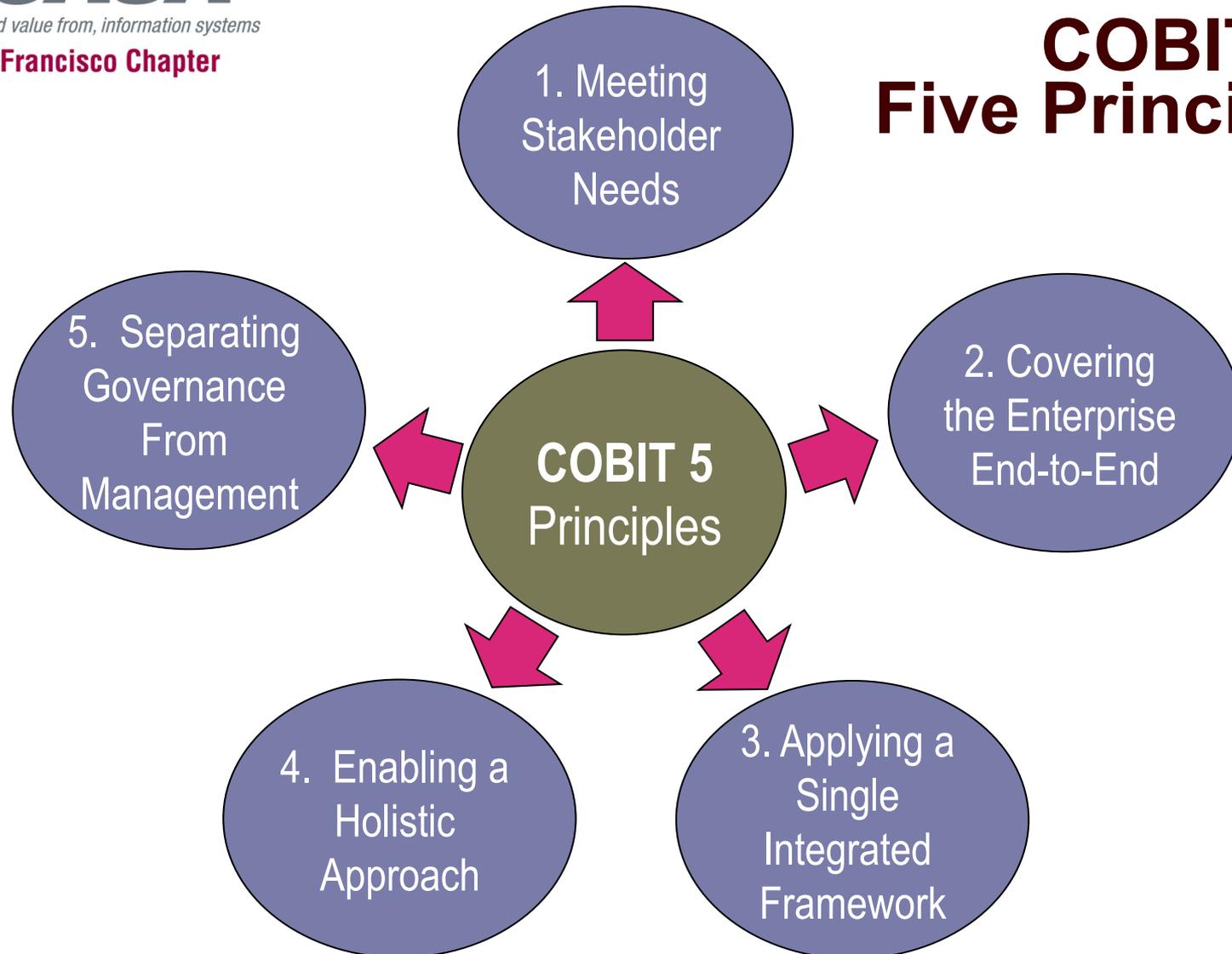
- Five Principles
- Seven Enablers
- Governance and Management
- Implementation Lifecycle
- Assessment Approach

Now a Complete Framework!

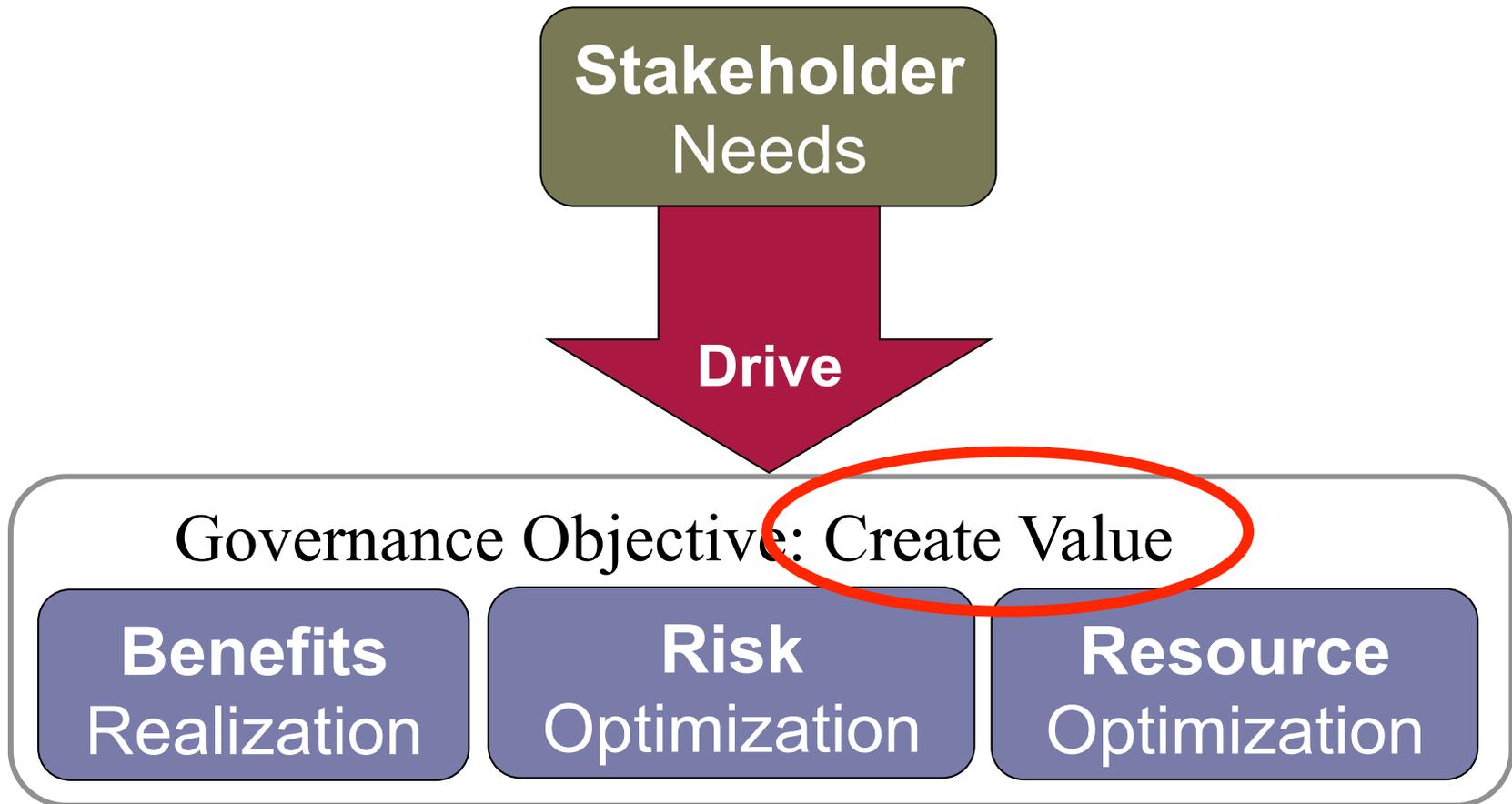


www.isaca.org/cobit

COBIT 5 – Five Principles



Principle 1. Meeting Stakeholder Needs



Stakeholder Needs

Drive

Influences

Governance Objective: Create Value

**Benefits
Realization**

**Risk
Optimization**

**Resource
Optimization**

Enterprise Goals

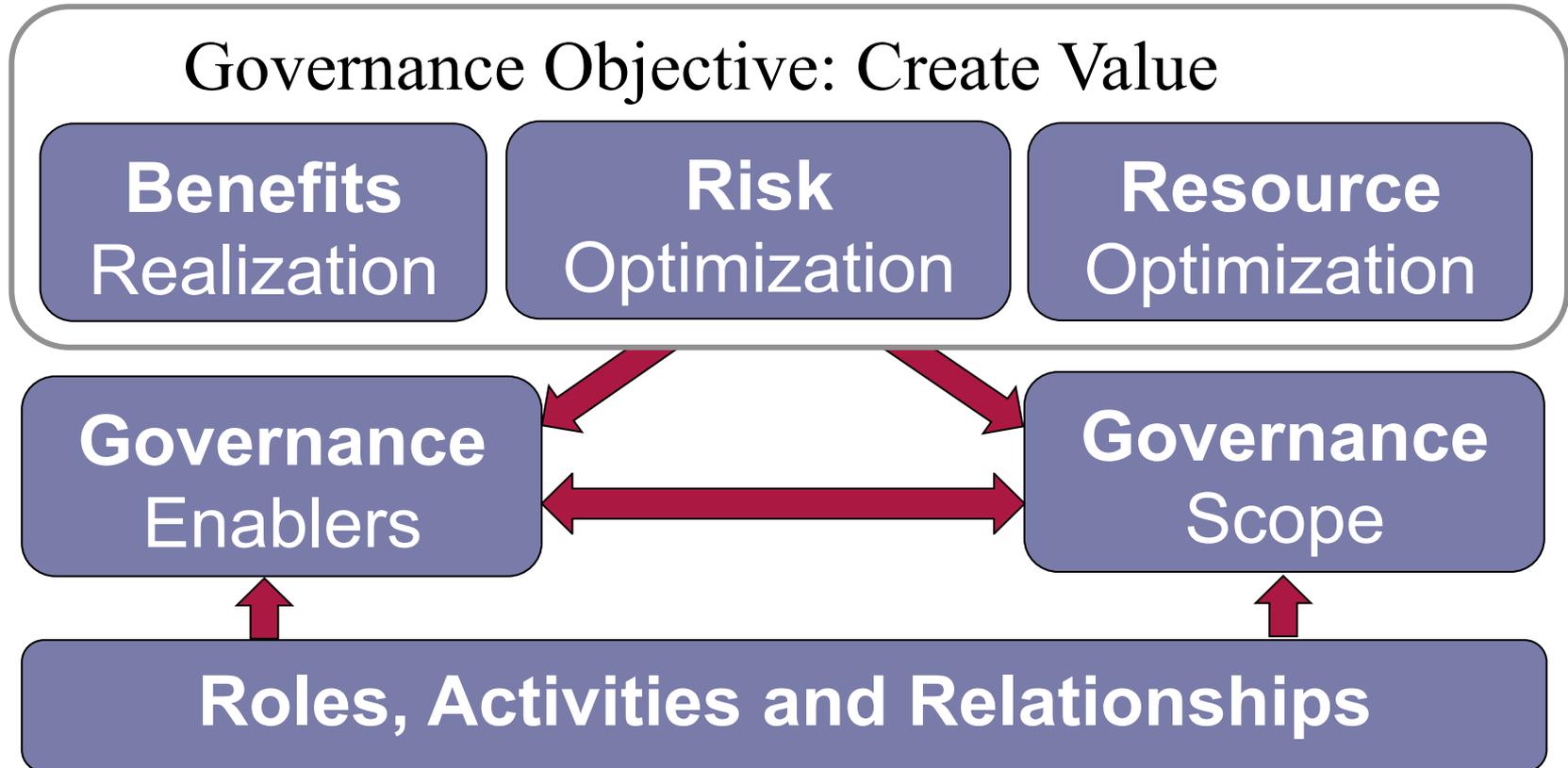
Cascades to

IT Related Goals

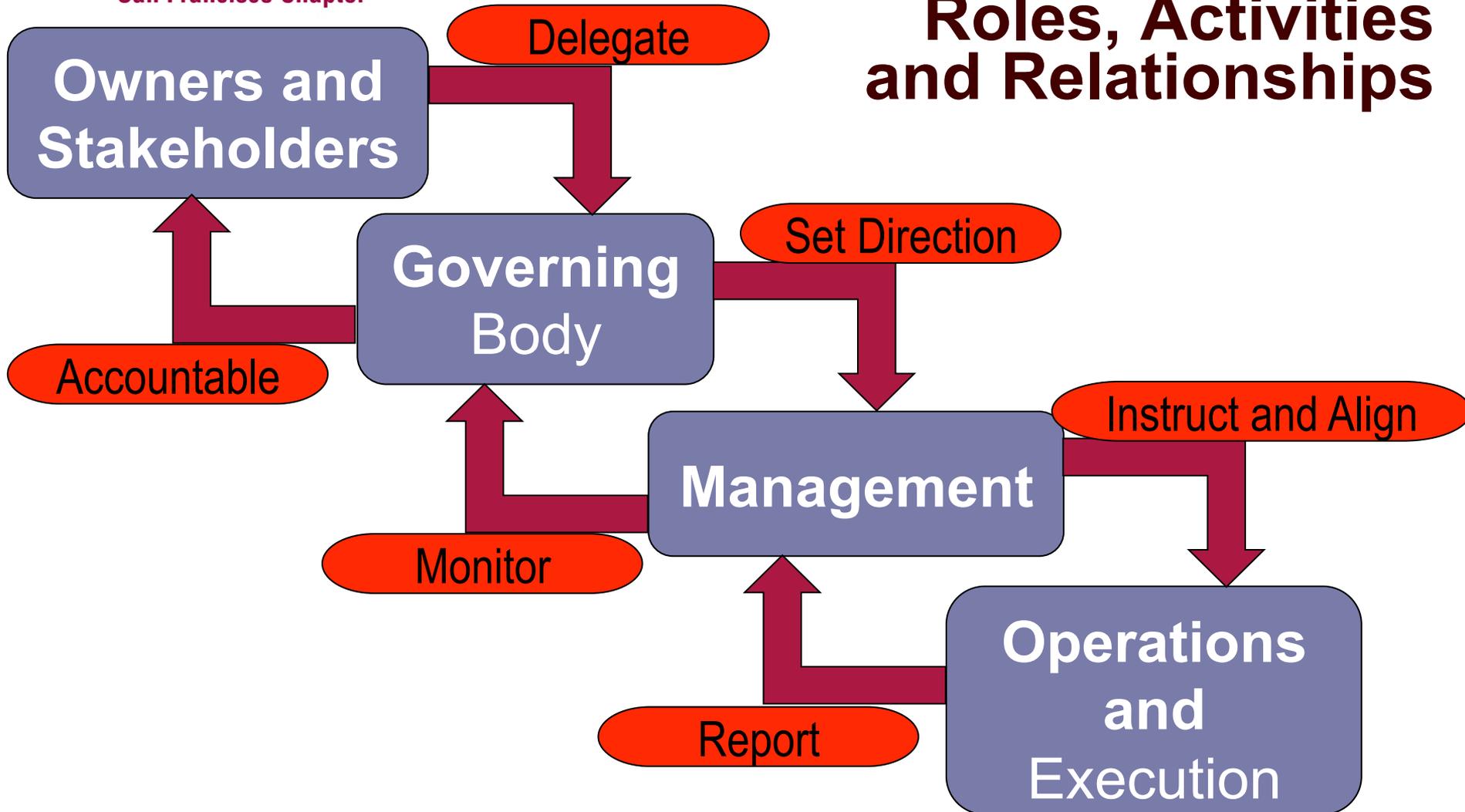
Cascades to

Enabler Goals

Principle 2. Covering the Enterprise End-to-End



Principle 2: Roles, Activities and Relationships



Principle 3: Applying a Single Integrated Framework

COBIT[®] 5
AN ISACA[®] FRAMEWORK

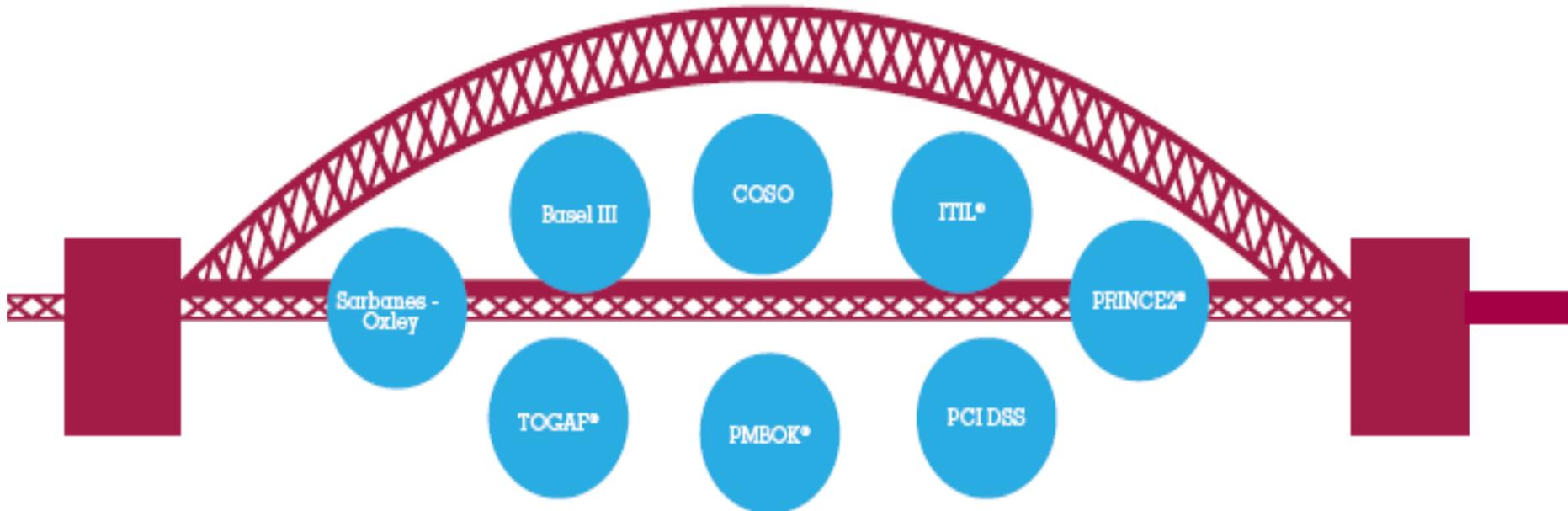
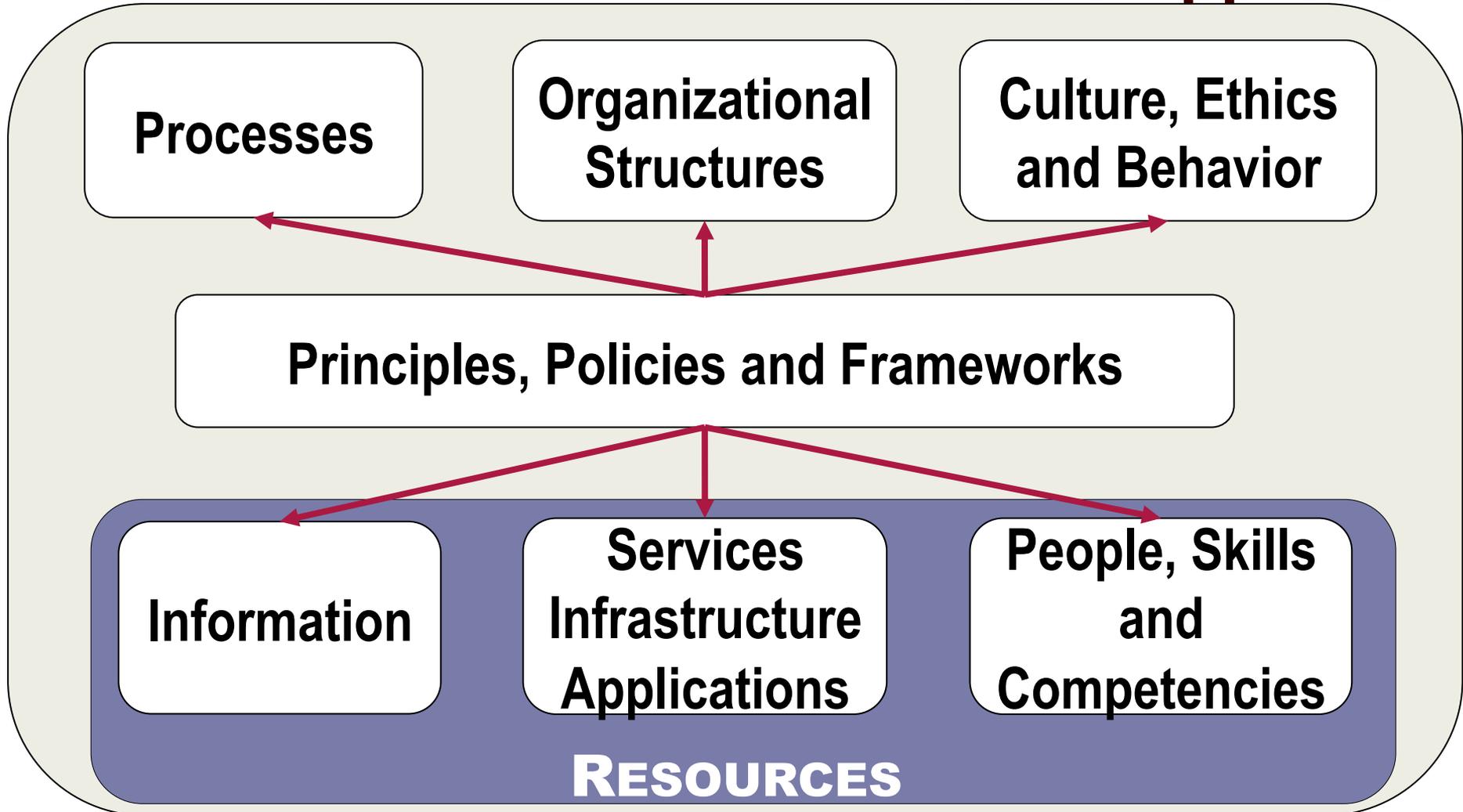
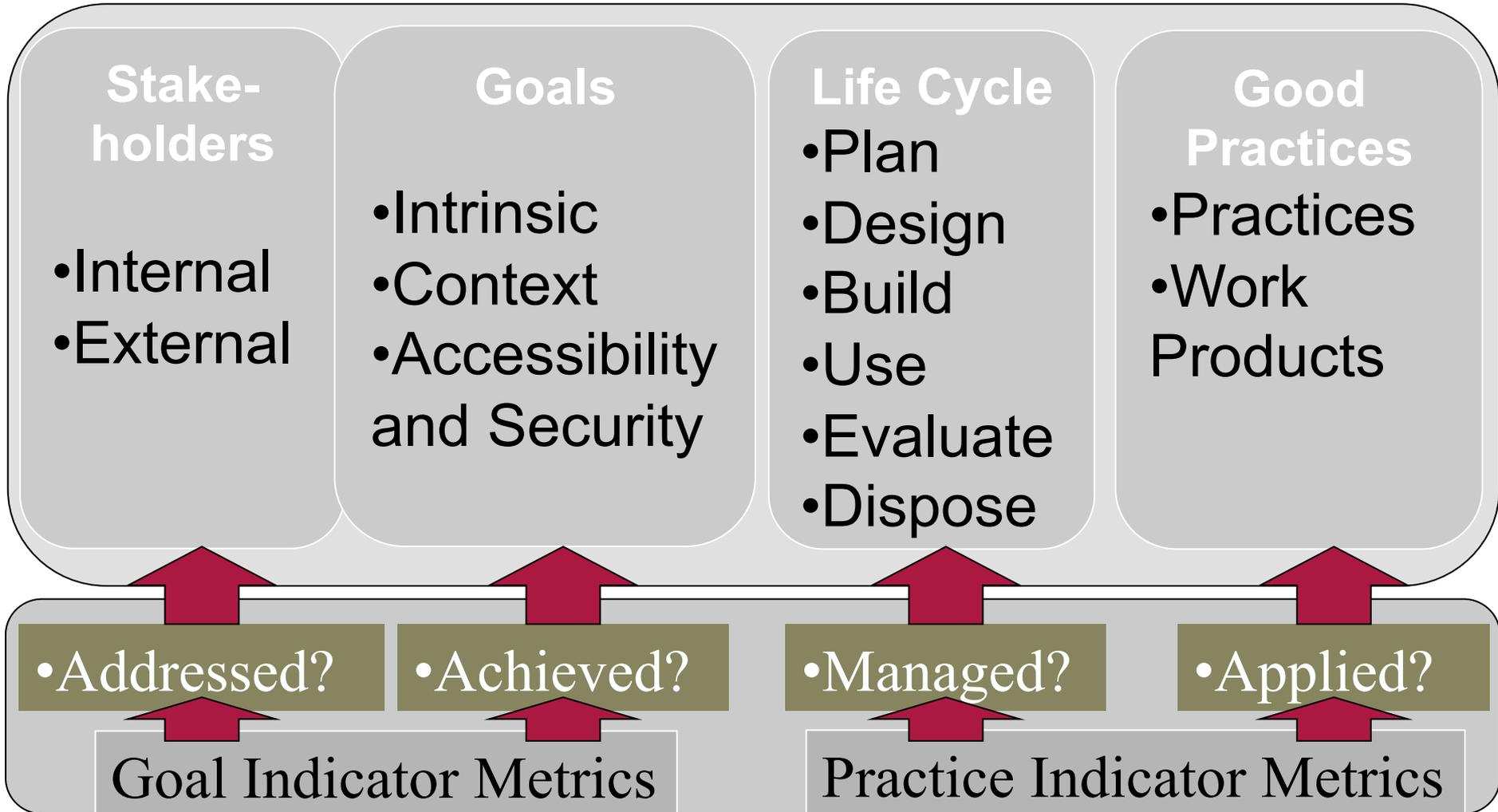


Diagram excerpt from COBIT 5 Essential Facts - Fact 4:
“COBIT 5 brings order to complex standards, regulations and frameworks”

Principle 4. Enabling a Holistic Approach

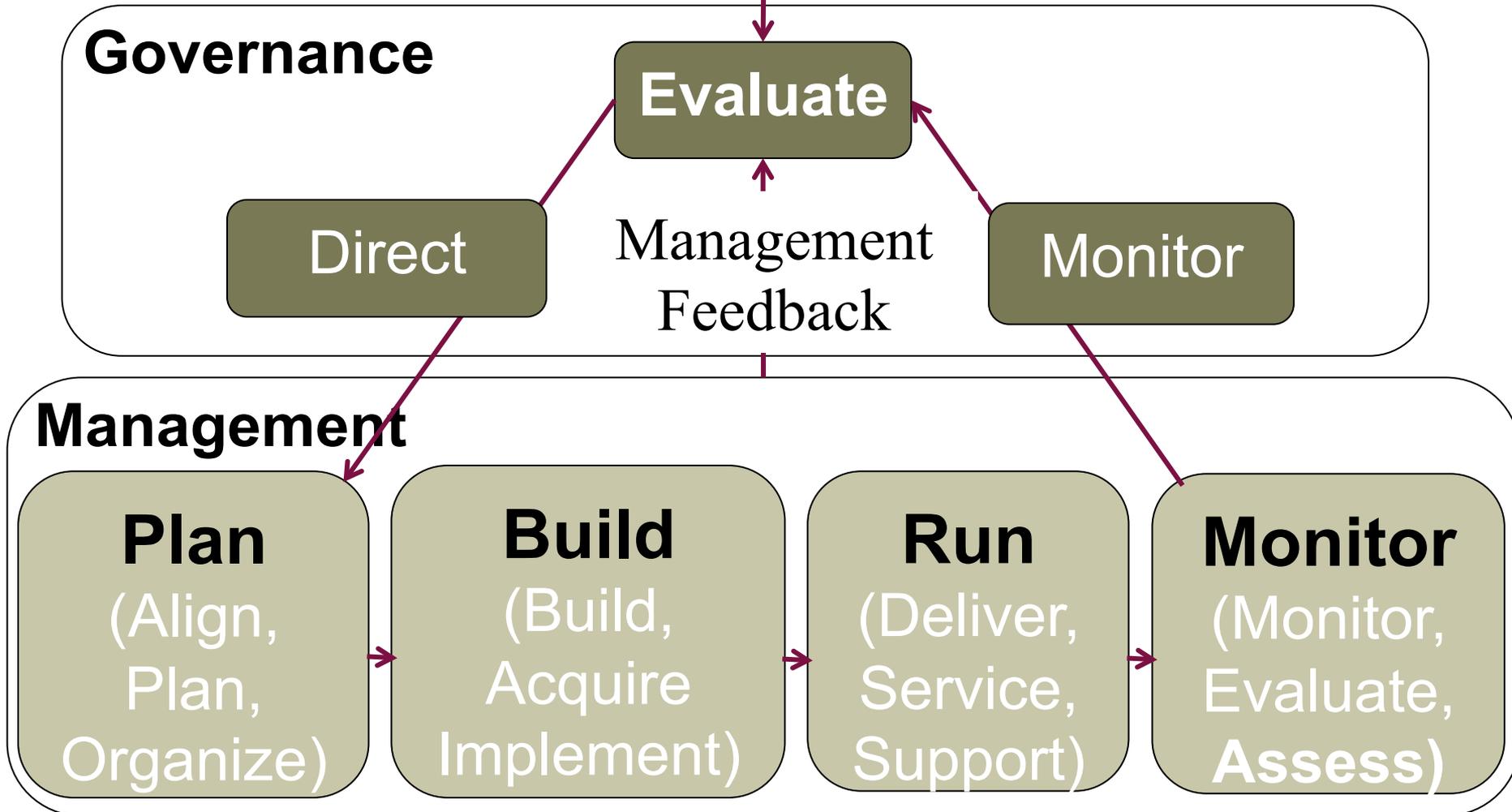


Enablers and Performance

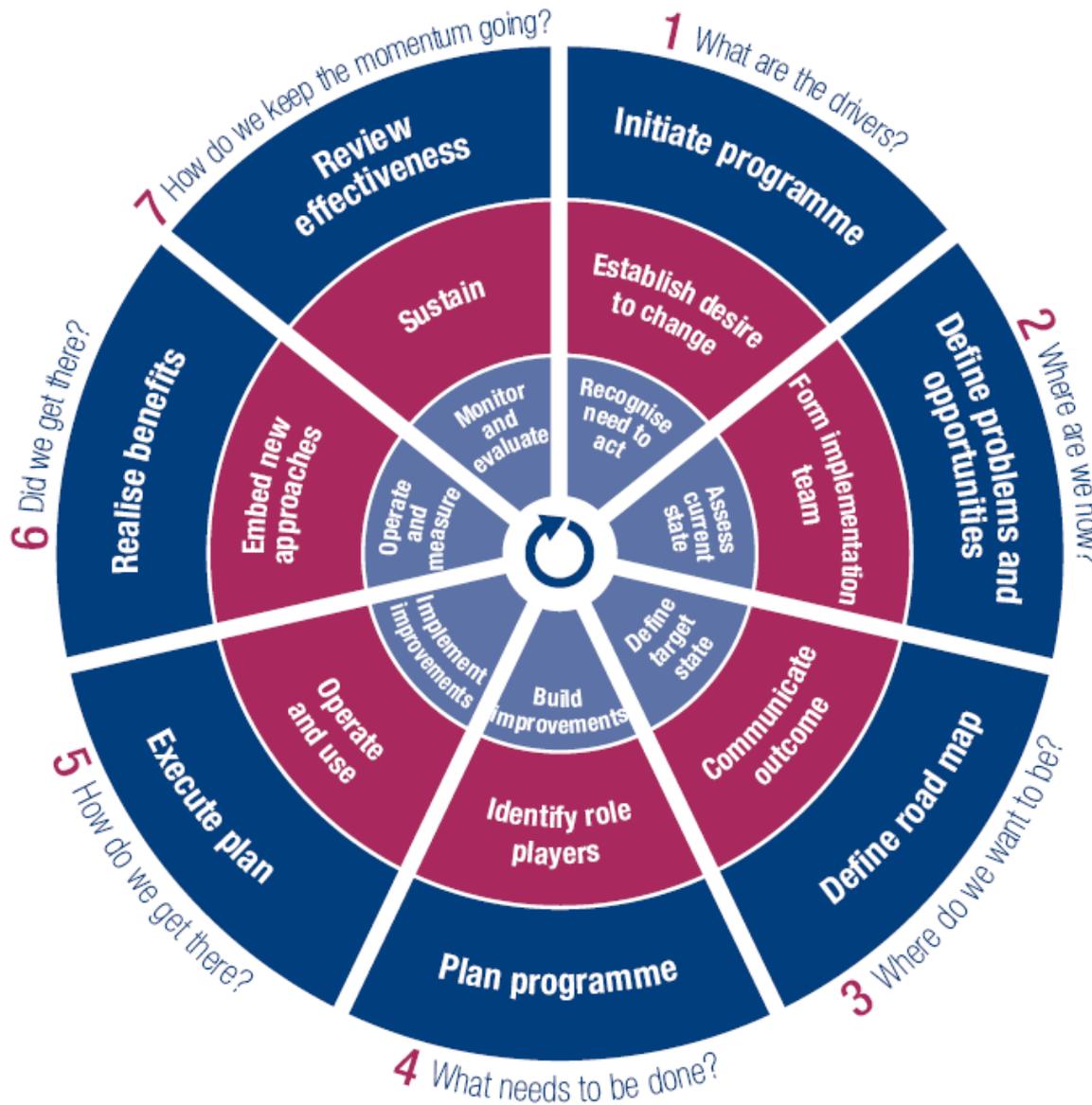


Principle 5:

Business Needs



The Seven Phases of the Implementation Life Cycle

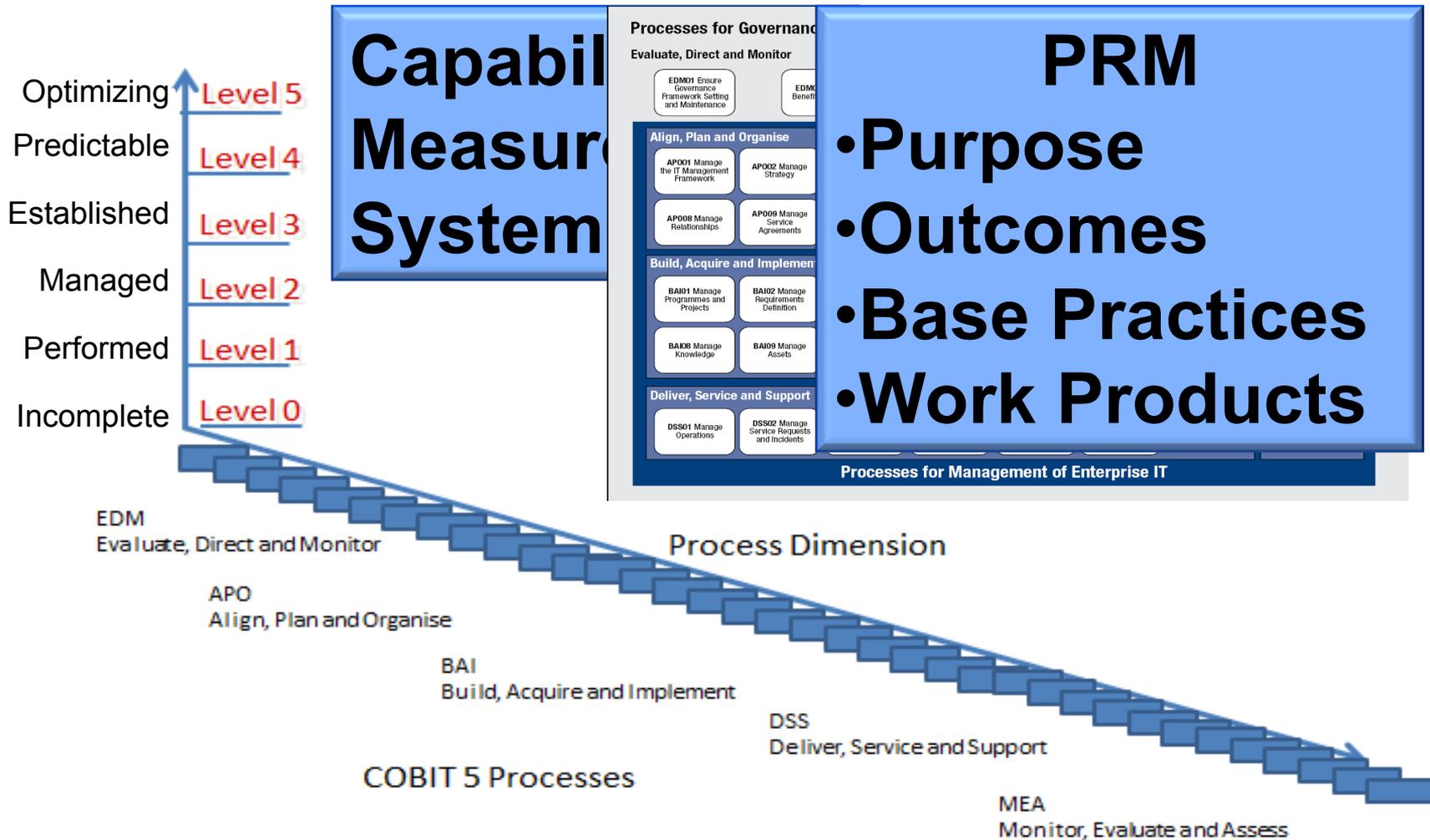


- **Programme management**
(outer ring)
- **Change enablement**
(middle ring)
- **Continual improvement life cycle**
(inner ring)

Process Capability Assessment Approach

- ❑ Detailed guidance for COBIT 5
- ❑ ISO/IEC 15504 Compliant method
- ❑ COBIT 5 Enabling Processes are defined as ISO/IEC 15504 compliant process reference model
- ❑ Raises bar – incomplete process if there is not evidence (metrics and work products) that purpose/goals are largely achieved
- ❑ Aligns with ITIL TIPA Assessment method

COBIT 5 PAM





Enabling Processes

COBIT[®]
AN ISACA[®] FRAMEWORK

Personal Copy of: Ms. Debra L. Mallette

COBIT 5 Enabling Processes

- Goals Cascade
- Process model explanation
- Diagram of Model
- Details for 37 Processes:
 - Purpose
 - Practices
 - Goals & Metrics
 - Activities & RACI
 - Work Products

Processes for Governance of Enterprise IT

Evaluate, Direct and Monitor

EDM01 Ensure Governance Framework Setting and Maintenance

EDM02 Ensure Benefits Delivery

EDM03 Ensure Risk Optimisation

EDM04 Ensure Resource Optimisation

EDM05 Ensure Stakeholder Transparency

Align, Plan and Organise

AP001 Manage the IT Management Framework

AP002 Manage Strategy

AP003 Manage Enterprise Architecture

AP004 Manage Innovation

AP005 Manage Portfolio

AP006 Manage Budget and Costs

AP007 Manage Human Resources

AP008 Manage Relationships

AP009 Manage Service Agreements

AP010 Manage Suppliers

AP011 Manage Quality

AP012 Manage Risk

AP013 Manage Security

Monitor, Evaluate and Assess

MEA01 Monitor, Evaluate and Assess Performance and Conformance

Build, Acquire and Implement

BAI01 Manage Programmes and Projects

BAI02 Manage Requirements Definition

BAI03 Manage Solutions Identification and Build

BAI04 Manage Availability and Capacity

BAI05 Manage Organisational Change Enablement

BAI06 Manage Changes

BAI07 Manage Change Acceptance and Transitioning

MEA02 Monitor, Evaluate and Assess the System of Internal Control

BAI08 Manage Knowledge

BAI09 Manage Assets

BAI10 Manage Configuration

Deliver, Service and Support

DSS01 Manage Operations

DSS02 Manage Service Requests and Incidents

DSS03 Manage Problems

DSS04 Manage Continuity

DSS05 Manage Security Services

DSS06 Manage Business Process Controls

MEA03 Monitor, Evaluate and Assess Compliance With External Requirements

Processes for Management of Enterprise IT

COBIT4.1 Framework

BUSINESS OBJECTIVES

GOVERNANCE OBJECTIVES

COBIT

ME1 Monitor and evaluate IT performance.
ME2 Monitor and evaluate internal control.
ME3 Ensure compliance with external requirements.
ME4 Provide IT governance.

PO1 Define a strategic IT plan.
PO2 Define the information architecture.
PO3 Determine technological direction.
PO4 Define the IT processes, organisation and relationships.
PO5 Manage the IT investment.
PO6 Communicate management aims and direction.
PO7 Manage IT human resources.
PO8 Manage quality.
PO9 Assess and manage IT risks.
PO10 Manage projects.

INFORMATION
CRITERIA

- Effectiveness
- Efficiency
- Confidentiality
- Integrity
- Availability
- Compliance
- Reliability

IT RESOURCES

- Applications
- Information
- Infrastructure
- People

MONITOR AND
EVALUATE

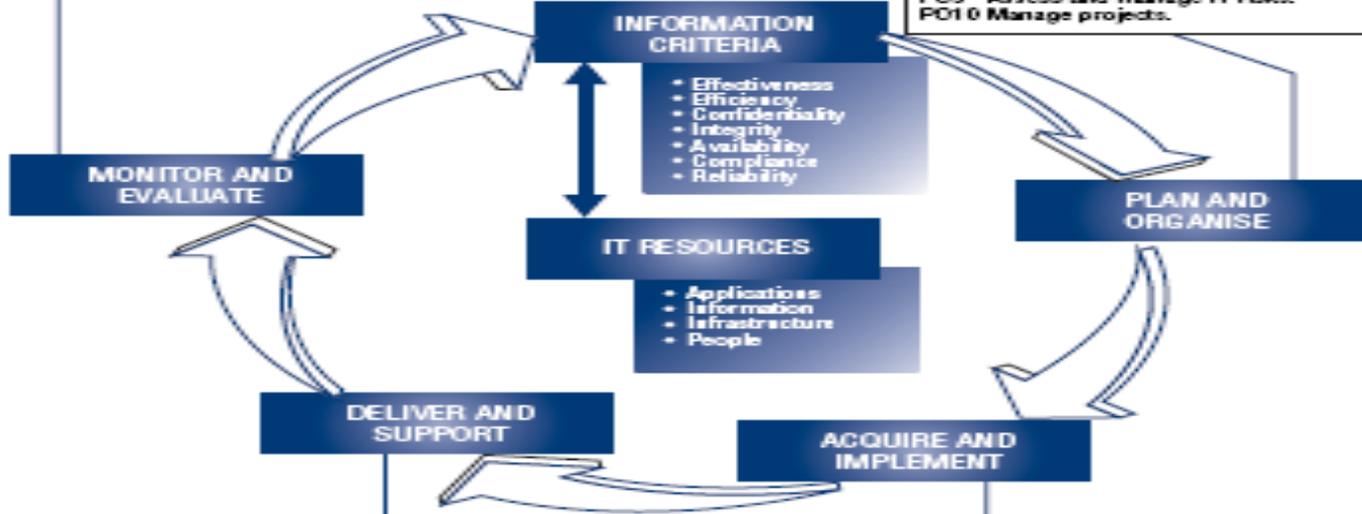
PLAN AND
ORGANISE

DELIVER AND
SUPPORT

ACQUIRE AND
IMPLEMENT

DS1 Define and manage service levels.
DS2 Manage third-party services.
DS3 Manage performance and capacity.
DS4 Ensure continuous service.
DS5 Ensure systems security.
DS6 Identify and allocate costs.
DS7 Educate and train users.
DS8 Manage service desk and incidents.
DS9 Manage the configuration.
DS10 Manage problems.
DS11 Manage data.
DS12 Manage the physical environment.
DS13 Manage operations.

A11 Identify automated solutions.
A12 Acquire and maintain application software.
A13 Acquire and maintain technology infrastructure.
A14 Enable operation and use.
A15 Procure IT resources.
A16 Manage changes.
A17 Install and accredit solutions and changes.



COBIT 4.1 v.s COBIT 5

COBIT 4.1

- Governance embedded
- No Val IT and Risk IT
- IT Management and Audit focus

COBIT 5.0

- 5 Principles
- “Principle-driven” approach
- Bridge from COBIT 4.1
- Enablers developed as “Pulled”



Summary

Processes for Governance of Enterprise IT

Evaluate, Direct and Monitor

EDM01 Ensure Governance Framework Setting and Maintenance

EDM02 Ensure Benefits Delivery

EDM03 Ensure Risk Optimisation

EDM04 Ensure Resource Optimisation

EDM05 Ensure Stakeholder Transparency

Align, Plan and Organise

AP001 Manage the IT Management Framework

AP002 Manage Strategy

AP003 Manage Enterprise Architecture

AP004 Manage Innovation

AP005 Manage Portfolio

AP006 Manage Budget and Costs

AP007 Manage Human Resources

AP008 Manage Relationships

AP009 Manage Service Agreements

AP010 Manage Suppliers

AP011 Manage Quality

AP012 Manage Risk

AP013 Manage Security

Build, Acquire and Implement

BAI01 Manage Programmes and Projects

BAI02 Manage Requirements Definition

BAI03 Manage Solutions Identification and Build

BAI04 Manage Availability and Capacity

BAI05 Manage Organisational Change Enablement

BAI06 Manage Changes

BAI07 Manage Change Acceptance and Transitioning

BAI08 Manage Knowledge

BAI09 Manage Assets

BAI10 Manage Configuration

Deliver, Service and Support

DSS01 Manage Operations

DSS02 Manage Service Requests and Incidents

DSS03 Manage Problems

DSS04 Manage Continuity

DSS05 Manage Security Services

DSS06 Manage Business Process Controls

Monitor, Evaluate and Assess

MEA01 Monitor, Evaluate and Assess Performance and Conformance

MEA02 Monitor, Evaluate and Assess the System of Internal Control

MEA03 Monitor, Evaluate and Assess Compliance With External Requirements

Processes for Management of Enterprise IT

*Great ideas need landing gear as well as wings.
~C.D. Jackson*

Debra Mallette, CGEIT, CISA, CSSBB

Sr. Process Consultant/Specialist
Enterprise Process Delivery Management (EPDM)

Kaiser Permanente

IT IMG Business & Supplier Management Services, EPDM
(BSMS - Formerly IT IMG Supplier Services Management)
5810 Owens Drive, MS F-1039
Pleasanton, CA 94588

925 924 5123 (office)
8 504 5123 (tie line)
510 295 3217 (mobile phone)
debra.mallette (sametime)

kp.org/thrive

