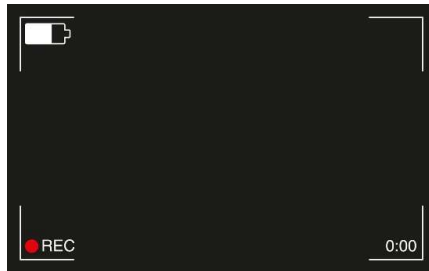


# COBIT<sup>®</sup> 2019

## [Webinar] COBIT 2019 Use Cases Tailoring Governance of Your Enterprise IT

Presenter: Mark Thomas, Escoute

# Before We Get Started...



This session is being recorded. The recording and slides will be sent to you after the webinar.



Your feedback will help us to improve future webinars. Please send any comments and suggestions to:

[mark.constable@apmg-international.com](mailto:mark.constable@apmg-international.com).

# Your Presenter



**Mark Thomas (CRISC, CGEIT)**  
***President, Escoute Consulting***

Mark is an internationally known Governance, Risk and Compliance expert specializing in information assurance, IT risk, IT strategy, service management and digital transformation.

With over 28 years of professional experience, Mark has a wide array of industry experience including government, health care, finance/banking, manufacturing, and technology services.

He has held roles spanning from CIO to IT consulting and is considered a thought leader in frameworks such as COBIT, NIST, ITIL and multiple ISO standards.

Mark routinely speaks at US and international conferences and earned the ISACA John Kuyers award twice for Best Speaker/Conference contributor of the year. Mark also holds the CGEIT (*Certified in the Governance of Enterprise IT*) and CRISC (*Certified in Risk and Information Systems Control*) certifications.

# Background



- Frameworks assist enterprises in creating repeatable processes that can help in value creation, but sometimes it is difficult to thumb through a framework publication and completely understand how to use it.
- In this webinar we will explore ISACA's updated COBIT 2019 Framework and walk through examples on how to leverage its value.
- By using typical use cases, we will explore how to create a tailored governance framework for the governance and management of enterprise information and technology using COBIT 2019.

# Learning Objectives

- Understand the key elements of the COBIT 2019 framework and where to find them in the publications.
- Explore how to adopt a tailored enterprise governance framework for the governance and management of information and technology.
- Examine typical use cases that enterprises encounter when using the framework and walk through how to use COBIT 2019 to solve these.



# Agenda

## Enterprise Governance of Information and Technology

*COBIT 2019 Overview*

*Creating a Tailored Governance System*

*COBIT Use Cases*

*Tips to Adoption*

*Closing and Questions*

# Enterprise Governance of Information and Technology

*In the light of digital transformation, information and technology (I&T) have become crucial in the support, sustainability and growth of enterprises. EGIT is concerned with value delivery with three main outcomes:*



Benefits realization



Risk optimization



Resource optimization

# Agenda

*Enterprise Governance of Information and Technology*

**COBIT 2019 Overview**

*Creating a Tailored Governance System*

*COBIT Use Cases*

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# What COBIT 2019 is and is not



## **COBIT is:**

- COBIT is a framework for the governance and management of enterprise information and technology.
- COBIT is aimed at the whole enterprise.
- COBIT makes a clear distinction between governance and management.
- COBIT defines the components to build and sustain a governance system.
- COBIT defines the design factors that should be considered by the enterprise to build a best-fit governance system.
- COBIT addresses governance issues by grouping relevant governance components into governance and management objectives that can be managed to the required capability levels.



## **COBIT is not:**

- COBIT is not a full description of the whole IT environment of an enterprise.
- COBIT is not a framework to organize business processes.
- COBIT is not a technical framework to manage all technology.
- COBIT does not make or prescribe any IT-related decisions.

Reference: COBIT 2019 Framework: Introduction and Methodology

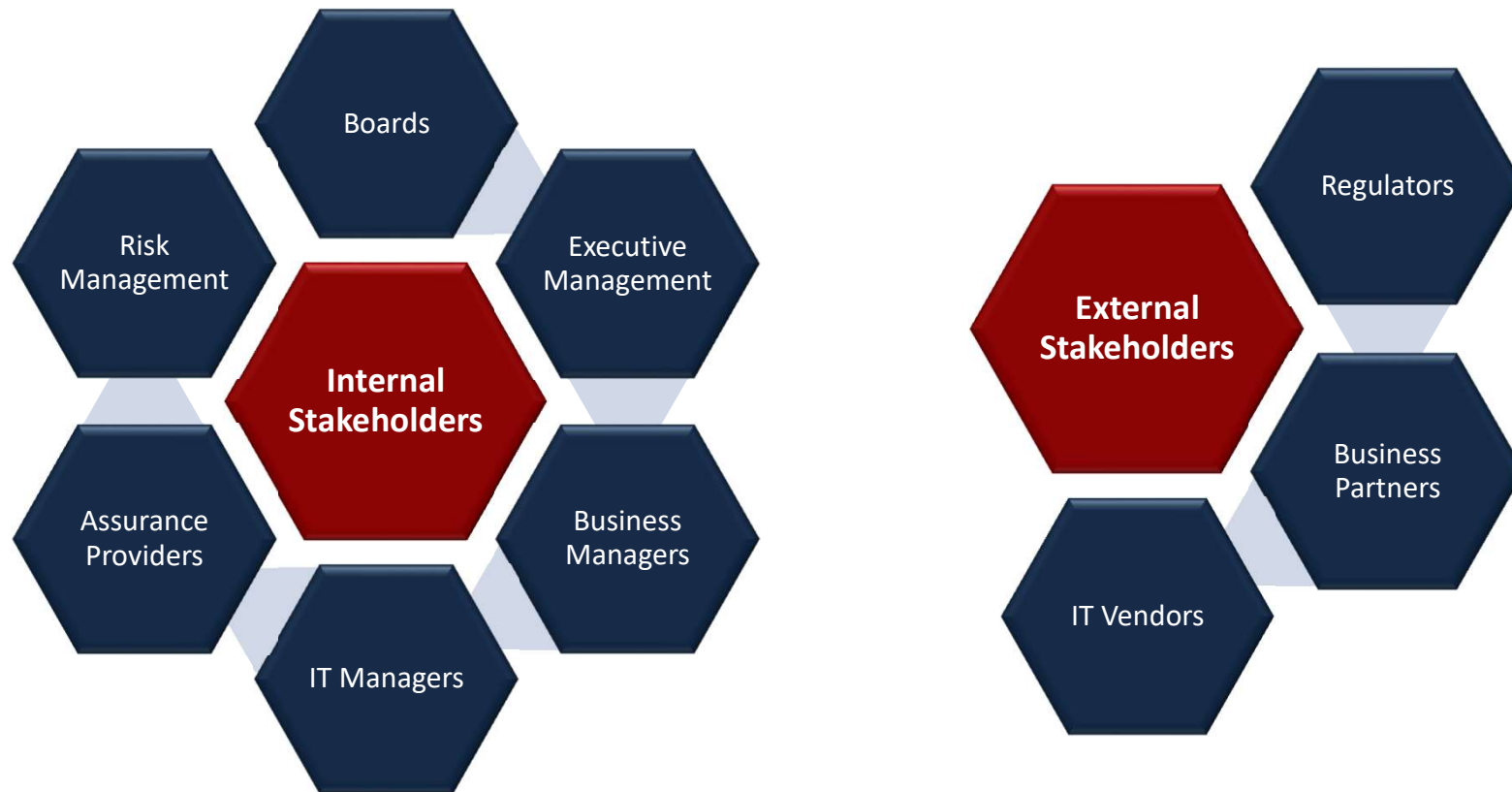
# Major differences with COBIT5



- Modified COBIT principles
- Governance components
- New focus areas
- The addition of design factors
- 40 governance and management objectives
- Updated goals cascade
- Updated performance management
- Update COBIT business case
- New and updated publications

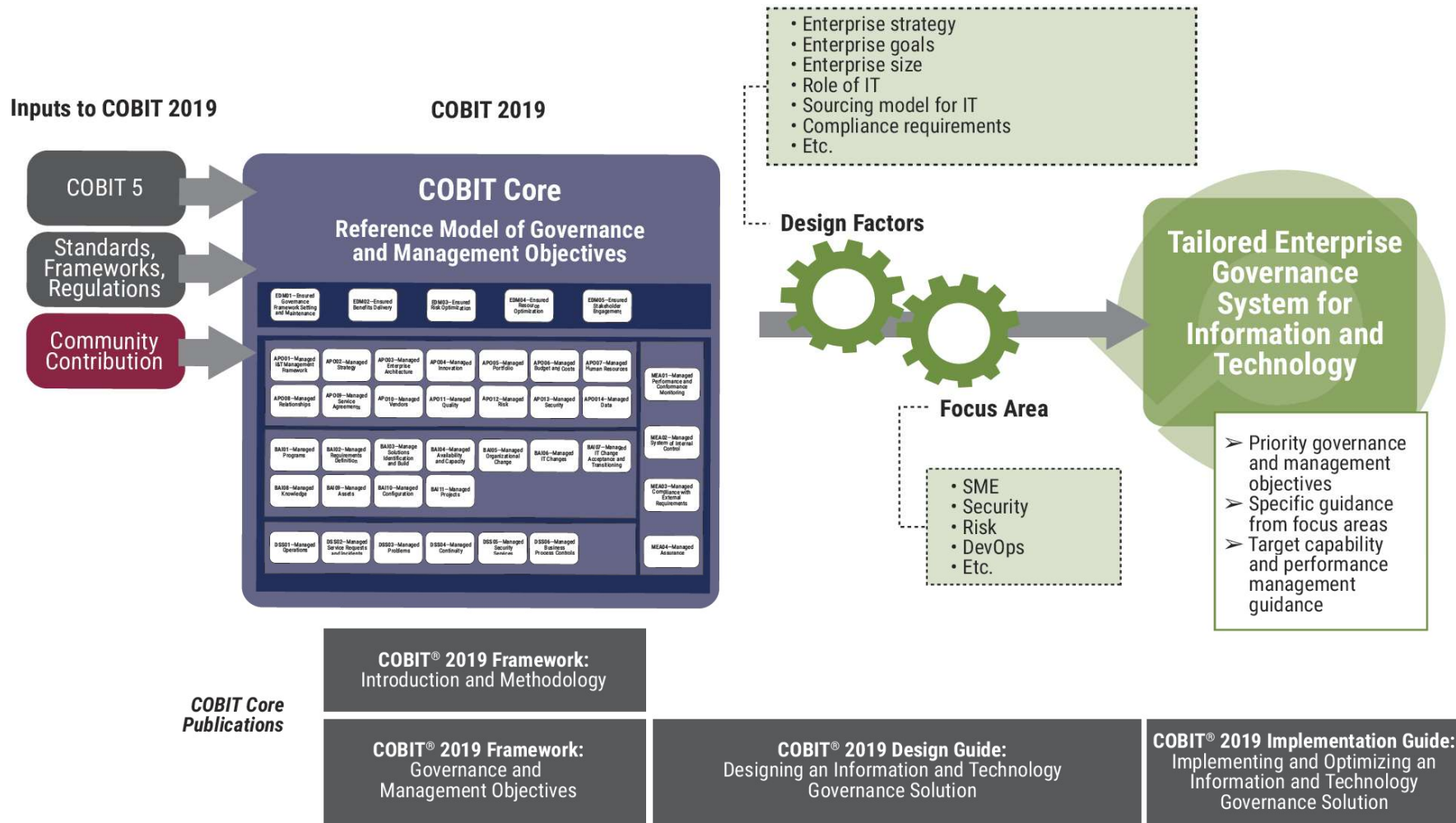
Reference: COBIT 2019 Framework: Introduction and Methodology

# Intended Audience



Reference: COBIT 2019 Framework: Introduction and Methodology

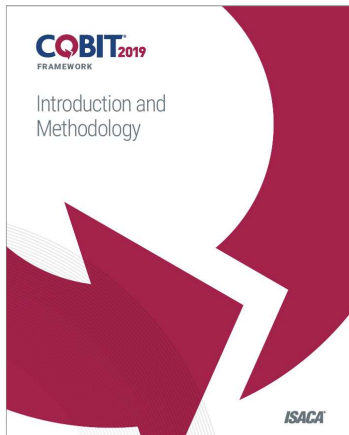
# Overview and Product Architecture



Reference: COBIT 2019 Framework: Introduction and Methodology

# COBIT 2019 Publications

## *“Framework Guide”*



Explains the overall structure and parts of the framework

Refreshes key governance terms, concepts and principles

Introduces the governance system, components, and governance/management objectives

Describes the updated performance management (maturity/capability)

## *“Objectives Guide”*

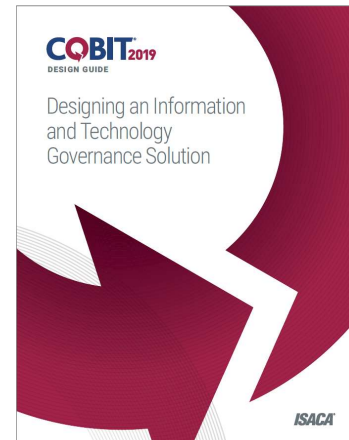


Includes 40 governance and management objectives organized into five domains (Gov/Mgt)

Each objective is related to one process

For each objective, provides guidance related to each of the governance components

## *“Design Guide”*



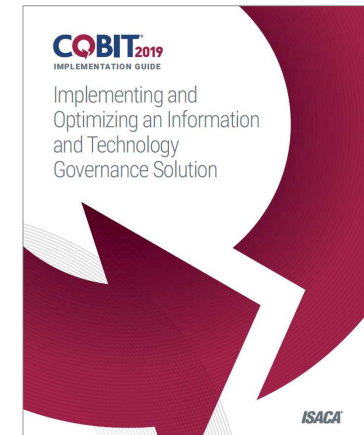
Introduces focus areas and design factors

Includes a design workflow that facilitates the creation of a tailored governance system

Used in conjunction with the Implementation Guide

Comes with a downloadable tool to assist in creating a tailored governance system

## *“Implementation Guide”*



Updated from the COBIT5 Implementation Guide

Used in conjunction with the Design Guide

Provides a continual improvement lifecycle approach

Includes seven phases with three perspectives

# COBIT 2019 Key points

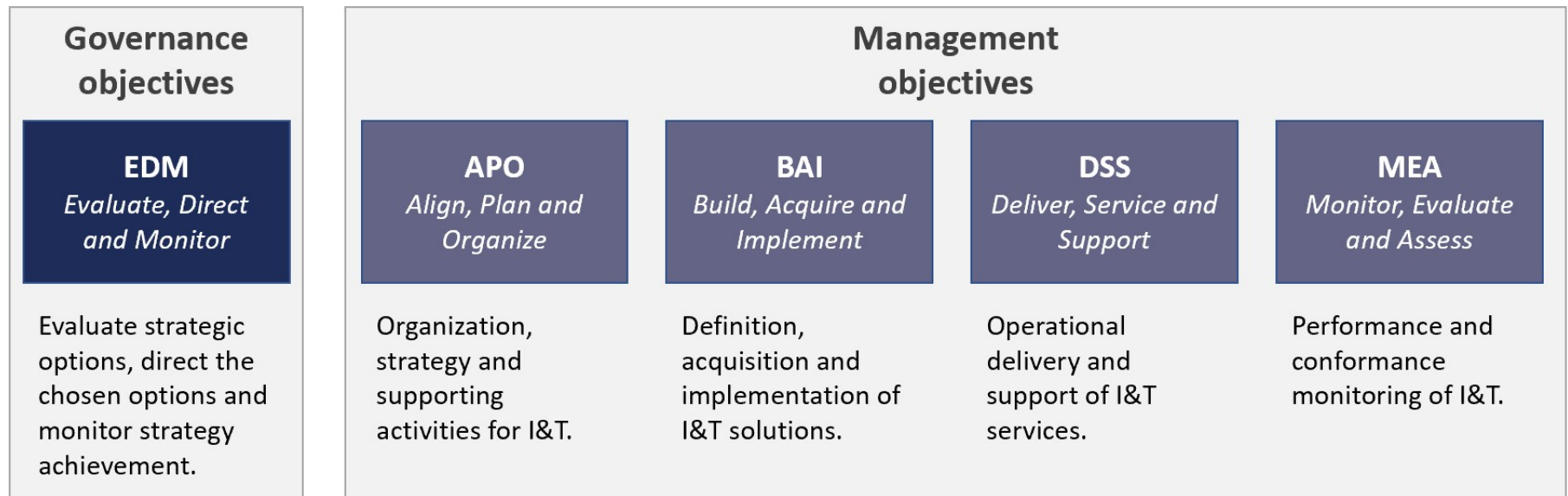
Principles	Governance components	Focus areas	Design factors
<p><i>Governance system principles:</i></p> <ul style="list-style-type: none"> <li>• Provide stakeholder value</li> <li>• Holistic approach</li> <li>• Dynamic governance system</li> <li>• Governance distinct from governance</li> <li>• Tailored to enterprise needs</li> <li>• End-to-end governance system</li> </ul> <p><i>Governance framework principles:</i></p> <ul style="list-style-type: none"> <li>• Based on conceptual model</li> <li>• Open and flexible</li> <li>• Aligned to major standards</li> </ul>	<ul style="list-style-type: none"> <li>• Processes</li> <li>• Organizational structures</li> <li>• Information flows and items</li> <li>• People, skills and competencies</li> <li>• Principles, policies and frameworks</li> <li>• Culture, ethics and behavior</li> <li>• Services, infrastructure and applications</li> </ul>	<ul style="list-style-type: none"> <li>• Small and medium enterprises</li> <li>• Cybersecurity</li> <li>• Risk</li> <li>• Cloud computing</li> <li>• Privacy</li> <li>• DevOps</li> </ul>	<ul style="list-style-type: none"> <li>• Enterprise strategy</li> <li>• Enterprise goals</li> <li>• Risk profile</li> <li>• I&amp;T related issues</li> <li>• Threat landscape</li> <li>• Compliance requirements</li> <li>• Role of IT</li> <li>• Sourcing model for IT</li> <li>• IT implementation methods</li> <li>• Technology adoption strategy</li> <li>• Enterprise size</li> </ul>

*We also have the addition of governance and management objectives – covered on the next slides.*

Reference: COBIT 2019 Framework: Introduction and Methodology

# Governance and Management Objectives

***Governance and management objectives are organized into five domains. One governance domain and four management domains.***



Reference: COBIT 2019 Framework: Introduction and Methodology

# Governance and Management Objectives

Governance Objectives	Management Objectives			
EVALUATE, DIRECT & MONITOR (EDM)	ALIGN, PLAN & ORGANIZE (APO)	BUILD, ACQUIRE & IMPLEMENT (BAI)	DELIVER, SERVICE & SUPPORT (DSS)	MONITOR, EVALUATE & ASSESS (MEA)
<b>EDM01</b> Ensured Governance Framework Setting and Maintenance	<b>APO01</b> Managed I&T Framework	<b>BAI01</b> Managed Programs	<b>DSS01</b> Managed Operations	<b>MEA01</b> Managed Performance and Conformance Monitoring
<b>EDM02</b> Ensured Benefits Delivery	<b>APO02</b> Managed Strategy	<b>BAI02</b> Managed Requirements Definition	<b>DSS02</b> Managed Service Requests & Incidents	<b>MEA02</b> Managed System of Internal Control
<b>EDM03</b> Ensured Risk Optimization	<b>APO03</b> Managed Enterprise Architecture	<b>BAI03</b> Managed Solutions Identification and Build	<b>DSS03</b> Managed Problems	<b>MEA03</b> Managed Compliance with External Requirements
<b>EDM04</b> Ensured Resource Optimization	<b>APO04</b> Managed Innovation	<b>BAI04</b> Managed Availability and Capacity	<b>DSS04</b> Managed Continuity	<b>MEA04</b> Managed Assurance
<b>EDM05</b> Ensure Stakeholder Engagement	<b>APO05</b> Managed Portfolio	<b>BAI05</b> Managed Organizational Change	<b>DSS05</b> Managed Security Services	
	<b>APO06</b> Managed Budget & Costs	<b>BAI06</b> Manage IT Changes	<b>DSS06</b> Managed Business Process Controls	
	<b>APO07</b> Managed Human Resources	<b>BAI07</b> Manage IT Change Acceptance and Transitioning		
	<b>APO08</b> Managed Relationships	<b>BAI08</b> Managed Knowledge		
	<b>APO09</b> Managed Service Agreements	<b>BAI09</b> Managed Assets		
	<b>APO10</b> Managed Vendors	<b>BAI10</b> Managed Configuration		
	<b>APO11</b> Managed Quality	<b>BAI11</b> Managed Projects		
	<b>APO12</b> Managed Risk			
	<b>APO13</b> Managed Security			
	<b>APO14</b> Managed Data			

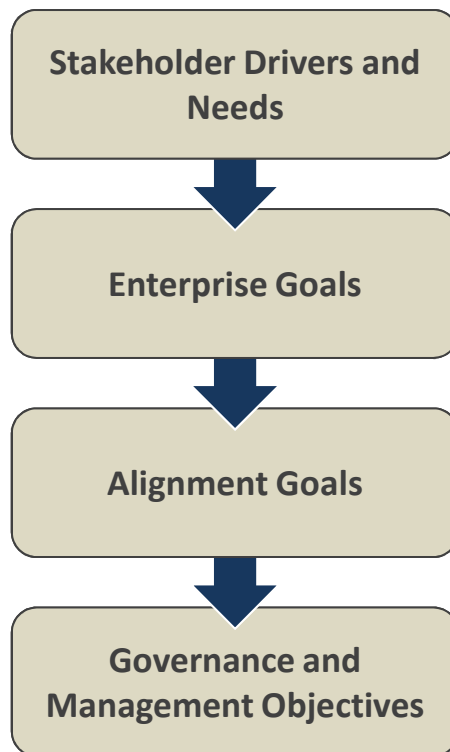
Reference: COBIT 2019 Framework: Governance and Management Objectives, Chapter 1 Introduction

Reference: COBIT 2019 Framework: Introduction and Methodology



# COBIT Goals Cascade

***The goals cascade supports prioritization of management objectives based on prioritization of enterprise goals.***



- The goals cascade starts with stakeholder needs and drivers. These cascade to Enterprise goals.
- Enterprise goals cascade into alignment goals, and further supports translation of enterprise goals into priorities for alignment goals.
- Finally, alignment goals cascade to governance and management objectives.

Reference: COBIT 2019 Framework: Introduction and Methodology

# Agenda

*Enterprise Governance of Information and Technology*

*COBIT 2019 Overview*

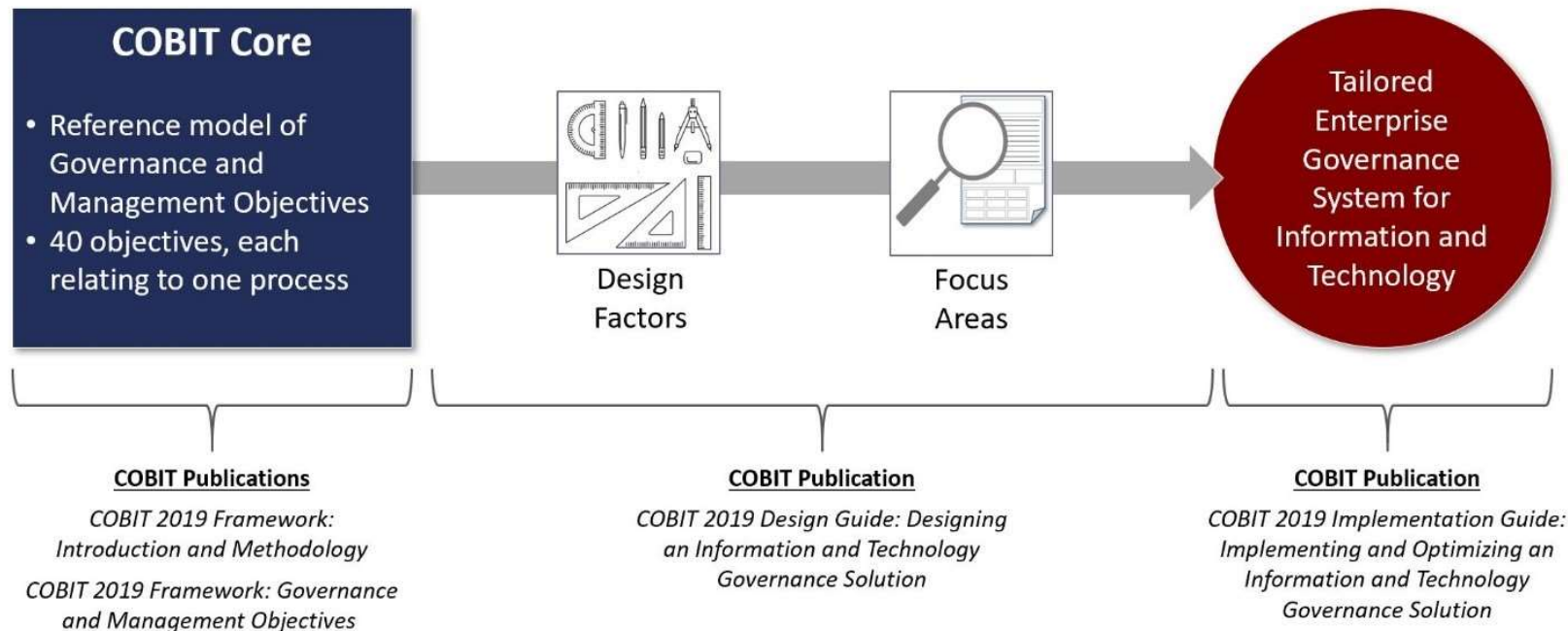
**Creating a Tailored Governance System**

*COBIT Use Cases*

*Tips to Adoption*

*Closing and Questions*

# Tailored governance system journey



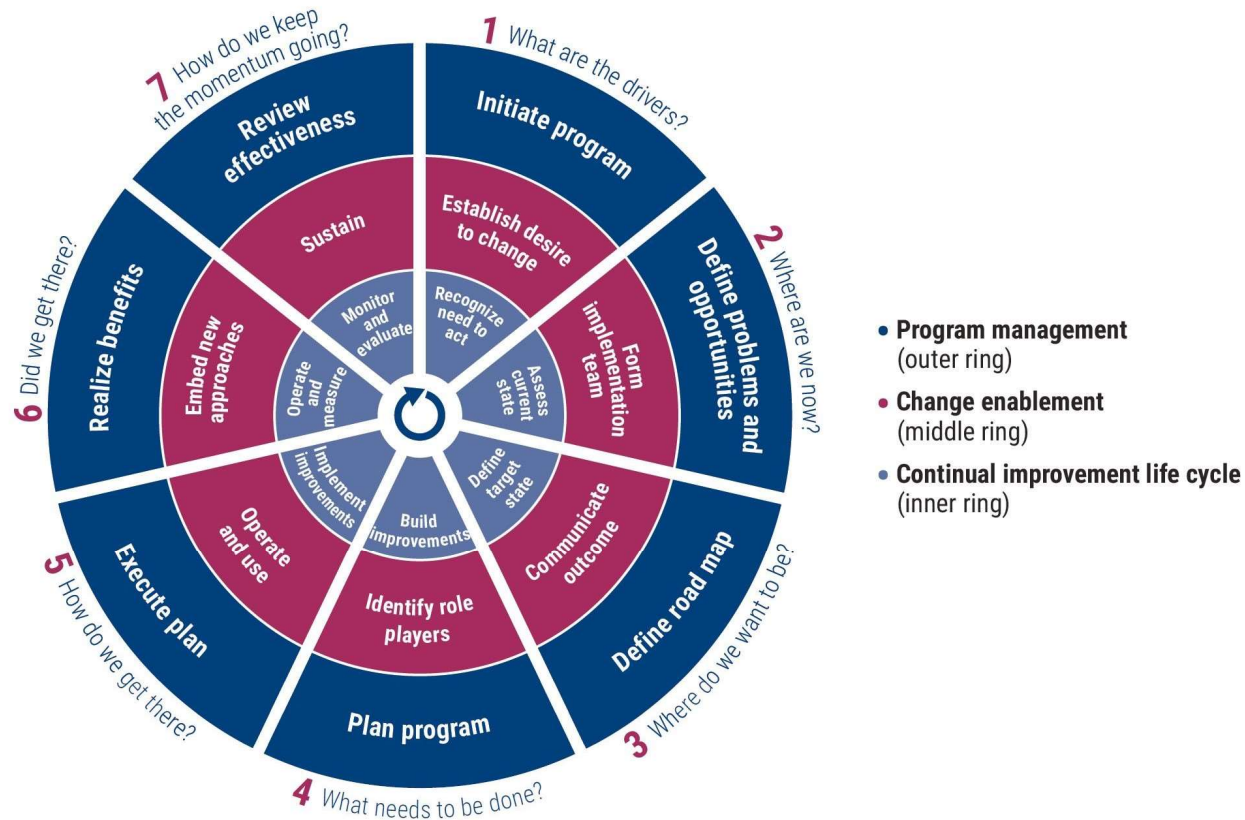
# COBIT Design and Implementation

*The Design guide has the following workflow steps.*

Steps to the Workflow				
	1 Understand the enterprise context and strategy	2 Determine the initial scope of the governance system	3 Refine the scope of the governance system	4 Conclude the governance system design
<b>Description</b>	Examine enterprise context, strategy and business environment for a clear understanding across the overlapping, interdependent and complementary domains.	Values derived from step 1 are translated into a set of prioritized governance components resulting in an initial tailored governance system for the enterprise.	Refine the initial scope of the governance system based on the remaining set of design factors - not all design factors may be applicable to each enterprise.	Identify potential refinements for the initial governance system and put them all on the canvas for consolidation.
<b>Subsections</b>	Understand enterprise strategy	Consider enterprise strategy	Consider threat landscape	Resolve inherent priority conflicts
	Understand enterprise goals	Consider enterprise goals and apply the goals cascade	Consider compliance requirements	Conclude the governance system design
	Understand risk profile	Consider enterprise risk profile	Consider role of IT	
	Understand current I&T-related issues	Consider current I&T-related issues	Consider the sourcing model	
			Consider IT implementation methods	
			Consider the IT adoption strategy	
			Consider enterprise size	

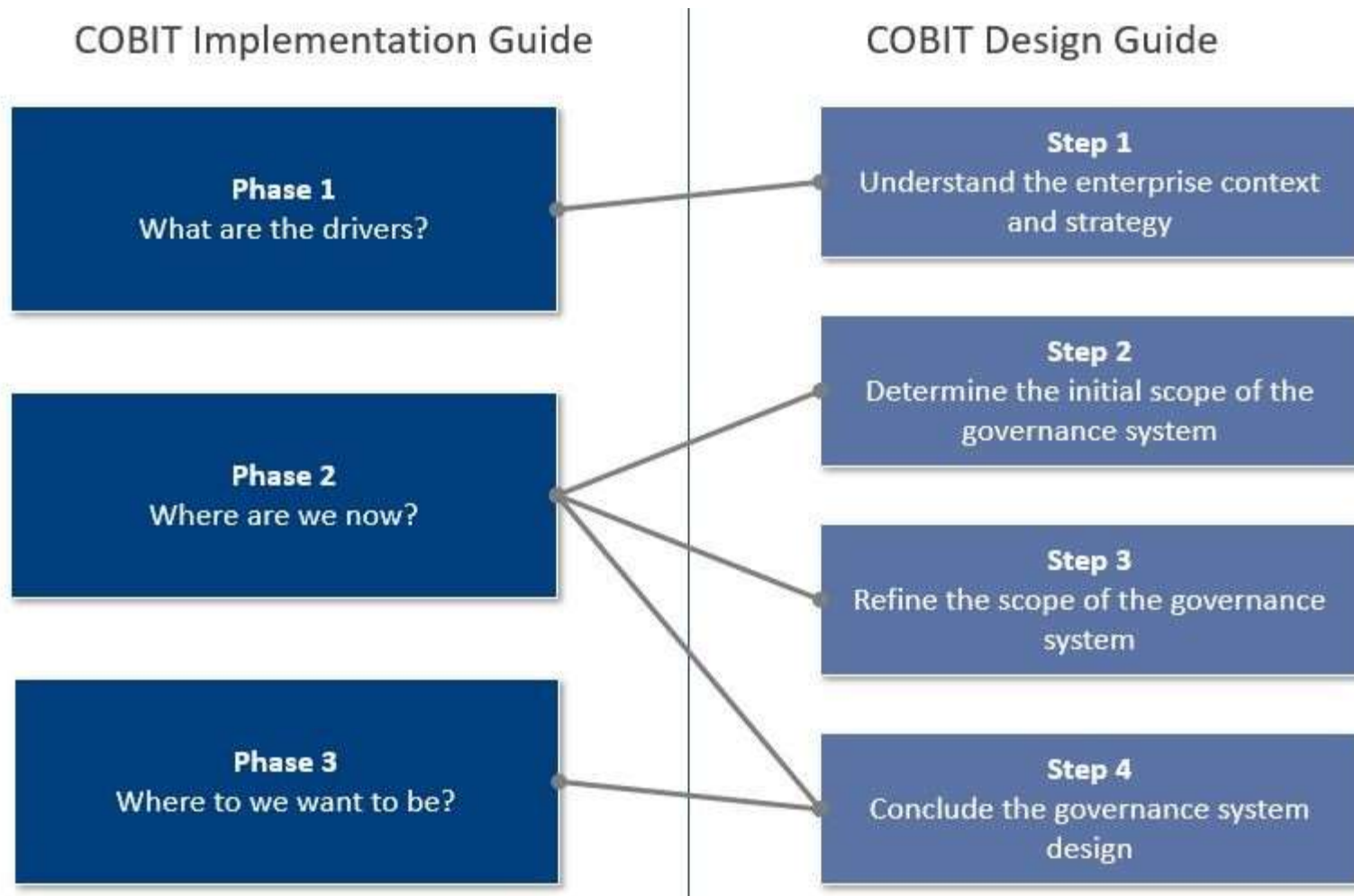
# COBIT Design and Implementation

*The implementation guide has the following workflow phases and perspectives.*



Reference: COBIT 2019 Framework: Implementation Guide

# Intersecting design and implementation



# Design Guide Tool Canvas

COBIT 2019 Governance System Design Workbook—Canvas

Design Factors:	Step 2: Determine the initial scope of the Governance System					Step 3: Refine the scope of the Governance System							Step 4: Conclude the Scope of the Governance System					
	Enterprise Strategy	Enterprise Goals	Risk Profile	ISIT-Related Issues	Initial Scope: Governance/Management Objectives Score	Threat Landscape	Compliance Req's	Role of IT	Sourcing Model for IT	IT Implementation Methods	Technology Adoption Strategy	Refined Scope: Governance/Management Objectives Score	Adjustment (between -100 and +100)	Reason	Concluded Scope: Governance/Management Objectives Priority	Suggested Target Capability Level	Assessed Target Capability Level	Reason
Weight	1	1	1	1		1	1	1	1	1	1							
APO02—Managed Strategy	-20	35	-5	5	10	0	0	30	0	0	25	35			35	2	2	
APO03—Managed Enterprise Architecture	-20	30	15	5	25	50	0	20	0	0	50	70			70	3	3	
APO04—Managed Innovation	-5	40	45	20	80	0	0	40	0	0	25	80			80	4	4	
APO05—Managed Portfolio	-25	30	-15	-5	-10	0	0	30	0	0	40	25			25	2	2	
APO06—Managed Budget & Costs	-25	-5	-20	-10	-50	0	0	25	0	0	-20	-25			-25	1	1	
APO07—Managed Human Resources	-10	35	15	15	45	30	0	15	0	0	75	85			85	4	4	
APO08—Managed Relationships	45	35	40	5	100	0	0	25	0	0	55	95			95	4	4	
APO09—Managed Service Agreements	45	30	-10	-10	60	30	0	10	15	0	0	60			60	3	3	
APO10—Managed Vendors	-10	30	-10	-10	0	50	15	5	15	0	40	60			60	3	3	
APO11—Managed Quality	50	0	30	-15	50	30	0	15	0	0	0	50			50	3	3	
APO12—Managed Risk	30	-10	50	-5	50	65	25	20	10	0	20	95			95	4	4	
APO13—Managed Security	35	-15	60	-15	50	65	15	25	0	0	0	80			80	4	4	
APO14—Managed Data	0	-35	35	-15	-10	50	10	25	0	0	20	40			40	2	2	
BAI01—Managed Programs	-15	30	15	15	35	0	0	25	0	30	25	60			60	3	3	
BAI02—Managed Requirements Definition	-5	30	15	0	30	0	0	30	0	60	30	75			75	4	4	
BAI03—Managed Solutions Identification & Build	-5	30	35	-10	40	0	0	30	0	65	40	90			90	4	4	
BAI04—Managed Availability & Capacity	40	25	35	-15	70	30	0	5	0	0	0	55			55	3	3	
BAI05—Managed Organizational Change	-15	30	45	5	50	0	0	25	0	40	35	80			80	4	4	
BAI06—Managed IT Changes	0	30	45	0	60	50	0	5	0	60	20	100			100	4	4	
BAI07—Managed IT Change Acceptance and Transitioning	5	30	30	-5	50	0	0	20	0	40	30	70			70	3	3	
BAI08—Managed Knowledge	-5	40	15	20	55	0	0	25	0	0	30	60			60	3	3	
BAI09—Managed Assets	0	-50	20	5	-20	0	0	25	0	0	0	0			0	1	1	
BAI10—Managed Configuration	0	25	40	0	50	50	0	15	0	15	30	85			85	4	4	
BAI11—Managed Projects	-20	30	35	10	45	0	0	20	0	45	30	70			70	3	3	
DSS01—Managed Operations	15	30	-5	-15	20	0	0	10	0	0	0	15			15	1	1	

Instructions Canvas DF1 DF2 DF3 DF4 Step2 Summary DF5 DF6 DF7 DF8 DF9 DF10 Step 3 Summary

Download this tool at [www.isaca.org](http://www.isaca.org)

# Agenda

*Enterprise Governance of Information and Technology*

*COBIT 2019 Overview*

*Creating a Tailored Governance System*

**COBIT Use Cases**

*Tips to Adoption*

*Closing and Questions*



# Common Questions

“My enterprise uses multiple frameworks, how does COBIT fit?”

“I am launching a new IT Governance group at our company, where does COBIT say I should start?”

“Our company uses previous versions of COBIT how do we move to COBIT 2019?”

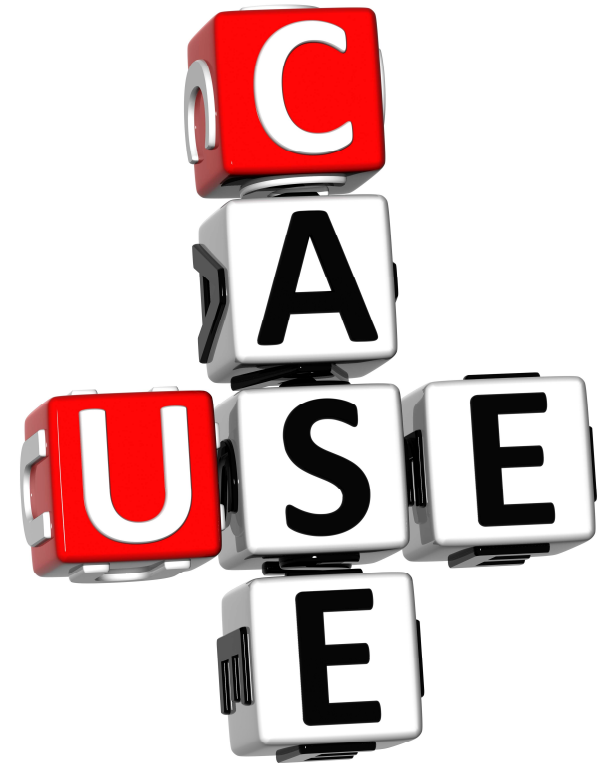
“With the increase in security compromises we are seeing in this industry, I’d like to leverage COBIT to help me. How do I do this?”



# COBIT Use Cases

***Use cases describe how an actor interacts with a solution to accomplish one or more of that actor's goals, or respond to an event.***

- The following use cases are a result of questions from industry asking how to use the new COBIT.
- These use cases are not explicitly found in the COBIT 2019 guidance, and are based on the presenter's expert opinion.
- There are 8 use cases derived from four recurring questions:
  - *Not all use cases are addressed in this webinar*
  - *They are available as a download that accompanies this webinar*



# Use Cases

## 1. My enterprise uses multiple frameworks, how does COBIT fit?

**UC 1.1** Use COBIT as a “Framework to Manage Frameworks”

**UC 1.2** Use COBIT to determine which industry standards are applicable to a particular process

## 2. I am launching a new IT Governance group at our company, where does COBIT say I should start?

**UC 2.1** Use COBIT to identify an organizational structure for EGIT

**UC 2.2** Use COBIT to create a tailored governance system

## 3. Our company uses previous versions of COBIT how do we move to COBIT 2019?

**UC 3.1** Understand the key differences between COBIT5 and COBIT 2019

**UC 3.2** Update an existing capability assessment to the COBIT 2019 performance management guidance

## 3. With the increase in security compromises we are seeing in this industry, I'd like to leverage COBIT to help me. How do I do this?

**UC 4.1** Select the appropriate COBIT measures to ensure proper information protection

**UC 4.2** Use COBIT to determine appropriate information protection policies

## Use Case 2.2: Use COBIT to create a tailored governance system

<b>Pre conditions</b>	<b>Success Scenario</b>	<b>COBIT 2019 References</b>
<ul style="list-style-type: none"><li>• No (or weak) overarching framework for the governance and management of I&amp;T</li><li>• Management supports the integration of a single integrated framework</li></ul>	<p><b>1 Understand principles</b></p> <ul style="list-style-type: none"><li>• Determine your governance system principles</li><li>• Determine your governance framework principles</li></ul>	<ul style="list-style-type: none"><li>• COBIT 2019 Framework guide, Ch. 3</li></ul>
<b>Post conditions</b> <ul style="list-style-type: none"><li>• End to end governance system</li><li>• Provides stakeholder value</li><li>• Holistic approach</li><li>• Dynamic governance system</li><li>• Governance distinct from management</li><li>• Tailored to meet enterprise needs</li></ul>	<p><b>2 Conduct a goals cascade</b></p> <ul style="list-style-type: none"><li>• Understand stakeholder drivers and needs</li><li>• Map enterprise goals, alignment goals and governance and management objectives</li></ul>	<ul style="list-style-type: none"><li>• COBIT 2019 Framework guide, Ch. 4</li><li>• COBIT 2019 Design guide, Mapping Appendix</li><li>• COBIT 2019 Objectives guide, Ch. 4</li></ul>
	<p><b>3 Determine design factors and focus areas</b></p> <ul style="list-style-type: none"><li>• Select design factors and focus areas</li><li>• Understand your relationship with each design factor</li></ul>	<ul style="list-style-type: none"><li>• COBIT 2019 Framework guide, Ch. 4</li><li>• COBIT 2019 Design guide, Ch 2, 3</li></ul>
	<p><b>4 Analyze design factors and focus areas</b></p> <ul style="list-style-type: none"><li>• Conduct a tool analysis using the design tool kit to select governance and management objectives</li><li>• Determine target capability levels</li></ul>	<ul style="list-style-type: none"><li>• COBIT 2019 Toolkit (Excel tool)</li><li>• COBIT 2019 Design guide, Ch. 4</li><li>• COBIT 2019 Framework guide, Ch. 6</li></ul>
	<p><b>5 Document governance components</b></p> <ul style="list-style-type: none"><li>• Understand the governance components for each governance or management objective selected</li><li>• Modify the tailored governance system as required</li></ul>	<ul style="list-style-type: none"><li>• COBIT 2019 Framework guide, Ch. 4</li><li>• COBIT 2019 Objectives guide, Ch. 4</li><li>• Refer to the related guidance section for each governance or management objective</li></ul>

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**Tips to Adoption**

*Closing and Questions*

Download the COBIT 2019 publications (and design guide tool)

Use COBIT 2019 as a framework to govern and manage frameworks and the governance system

Consider an iterative approach— you will never be “done” with implementing governance over I&T.

Use more than one framework. COBIT was designed using multiple standards and frameworks

# TIPS & TRICKS



If you don't have influence over creating an enterprise governance system, focus on your area!

Get certified training for your team by accredited training providers.

# Agenda

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**Closing and Questions**

## Closing

- Understand the key elements of the COBIT 2019 framework and where to find them in the publications.
- Explore how to adopt a tailored enterprise governance framework for the governance and management of information and technology.
- Examine typical use cases that enterprises encounter when using the framework and walk through how to use COBIT 2019 to solve these.



## Get in touch....

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Thank  
you

If you have any questions or feedback, please do not hesitate to contact me:

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