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

Presenter: Mark Thomas, Escoute
Before We Get Started…

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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**
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<td><strong>Tips to Adoption</strong></td>
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What COBIT 2019 is and is not

Reference: COBIT 2019 Framework: Introduction and Methodology

**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.
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

Internal Stakeholders:
- Boards
- Executive Management
- Business Managers
- IT Managers
- Assurance Providers
- Risk Management

External Stakeholders:
- Regulators
- Business Partners
- IT Vendors

Reference: COBIT 2019 Framework: Introduction and Methodology
Overview and Product Architecture

Inputs to COBIT 2019

- COBIT 5
- Standards, Frameworks, Regulations
- Community Contribution

COBIT 2019

COBIT Core
Reference Model of Governance and Management Objectives

COBIT® 2019 Framework: Introduction and Methodology
COBIT® 2019 Framework: Governance and Management Objectives
COBIT® 2019 Design Guide: Designing an Information and Technology Governance Solution
COBIT® 2019 Implementation Guide: Implementing and Optimizing an Information and Technology Governance Solution

Design Factors
- Enterprise strategy
- Enterprise goals
- Enterprise size
- Role of IT
- Sourcing model for IT
- Compliance requirements
- Etc.

Tailored Enterprise Governance System for Information and Technology
- Priority governance and management objectives
- Specific guidance from focus areas
- Target capability and performance management guidance

Focus Area
- SME
- Security
- Risk
- DevOps
- Etc.

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

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## COBIT 2019 Key points

<table>
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<th>Principles</th>
<th>Governance components</th>
<th>Focus areas</th>
<th>Design factors</th>
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<tr>
<td><strong>Governance system principles:</strong></td>
<td>• Processes</td>
<td>• Small and medium enterprises</td>
<td>• Enterprise strategy</td>
</tr>
<tr>
<td>• Provide stakeholder value</td>
<td>• Organizational structures</td>
<td></td>
<td>• Enterprise goals</td>
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<tr>
<td>• Holistic approach</td>
<td>• Information flows and items</td>
<td>• Cybersecurity</td>
<td>• Risk profile</td>
</tr>
<tr>
<td>• Dynamic governance system</td>
<td>• People, skills and competencies</td>
<td>• Risk</td>
<td>• I&amp;T related issues</td>
</tr>
<tr>
<td>• Governance distinct from governance</td>
<td>• Principles, policies and frameworks</td>
<td>• Cloud computing</td>
<td>• Threat landscape</td>
</tr>
<tr>
<td>• Tailored to enterprise needs</td>
<td>• Culture, ethics and behavior</td>
<td>• Privacy</td>
<td>• Compliance requirements</td>
</tr>
<tr>
<td>• End-to-end governance system</td>
<td>• Services, infrastructure and applications</td>
<td>• DevOps</td>
<td>• Role of IT</td>
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</tbody>
</table>

**Governance framework principles:**
- Based on conceptual model
- Open and flexible
- Aligned to major standards

- Small and medium enterprises
- Cybersecurity
- Risk
- Cloud computing
- Privacy
- DevOps

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.

<table>
<thead>
<tr>
<th>Governance objectives</th>
<th>Management objectives</th>
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<tbody>
<tr>
<td>EDM Evaluate, Direct and Monitor</td>
<td>APO Align, Plan and Organize</td>
</tr>
<tr>
<td>Evaluate strategic options, direct the chosen options and monitor strategy achievement.</td>
<td>Organization, strategy and supporting activities for I&amp;T.</td>
</tr>
<tr>
<td>APO Align, Plan and Organize</td>
<td>BAI Build, Acquire and Implement</td>
</tr>
<tr>
<td>Definition, acquisition and implementation of I&amp;T solutions.</td>
<td>Operational delivery and support of I&amp;T services.</td>
</tr>
<tr>
<td>BAI Build, Acquire and Implement</td>
<td>DSS Deliver, Service and Support</td>
</tr>
<tr>
<td>DSS Deliver, Service and Support</td>
<td>MEA Monitor, Evaluate and Assess</td>
</tr>
<tr>
<td>Operational delivery and support of I&amp;T services.</td>
<td>Performance and conformance monitoring of I&amp;T.</td>
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</tbody>
</table>

Reference: COBIT 2019 Framework: Introduction and Methodology
## Governance and Management Objectives

<table>
<thead>
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<th>Governance Objectives</th>
<th>Management Objectives</th>
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<tbody>
<tr>
<td><strong>EVALUATE, DIRECT &amp; MONITOR (EDM)</strong></td>
<td><strong>ALIGN, PLAN &amp; ORGANIZE (APO)</strong></td>
</tr>
<tr>
<td>EDM01 Ensured Governance Framework Setting and Maintenance</td>
<td>APO01 Managed I&amp;T Framework</td>
</tr>
<tr>
<td>EDM02 Ensured Benefits Delivery</td>
<td>APO02 Managed Strategy</td>
</tr>
<tr>
<td>EDM03 Ensured Risk Optimization</td>
<td>APO03 Managed Enterprise Architecture</td>
</tr>
<tr>
<td>EDM04 Ensured Resource Optimization</td>
<td>APO04 Managed Innovation</td>
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<tr>
<td>EDM05 Ensure Stakeholder Engagement</td>
<td>APO05 Managed Portfolio</td>
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<td>APO06 Managed Budget &amp; Costs</td>
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<td>APO07 Managed Human Resources</td>
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<td>APO08 Managed Relationships</td>
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<td>APO09 Managed Service Agreements</td>
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<td>APO10 Managed Vendors</td>
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<td>APO11 Managed Quality</td>
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<td>APO12 Managed Risk</td>
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<td>APO13 Managed Security</td>
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<td>APO14 Managed Data</td>
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</tbody>
</table>

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 Core**
- Reference model of Governance and Management Objectives
- 40 objectives, each relating to one process

**Design Factors**

**Focus Areas**

**Tailored Enterprise Governance System for Information and Technology**

**COBIT Publications**
- COBIT 2019 Framework: Introduction and Methodology
- COBIT 2019 Framework: Governance and Management Objectives

**COBIT Publication**
- COBIT 2019 Design Guide: Designing an Information and Technology Governance Solution

**COBIT Publication**
- COBIT 2019 Implementation Guide: Implementing and Optimizing an Information and Technology Governance Solution
## COBIT Design and Implementation

The Design guide has the following workflow steps.

<table>
<thead>
<tr>
<th>Steps to the Workflow</th>
<th>Description</th>
<th>Subsections</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Understand the enterprise context and strategy</td>
<td>Understand enterprise strategy</td>
<td>Consider enterprise strategy</td>
</tr>
<tr>
<td>2</td>
<td>Determine the initial scope of the governance system</td>
<td>Understand enterprise goals</td>
<td>Consider enterprise goals and apply the goals cascade</td>
</tr>
<tr>
<td>3</td>
<td>Refine the scope of the governance system</td>
<td>Understand risk profile</td>
<td>Consider enterprise risk profile</td>
</tr>
<tr>
<td>4</td>
<td>Conclude the governance system design</td>
<td>Understand current i&amp;T-related issues</td>
<td>Consider current i&amp;T-related issues</td>
</tr>
</tbody>
</table>

- 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.
- Resolve inherent priority conflicts
- Consider compliance requirements
- Conclude the governance system design
- Consider the sourcing model
- Consider IT implementation methods
- Consider the IT adoption strategy
- Consider enterprise size
The implementation guide has the following workflow phases and perspectives.

- Program management (outer ring)
- Change enablement (middle ring)
- Continual improvement life cycle (inner ring)
Intersecting design and implementation

COBIT Implementation Guide

Phase 1
What are the drivers?

Phase 2
Where are we now?

Phase 3
Where do we want to be?

COBIT Design Guide

Step 1
Understand the enterprise context and strategy

Step 2
Determine the initial scope of the governance system

Step 3
Refine the scope of the governance system

Step 4
Conclude the governance system design

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Design Guide Tool Canvas

Download this tool at www.isaca.org
Agenda

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Common Questions

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

“I am a 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

**Pre conditions**
- No (or weak) overarching framework for the governance and management of I&T
- Management supports the integration of a single integrated framework

**Post conditions**
- End to end governance system
- Provides stakeholder value
- Holistic approach
- Dynamic governance system
- Governance distinct from management
- Tailored to meet enterprise needs

**Success Scenario**

1. **Understand principles**
   - Determine your governance system principles
   - Determine your governance framework principles

2. **Conduct a goals cascade**
   - Understand stakeholder drivers and needs
   - Map enterprise goals, alignment goals and governance and management objectives

3. **Determine design factors and focus areas**
   - Select design factors and focus areas
   - Understand your relationship with each design factor

4. **Analyze design factors and focus areas**
   - Conduct a tool analysis using the design tool kit to select governance and management objectives
   - Determine target capability levels

5. **Document governance components**
   - Understand the governance components for each governance or management objective selected
   - Modify the tailored governance system as required

**COBIT 2019 References**

- COBIT 2019 Framework guide, Ch. 3
- COBIT 2019 Design guide, Mapping Appendix
- COBIT 2019 Objectives guide, Ch. 4
- COBIT 2019 Framework guide, Ch. 4
- COBIT 2019 Design guide, Ch 2, 3
- COBIT 2019 Toolkit (Excel tool)
- COBIT 2019 Design guide, Ch. 4
- COBIT 2019 Framework guide, Ch. 6
- COBIT 2019 Framework guide, Ch. 4
- COBIT 2019 Objectives guide, Ch. 4
- Refer to the related guidance section for each governance or management objective
Agenda

Enterprise Governance of Information and Technology

COBIT 2019 Overview

Creating a Tailored Governance System

COBIT Use Cases

Tips to Adoption

Closing and Questions
Download the COBIT 2019 publications (and design guide tool)

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

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

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

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.

TIPS & TRICKS
## Agenda

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

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