THE COBIT 5 FRAMEWORK COURSE

• How IT management issues are affecting organizations
• The need for an effective framework to govern and manage enterprise IT
• How COBIT meets the requirement for an IT governance framework
• How COBIT is used with other standards and best practices
• The functions that COBIT provides and the benefits of using COBIT
• The COBIT Framework and all the components of COBIT
• How to apply COBIT in a practical situation
• ***Assist students in their preparation for the COBIT 5 Foundation Exam (for more information on exam details and registering for the exam visit www.isaca.org)
COBIT 5 INTRODUCTION

- Module 1: An Overview of COBIT 5
- Module 2: Principle 1: Meeting Stakeholder Needs
- Module 3: Principle 2: Covering the Enterprise End to End
- Module 5: Principle 4: Enabling a Holistic Approach
- Module 6: Principle 5: Separating Governance from Management
- Module 7: Implementation
- Module 8: The COBIT Capability Model

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MODULE 1

An Overview of COBIT 5
MODULE 1: AN OVERVIEW OF COBIT 5

• What is COBIT 5?
• Preparing for the Foundation Exam
• COBIT 5 Goals Cascade
• Utilizing the Goals Cascade
• Responding to Governance and Management Questions in Relation to IT
WHAT IS COBIT 5?

- A comprehensive framework that helps enterprises to achieve their objectives for the governance and management of IT in the enterprise.
- Assists in maintaining a balance between benefits, risks and resource usage.
- Allows a holistic approach to IT governance and management to provide the greatest benefit.
- Allows the needs of both internal and external stakeholders to be met.
- A generic framework that can benefit organizations of all size, whether commercial, not-for-profit, or public sector.
- 5 main principles and 34 processes.
WHAT IS COBIT 5?

- Based on 5 Principles
- Principle 1: Meeting Stakeholder Needs
- Principle 2: Covering the Enterprise End to End
- Principle 3: Applying a Single Integrated Framework
- Principle 4: Enabling a Holistic Approach
- Principle 5: Separating Governance from Management
AN OVERVIEW OF COBIT 5

The major drivers for COBIT are to help us:

- Provide more stakeholders a means in determining what they expect from IT balancing benefits/risk/cost
- Prioritize stakeholder needs
- Address an organization’s success on 3rd party entities
- Deal with ever-increasing amounts of data. What is relevant and/or credible? How do we maximize the information we have?
- Understanding and utilizing the pervasiveness of Information Technology and related resources.
- Facilitate the integration of IT and Business Functions
- Provide for innovation and emerging technologies
- Cover the full end-to-end IT and business functional responsibilities and allow for more effective governance and maintenance
- Deliver more value and increase satisfaction with IT service
- Connect and align with other major frameworks (ITIL, PMBOK, COSO)
MODULE 2

Principle 1: Meeting Stakeholder Needs
### Internal Stakeholders

- Board
- Chief Executive Officer (CEO)
- Chief Financial Officer (CFO)
- Chief Information Officer (CIO)
- Chief Risk Officer (CRO)
- Business Executives
- Business Process Owners
- Business Managers
- Risk Managers
- Security Managers
- Service Managers
- HR Managers
- Internal Audit
- IT Users
- IT Managers
- Etc.

### Internal Stakeholder Questions

- How do I get Value from use of IT? Are end users satisfied with quality of the IT Services?
- 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 is IT outsourcing agreements being managed?
- How do I assurance over external providers?
- What are the (control) requirements for information?
- Did I address all IT-related risk?
- Am I running efficient and resilient IT Operations?
- How do I control the cost IT? How do I use IT resources in 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 am I processing is 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 to do if IT is not available?

### External Stakeholders

- Business Partners
- Suppliers
- Shareholders
- Regulators / Government
- External Users
- Customers
- Clients
- Standardization organizations
- External Auditors
- Consultants
- Etc.

### External Stakeholder Questions

- How do I know my business partner’s operations are secure and reliable?
- How do I know the organization is compliant with applicable rules and regulations?
- How do I know the enterprise is maintaining effective system of internal control?
- How do I know my Clients demanding expectations and agility is addressed?
PRINCIPLE 1: MEETING STAKEHOLDERS NEEDS

- Every enterprise has the objective create value for their stakeholders
- Value is achieved by balancing costs/benefits/risk
- Benefits are not always monetary
- Stakeholders may have differing ideas of “value”
- Governance guides the negotiation and decisions regarding the prioritization of stakeholder needs
WHAT IS QUALITY?

• The degree to which a product meets its requirements

• If requirements are not clearly understood, we will not deliver quality

• Our goal is to create a product in which the stakeholders are provided the quality of product they desire based on cost/benefit ratio.
THE COBIT VALUE CREATION

Governance Objective: Value Creation

Benefits Realisation
Risk Optimisation
Resource Optimisation

Stakeholder Needs

Drive

Courtesy of ISACA.org
COBIT 5 GOALS CASCADE

• The Goals Cascade translates stakeholder needs into actionable goals

• Step 1: Stakeholder Drivers Influence Stakeholder Needs
  • Step 2: Stakeholder Needs Cascade to Enterprise Goals
  • Step 3: Enterprise Goals Cascade to IT-Related Goals
  • Step 4: IT-Related Goals Cascade to Enabler Goals
COBIT 5 GOALS CASCADE VISUALLY
WHAT ARE THE DRIVERS THAT INFLUENCE STAKEHOLDER NEEDS?

• High level driven by the organizations governing structure
• Why are they making this change/implementing this feature or product?
• Emergence of new technology
• Maintain regulatory compliance
• Change of strategy
• Increase market demand
• Numerous others
WHAT ARE ENTERPRISE GOALS?

• The needs of stakeholders are then translated to generic enterprise goals
• Developed using the balanced scorecard representing a which allows most enterprise-specific goals to be mapped to a list of commonly used goals
• 17 generic goals of the enterprise
• Keep in mind these are general guidelines, and will vary to a degree from organization to organization
## COBIT 5 Enterprise Goals

<table>
<thead>
<tr>
<th>BSC Dimension</th>
<th>Enterprise Goal</th>
<th>Relation to Governance Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Benefits Realisation</td>
</tr>
<tr>
<td>Financial</td>
<td>1. Stakeholder value of business investments</td>
<td>P</td>
</tr>
<tr>
<td></td>
<td>2. Portfolio of competitive products and services</td>
<td>P</td>
</tr>
<tr>
<td></td>
<td>3. Managed business risk (safeguarding of assets)</td>
<td>P</td>
</tr>
<tr>
<td></td>
<td>4. Compliance with external laws and regulations</td>
<td>P</td>
</tr>
<tr>
<td></td>
<td>5. Financial transparency</td>
<td>P</td>
</tr>
<tr>
<td>Customer</td>
<td>6. Customer-oriented service culture</td>
<td>P</td>
</tr>
<tr>
<td></td>
<td>7. Business service continuity and availability</td>
<td>P</td>
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<td></td>
<td>8. Agile responses to a changing business environment</td>
<td>P</td>
</tr>
<tr>
<td></td>
<td>9. Information-based strategic decision making</td>
<td>P</td>
</tr>
<tr>
<td></td>
<td>10. Optimisation of service delivery costs</td>
<td>P</td>
</tr>
<tr>
<td>Internal</td>
<td>11. Optimisation of business process functionality</td>
<td>P</td>
</tr>
<tr>
<td></td>
<td>12. Optimisation of business process costs</td>
<td>P</td>
</tr>
<tr>
<td></td>
<td>13. Managed business change programmes</td>
<td>P</td>
</tr>
<tr>
<td></td>
<td>14. Operational and staff productivity</td>
<td>P</td>
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<td></td>
<td>15. Compliance with internal policies</td>
<td>P</td>
</tr>
<tr>
<td>Learning and Growth</td>
<td>16. Skilled and motivated people</td>
<td>S</td>
</tr>
<tr>
<td></td>
<td>17. Product and business innovation culture</td>
<td>P</td>
</tr>
</tbody>
</table>
## Enterprise Goals

<table>
<thead>
<tr>
<th>IT-related Goal</th>
<th>Primary IT-related Goals</th>
<th>Secondary IT-related Goals</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Managed IT-related business risk</td>
<td>Alignment of IT and business strategy</td>
</tr>
<tr>
<td></td>
<td>Transparency of IT costs, benefits and risk</td>
<td>Realised benefits from IT-enabled investments and services portfolio</td>
</tr>
<tr>
<td></td>
<td>Optimisation of IT assets, resources and capabilities</td>
<td>Adequate use of applications, information and technology solutions</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Enablement and support of business processes by integrating applications and technology into business processes</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Delivery of programmes delivering benefits, on time, on budget, and meeting requirements and quality standards</td>
</tr>
</tbody>
</table>

**Primary IT-related Goals**
- Managed IT-related business risk
- Transparency of IT costs, benefits and risk
- Optimisation of IT assets, resources and capabilities

**Secondary IT-related Goals**
- Alignment of IT and business strategy
- Realised benefits from IT-enabled investments and services portfolio
- Adequate use of applications, information and technology solutions
- Enablement and support of business processes by integrating applications and technology into business processes
- Delivery of programmes delivering benefits, on time, on budget, and meeting requirements and quality standards
COBIT 5 defines 7 interdependent enablers:

1. **Principles, Policies and Frameworks**: Translates the desired behavior into practical guidance for day-to-day behavior

2. **Processes**: Describe a set of practices to achieve specific objectives, and also produce a set of outputs to achieve IT Related goals

3. **Organizational Structures**: Key decision making entities in an enterprise

4. **Culture, Ethics and Behavior**: Includes both individuals and enterprise (often underestimated)

5. **Information**: Pervasive throughout the enterprise and includes all information produced and used by the enterprise

6. **Services, Infrastructure and Applications**: Provides the enterprise with the ability to process information

7. **People, Skills and Competencies**: Linked to people and required for successful completion of activities

***To be discussed in further detail in Chapter 5***
BENEFITS OF USING THE GOALS CASCADE

• Defines meaningful, relevant goals and objectives at various levels of responsibility

• Filters the knowledge base of COBIT 5, based on enterprise goals to detail relevant guidance for inclusion in specific implementation, improvement or assurance objectives

• Clearly identifies and communicates how enablers are important to achieve enterprise goals

Source: COBIT 5 ISACA Framework p 20
USE CAUTION IN APPLYING THE GOALS CASCADE

- All enterprises have different priorities and it is impossible to create a framework that can be universally applied.
- The mapping tables to differentiate based on size or industry of the organization.
- The indicators in mapping use two levels of importance (primary and secondary) whereas in reality there is usually more of a continuum of various degrees of relevance.
GOALS CASCADE IN PRACTICE

- **Stakeholder Driver:** A stakeholder driver is to maintain the enterprise customer base, even though new competitors have entered the market.
- **Stakeholder driver is mapped to stakeholder need:** Key Stakeholders define their needs, such as improving customer satisfaction.
- **Stakeholder need is mapped to enterprise goal:**
  - The enterprise determines that the Primary Enterprise Goals should be:
    6. Customer-oriented service culture
    7. Business service continuity and availability
    8. Agile responses to a changing business environments
- **Enterprise goals are mapped to IT-related goals**
  - IT-related goals are suggested as most important:
    01 Alignment of IT and business strategy
    04 Managed IT-related business risk
    09 IT agility
    10 Security of information, processing infrastructure and applications
    14 Availability of reliable and useful information for decision making
  - The enterprise validates the list and determines priorities of IT-related goals
- **The IT-related goals drive a number of enabler goals, which include process goals**
MODULE 3

Principle 2: Covering the Enterprise End-to-End
PRINCIPLE 2  COVERING THE ENTERPRISE END-TO-END

• Also referred to as “The Governance Approach”
• COBIT 5 aligns governance of the enterprise to governance of IT to provide seamless integration into any governance system.
• COBIT 5 aligns with the latest view on governance and existing standards like ITIL and PMBOK
• Covers all functions and processes required to govern and manage enterprise information and related technologies, including both internal and external services and processes
• Enablers, which apply to all elements of the organization are relevant to both governance and management and include activities and responsibilities of both IT, and non-IT business functions
FOUR MAIN ELEMENTS OF THE GOVERNANCE APPROACH

GOVERNANCE OBJECTIVE OF CREATING VALUE

- Stakeholder Needs
  - Benefits
  - Realisation
  - Risk
  - Optimisation
  - Resource
  - Optimisation

ENABLERS

1. Principles, Policies and frameworks
2. Processes
3. Organizational Structures
4. Culture, Ethics and Behaviour
5. Information
6. Services Infrastructure and Application Resources
7. People, Skills and Competencies

SCOPE

ROLES, ACTIVITIES AND RELATIONSHIPS

- Owners and Stakeholders
  - Delegate
  - Accountable

- Governing Body
  - Set Direction
  - Monitor

- Management
  - Instruct and Align
  - Report

- Operations & Executions
ELEMENTS OF GOVERNANCE

- Governance Enablers: Organizational resources such as frameworks, principles, structures, processes and practices for action in which objectives can be attained. Enablers further include the resources of the enterprise such as IT infrastructure, applications, people and information. If the appropriate enablers are not available, the enterprise may not be able to create value.

- Governance Scope: Governance can be applied to many entities: the entire enterprise, an entity or an asset. The scope of the governance system must be well described. By default COBIT 5 addresses the enterprise, but the framework can be applied to any of the different views.

- Roles, Relationships and activities: defines who is involved in governance, what they do and their interaction within the governance system. COBIT 5 describes a clear separation of governance and management, but also the interfaces between them and the roles players that are involved.
MODULE 4

Principle 3: Applying a Single Integrated Framework
PRINCIPLE 3: APPLYING A SINGLE INTEGRATED FRAMEWORK

- Alignment with other relevant standards and frameworks, and thus allows the enterprise to use COBIT 5 as the overarching governance and management framework integrator.

- It is complete in enterprise coverage, providing a basis to integrate effectively other frameworks, standards and practices used.

- A single overarching framework serves as a consistent and integrated source of guidance in a nontechnical, technology-agnostic common language.

- It provides a simple architecture for structuring guidance materials and producing a consistent product set.

- Integrates all knowledge previously dispersed over different ISACA frameworks, such as COBIT, Val IT, Risk IT, BMIS, the publication Board Briefing on IT Governance, and ITAF to provide guidance and assistance to enterprises. COBIT 5 integrates all of this knowledge.
COBIT SINGLE INTEGRATED FRAMEWORK
COBIT® 5 Product Family

COBIT® 5

COBIT® 5 Enabler Guides
- COBIT® 5: Enabling Processes
- COBIT® 5: Enabling Information
- Other Enabler Guides

COBIT® 5 Professional Guides
- COBIT® 5 Implementation
- COBIT® 5 for Information Security
- COBIT® 5 for Assurance
- COBIT® 5 for Risk
- Other Professional Guides

COBIT 5 Online Collaborative Environment
<table>
<thead>
<tr>
<th>COBIT - GEIT “What”</th>
<th>ITIL - Service Management “How”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Integration Points</td>
<td></td>
</tr>
<tr>
<td>• Assist in goal alignment by cascading</td>
<td>• Defines best practice processes for Service Management and includes process activities</td>
</tr>
<tr>
<td>• Defines processes on business requirements</td>
<td>• Processes are more comprehensive and described with activities and flowcharts to assist in implementation</td>
</tr>
<tr>
<td>• Separates governance from management</td>
<td>• Processes can be easily mapped to the COBIT Framework to create effective guidance</td>
</tr>
<tr>
<td>• Intended to support GEIT and is applicable to most organizations</td>
<td>• Links ITIL practices to business requirements</td>
</tr>
</tbody>
</table>
MODULE 5

Principle 4: Enabling a Holistic Approach
COBIT 5 ENABLERS

- Factors that, individually and collectively, influence whether something will work—in the case of COBIT, governance and management over enterprise IT
- Driven by the goals cascade, i.e., higher-level IT-related goals define what the different enablers should achieve
- Described by the COBIT 5 framework in seven categories
COBIT 5 ENABLERS

COBIT 5 provides a holistic approach to enterprise governance and management through 7 interdependent enablers:

1. **Principles, Policies and Frameworks**: Translates the desired behavior into practical guidance for day-to-day behavior

2. **Processes**: Describe a set of practices to achieve specific objectives, and also produce a set of outputs to achieve IT Related goals

3. **Organizational Structures**: Key decision making entities in an enterprise

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6. **Services, Infrastructure and Applications**: Provides the enterprise with the ability to process information

7. **People, Skills and Competencies**: Linked to people and required for successful completion of activities
GENERIC ENABLER MODEL
ENABLER DIMENSIONS

- Stakeholders: The parties who have an active role and/or interest in the enablers. Stakeholders can be either internal or external, each with their own roles and interests and may have conflicting goals.

- Goals: Each enabler has several goals often defined in terms of:
  - Expected outcomes of the enabler
  - Application or function of the enabler itself

- Life cycle
  - Plan
  - Design
  - Build/acquire/create/implement
  - Use/operate
  - Evaluate/monitor
  - Update/Dispose

- Good Practices: For each of the enablers good practices should be designed to support the achievement of the enabler goals.
ENABLER PERFORMANCE MANAGEMENT

- Provides support for practical use and accomplishment of enabler goals

- Asks 4 questions:
  - Are stakeholders needs addressed?
  - Are enabler goals achieved?
  - Is the lifecycle managed?
  - Are good practices applied?

Lag Indicators: Metrics for achievement of goals

Lead Indicators: Metrics for application of practice
MODULE 6

Principle 5: Separating Governance from Management
SEPARATING GOVERNANCE AND MANAGEMENT

• The COBIT 5 framework marks a clear division between governance and management. These two disciplines require different types of activities, organizational structures and serve different purposes.

• Though the two may interact, roles and responsibilities must be clearly defined.

• In most enterprises governance is the responsibility of the board of directors under the leadership of the chairperson.

• In most enterprises, management is the responsibility of the executive management under the leadership of the CEO.
GOVERNANCE vs. MANAGEMENT

**Governance:** Ensures that stakeholder needs, conditions and options are evaluated to determine

- Balanced agreed-upon enterprise objectives to be achieved
- Setting direction through prioritization and decision making
- Monitoring performance and compliance against agreed-upon direction and objectives

**Management:** Plans, builds, runs and monitors activities in alignment with the direction set by the governance body to achieve the enterprise objectives
DOMAINS AND PROCESSES

COBIT 5 includes a process reference model, which defines a number of governance and management processes. These 5 processes are split into two separate categories: governance and management. These two categories contain a total of 5 domains and 37 processes:

- **Governance of Enterprise IT** category includes the domain
  - Evaluate, Direct and Monitor (EDM), which includes 5 processes

- **Management of Enterprise IT** category includes the remaining four domains
  - Align, Plan and Organize (APO) – 13 processes
  - Build, Acquire and Implement (BAI) – 10 processes
  - Deliver, Service and Support (DSS) – 6 processes
  - Monitor, Evaluate and Assess (MEA) - 3 processes
KEY AREAS OF GOVERNANCE AND MANAGEMENT

- Align, Plan & Organize
- Build, Acquire & Implement
- Design, Service & Support
- Monitor, Evaluate & Assess
GOVERNANCE AND MANAGEMENT OF ENTERPRISE IT ACROSS 5 DOMAINS AND 37 PROCESSES:

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
  - APO01 Manage the IT Management Framework
  - APO02 Manage Strategy
  - APO03 Manage Enterprise Architecture
  - APO04 Manage Innovation
  - APO05 Manage Portfolio
  - APO06 Manage Budget and Costs
  - APO07 Manage Human Resources
  - APO08 Manage Relationships
  - APO09 Manage Service Agreements
  - APO10 Manage Suppliers
  - APO11 Manage Quality
  - APO12 Manage Risk
  - APO13 Manage Security

- Build, Acquire and Implement
  - BA01 Manage Programmes and Projects
  - BA02 Manage Requirements Definition
  - BA03 Manage Solutions Identification and Build
  - BA04 Manage Availability and Capacity
  - BA05 Manage Organisational Change Enablement
  - BA06 Manage Changes
  - BA07 Manage Change Acceptance and Transitioning
  - BA08 Manage Knowledge
  - BA09 Manage Assets
  - BA10 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
  - DSS07 Manage Change Acceptance and Transitioning

- 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 for Compliance With External Requirements
MODULE 7

Implementation Guide
CONSIDERING THE ENTERPRISE

• Every enterprise will need to customize its own implementation plan based on the environment, such as the laws/regulations, Governance policies, capabilities, resource and other factors

• Build on the enablers that are already present within the enterprise

• COBIT is often used in conjunction with other frameworks, best practices and standards that will mandate customization as well
KEY SUCCESS FACTORS

- Support from upper management for providing the direction and mandate for the initiative, as well as visible ongoing commitment and support
- Effective communication and enablement of necessary changes
- Tailoring COBIT and other practices to suit the needs of the enterprise
- Focus on the most beneficial improvements that are easiest to implement
- COBIT should provide a solution addressing real business needs and issues rather than serving as an end in themselves
- Adequate resources must be provided and commitment from all affected stakeholders holders should be verified throughout
- Appropriate structures and processes for oversight should be established and maintained
PAIN POINTS AND TRIGGER EVENTS

- Events that indicate that improvement may be needed are either pain points or trigger events. A pain point is a problem, real or perceived. This provide us opportunities to create solutions.

- A trigger event addresses the fact that enterprises undergo major changes as a result of the nature of business. When these events happen, that may indicate a look at our current structure is necessary.

<table>
<thead>
<tr>
<th>Typical pain points</th>
<th>Relevant Trigger Events</th>
</tr>
</thead>
<tbody>
<tr>
<td>Failed projects</td>
<td>Mergers/Acquisitions</td>
</tr>
<tr>
<td>Serious issues with IT-related loss</td>
<td>Change in market demand</td>
</tr>
<tr>
<td>Failed audits</td>
<td>New regulatory requirements</td>
</tr>
<tr>
<td>Security breaches</td>
<td>New enterprise leadership</td>
</tr>
<tr>
<td>High staff turnover</td>
<td>New business strategy/priority</td>
</tr>
<tr>
<td>Increasing Costs</td>
<td>External audit or consultant assessment</td>
</tr>
</tbody>
</table>
A LIFECYCLE APPROACH

• COBIT presents a life cycle approach that provides a manner in which enterprises utilize COBIT to address the complexity and challenges that are typically encountered during implementations.

• The three interrelated components of the life cycle are
  • Program Management
  • Change Enablement
  • Continual Improvement
THE COBIT 5 LIFECYCLE

- Phase 1: What are the drivers? It identifies the current pain points and triggers and creates a desire to change at executive management levels.

- Phase 2: Where are we now? This phase is focused on defining the scope of the implementation using COBIT’s mapping of enterprise goals to IT-related goals to the associated IT processes, and considering how risk scenarios could also highlight key processes on which to focus.

- Phase 3: What do we want to be? In this phase, an improvement target is set, followed by a more detailed analysis using COBIT’s guidance to identify gaps and potential solutions.

- Phase 4: What needs to be done? This plans practical solutions by defining projects supported by justifiable business cases. A change plan for implementation is also developed.

- Phase 5: How do we get there? The proposed solutions are implemented into day-to-day practices in this phase. Measures can be defined and established using COBIT’s goals and metrics.

- Phase 6: Did we get there? This phase focuses on the sustainable operation of the new or improved enablers and the monitoring of the achievement of expected benefits.

- Phase 7: How do we keep the momentum going? In this phase, the overall success of the initiative is reviewed, further requirements for the governance or management of enterprise are identified and the need for continual improvement is reinforced.
GETTING STARTED: MAKING THE BUSINESS CASE

• To help ensure the success of utilizing COBIT elements, the need to act should be widely recognized and communicated within the enterprise

• It may be beneficial to focus on the pain points to express the need for improvement

• Must discuss the benefits of leveraging COBIT and the potential positive outcomes

• An appropriate level of urgency needs to be instilled as to the risks of not taking action

• A sponsor should own the initiative, involve all key stakeholders and be based upon a business case
GETTING STARTED: MAKING THE BUSINESS CASE CONTINUED

• A business case should include:
  • Business benefits targeted and their alignment with business strategy
  • Business changes needed to create the envisioned value.
  • Investments needed to make the governance and management of enterprise IT changes
  • The ongoing IT and business costs
  • Expected benefits of operating in the changed way
  • The inherent risk in above elements
  • Roles, responsibilities and accountabilities related to the initiative
  • How the value creation will be monitored
MODULE 7

The COBIT 5 Process Capability Model
COBIT PROCESS CAPABILITY MODEL

- The ISO/IEC 15504 series of standards sets out the requirements for performing a process assessment. The process capability model can be used for all processes in a business. Adopting the standard helps to ensure that the assessment output is consistent and provides evidence to substantiate the ratings. There are general requirements that apply to all types of assessments and specific requirements that apply to assessments of process capability and organizational maturity. COBIT 5 recommends the use of ISO/IEC 15504-2 for performing process capability assessments.

- Used to measure the current maturity of an enterprise’s IT-related processes, to define a required “to-be” state of maturity and to determine the gap between them and how to improve the process to achieve desired maturity level

- Provides a means to measure the performance of any of the 37 governance or management processes
## PROCESS CAPABILITY MODEL

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 Optimising</td>
<td>The previously described predictable process is continuously improved to meet relevant current and projected business goals.</td>
</tr>
<tr>
<td>4 Predictable</td>
<td>The previously described established process now operates within defined limits to achieve its process outcomes.</td>
</tr>
<tr>
<td>3 Established</td>
<td>The previously described managed process is now implemented using a defined process that is capable of achieving its process outcomes.</td>
</tr>
<tr>
<td>2 Managed</td>
<td>The previously described performed process is now implemented in a managed fashion (planned, monitored and adjusted) and its work products are appropriately established, controlled and maintained.</td>
</tr>
<tr>
<td>1 Performed</td>
<td>The implemented process achieves its process purpose.</td>
</tr>
<tr>
<td>0 Incomplete</td>
<td>The process is not implemented or fails to achieve its process purpose. At this level, there is little or no evidence of any systematic achievement of the process purpose.</td>
</tr>
</tbody>
</table>
REVIEW

- Understanding COBIT
- 5 Principles:
  - Meeting Stakeholder Needs
  - Covering the Enterprise End-to-End
  - Applying a Single Integrated Framework
  - Enabling a Holistic Approach
  - Separating Governance from Management
- Allows mapping of high end stakeholder needs to actionable and measurable processes through the Goals Cascade
  - Drivers influence stakeholder needs
  - Stakeholder needs cascade to enterprise goals
  - Enterprise goals cascade to IT-related goals
  - IT-related goals cascade to enabler goals, which include the 37 processes
- Provides a means to assess processes through the Process Capability Model