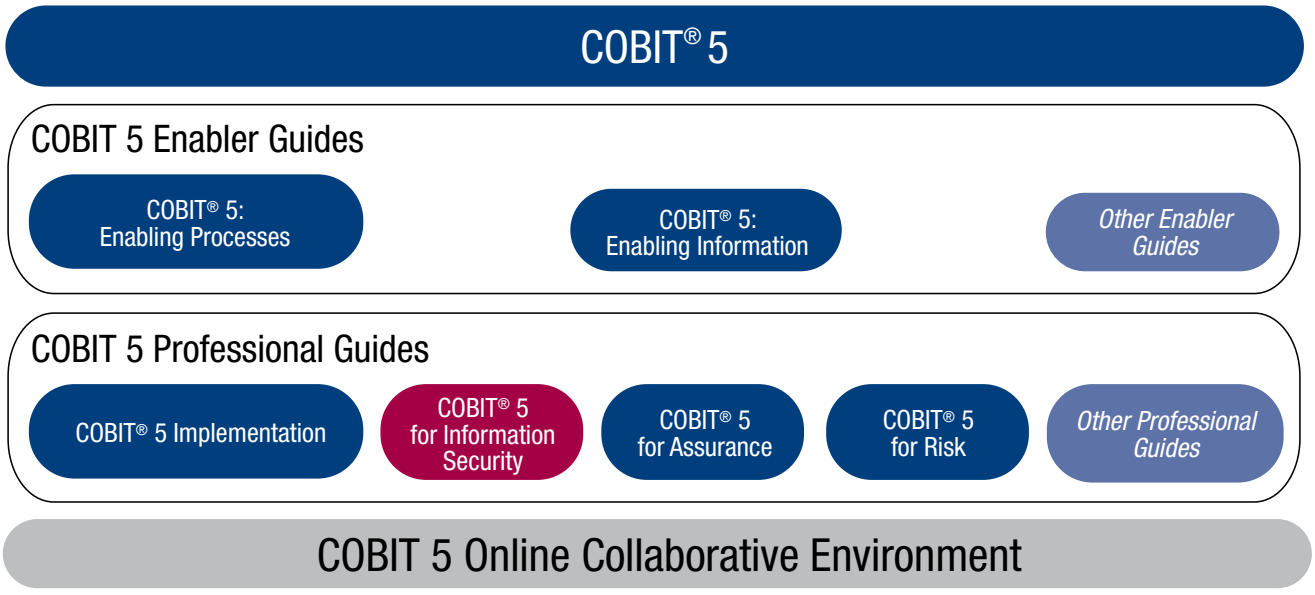
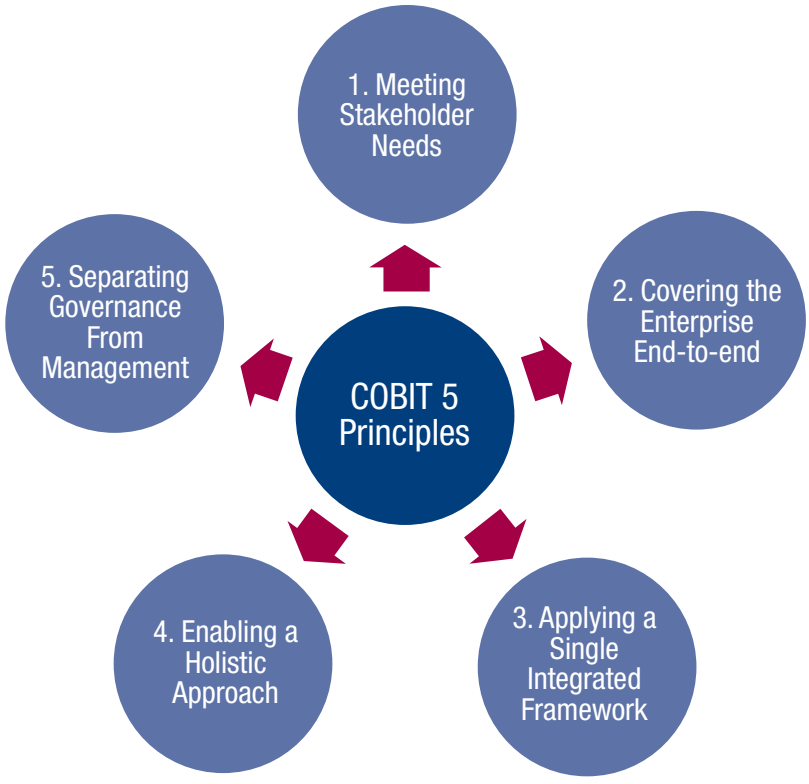
COBIT 5 Product Family



Source: *COBIT 5 for Information Security*, figure 1

COBIT 5 Principles



Source: COBIT 5, figure 2

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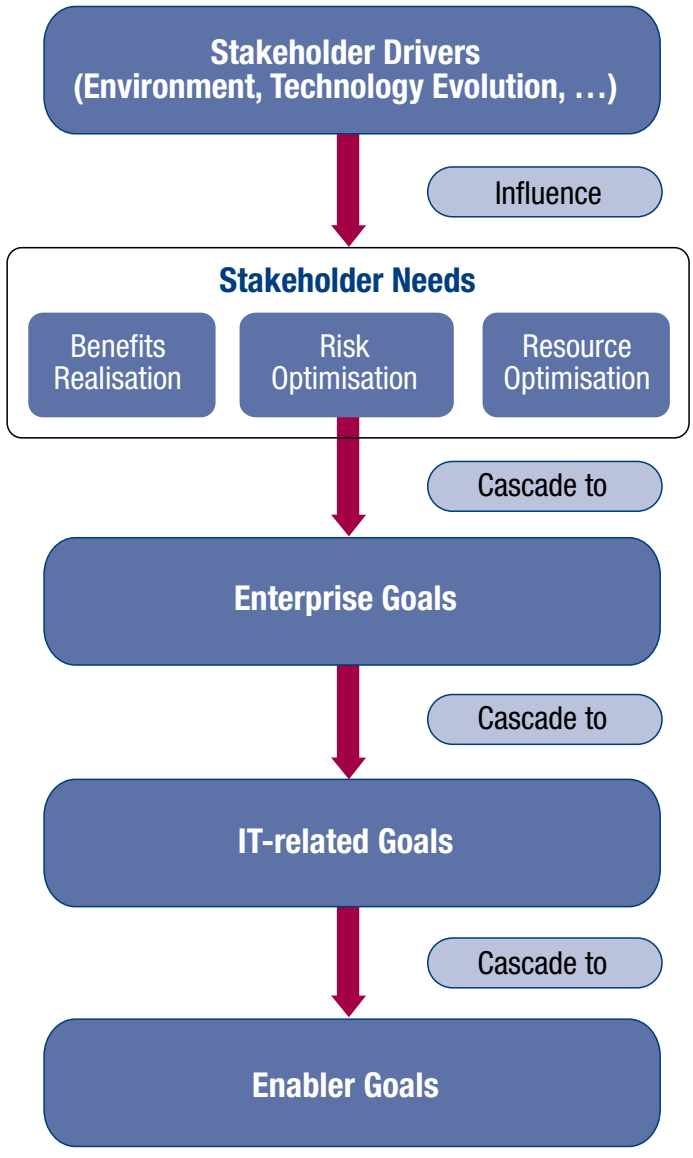
COBIT 5 Goals Cascade Overview



Source: COBIT 5, figure 4

Selected Guidance From the COBIT 5 Family

These charts and figures are elements of COBIT 5 and its supporting guides. This excerpt is available as a complimentary PDF (*www.isaca.org/cobit*) and for purchase in hard copy (*www.isaca.org/bookstore*). It provides an overview of the COBIT 5 guidance, its five principles and seven enablers. We encourage you to share this document with your enterprise leaders, team members, clients and/or consultants.

COBIT enables enterprises to maximize the value and minimize the risk related to information, which has become the currency of the 21st century. COBIT 5 is a comprehensive framework of globally accepted principles, practices, analytical tools and models that can help any enterprise effectively address critical business issues related to the governance and management of information and technology. Additional information is available at *www.isaca.org/cobit*.

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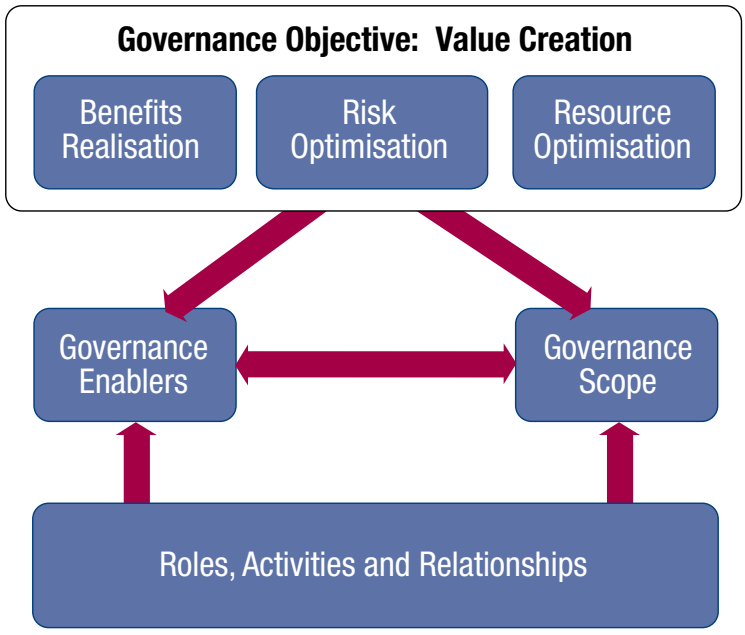
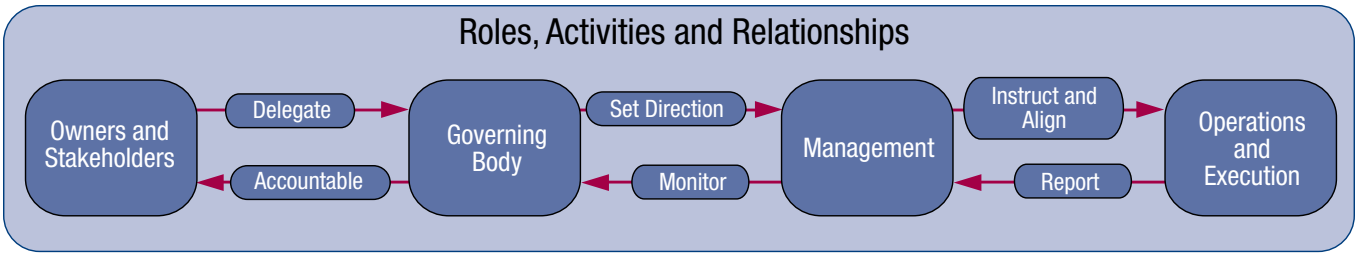
Governance and Management in COBIT 5



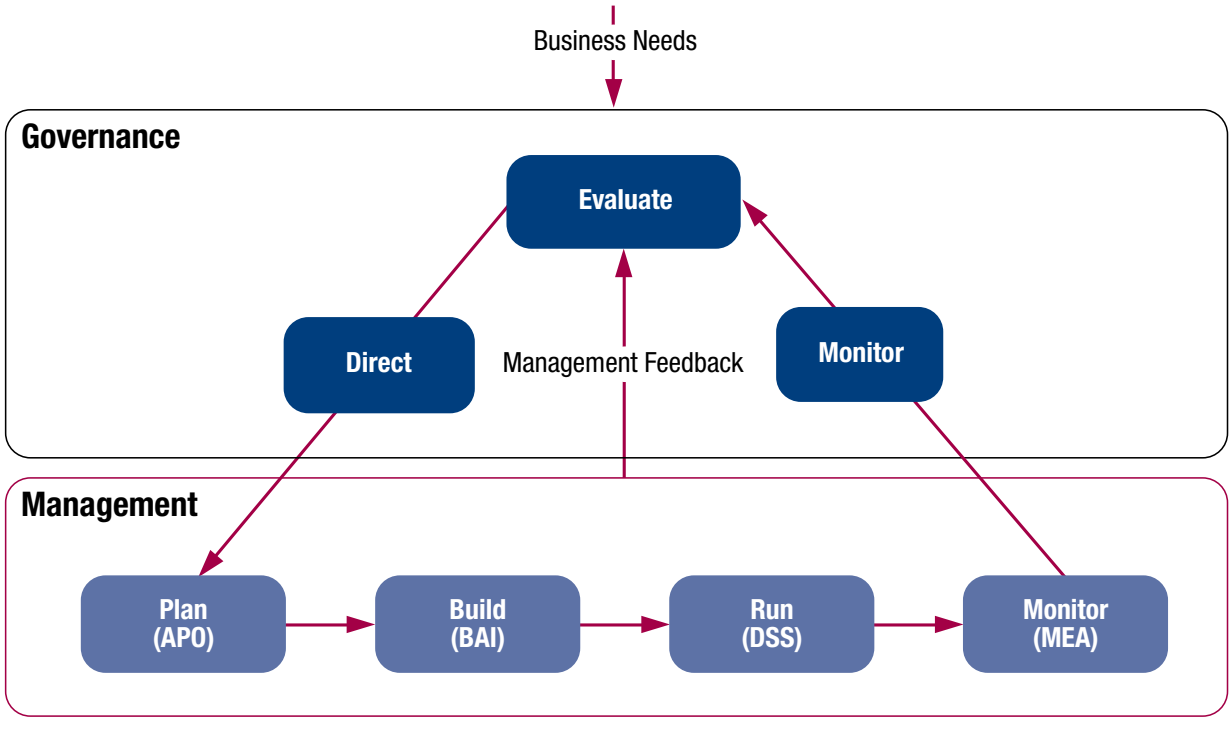
Source: COBIT 5, figure 8

Key Roles, Activities and Relationships



Source: COBIT 5, figure 9

COBIT 5 Governance and Management Key Areas



Source: COBIT 5, figure 15

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Information Security Skills/Competencies
Skills/Competencies
Information security governance
Information security strategy formulation
Information risk management
Information security architecture development
Information security operations
Information assessment and testing and compliance
Source: *COBIT 5 for Information Security*, Figure 20

Example Stakeholders for Information Security-related Information (Small/Medium Enterprise)										
	Information Type									
Stakeholder	Information Security Strategy	Information Security Budget	Information Security Plan	Policies	Information Security Requirements	Awareness Material	Information Security Review Reports	Information Security Service Catalogue	Information Risk Profile	Information Security Dashboard
Internal: Enterprise										
Board	U			I		U	I		A	
Chief executive officer (CEO)	U			A		U	I		U	
Chief financial officer (CFO)		A		U		U			U	
Chief information security officer (CISO)	O	U	O	O	A	A	A	A	U	U
Information security steering committee (ISSC)	A	O	A	U	U	I	U	I	U	U
Business process owner				U	O	U		U	U	
Head of human resources (HR)				U		U				
Internal: IT										
Chief information officer (CIO)/IT manager	U	O	U	U	U	U	I		U	U
Information security manager (ISM)	U	U	U	O	U	O	O	O	O	O
External										
Investors						I				
Insurers						I	I		I	
Regulators		I				I	I			
Business Partners						I	I			
Vendors/Suppliers						I				
External Auditors		I				I	I		I	I

An indication of the nature of the relationship of the stakeholder for each information type:
A—Approver
O—Originator
I—Informed of information type
U—User of information type

Source: *COBIT 5 for Information Security*, Figure 17

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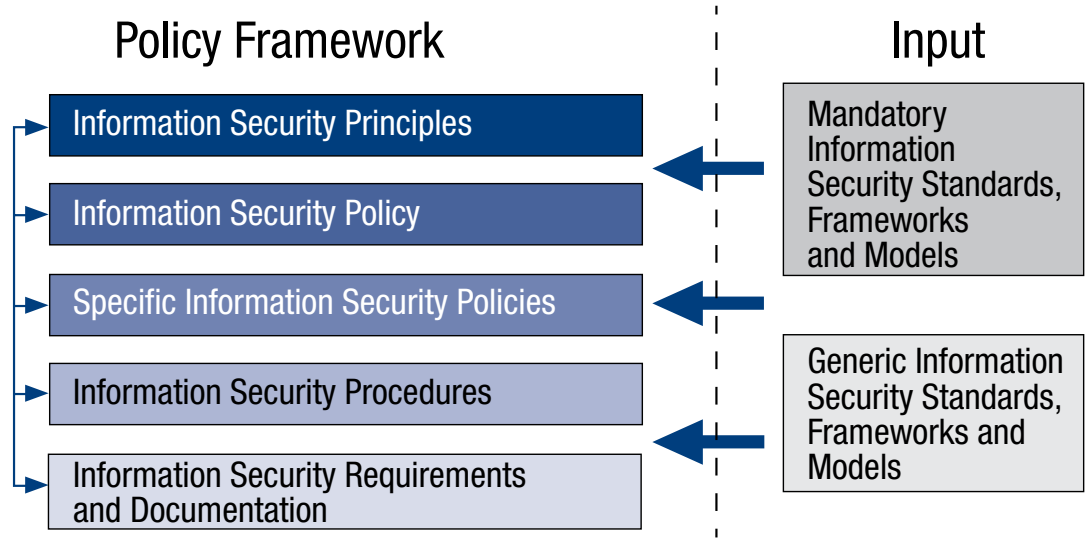
Advantages and Disadvantages of Potential Paths for Information Security Reporting

Role	Advantages	Disadvantages
Chief executive officer (CEO)	Information risk is elevated to the highest level in the enterprise.	Information risk needs to be presented in a format that is understandable to the CEO. Given the multitude of responsibilities of the CEO, information risk might be monitored and managed at too high a level of abstraction or might not be fully understood in its relevant details.
Chief information officer (CIO)	Information security issues and solutions can be aligned with all IT initiatives.	Information risk may not be addressed due to other IT initiatives and deadlines taking precedence over information security. There is a potential conflict of interest. The work performed by information security professionals may be IT-focussed and not information security-focussed. In other words, there may be an insufficient business focus.
Chief financial officer (CFO)	Information security issues can be addressed from a financial business impact point of view.	Information risk may not be addressed due to financial initiatives and deadlines taking precedence over information security. There is a potential conflict of interest.
Chief risk officer (CRO)	Information risk is elevated to a position that can also look at risk from strategic, financial, operational, reputational and compliance perspectives.	This role does not exist in most enterprises. It is most often found in financial service organisations. In enterprises in which a CRO is not present, organisational risk decisions may be decided by the CEO or board of directors.
Chief technology officer (CTO)	Information security can be partnered and included in future technology road maps.	Information risk may not be addressed due to technology directions taking precedence over information security.
Chief operating officer (COO)	Information security issues and solutions can be addressed from the standpoint of impact to the business' operations.	Information risk may not be addressed due to operational initiatives and deadlines taking precedence over information security.
Board of directors (indirect report)	Information risk is elevated to the highest level in the enterprise.	Information risk needs to be presented in a format that is understandable to board members, and hence may become too high-level to be relevant.

Source: *COBIT 5 for Information Security*, Figure 14

Policy Framework



Source: *COBIT 5 for Information Security*, Figure 10

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COBIT 5 Process Reference Model

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

- **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

Source: COBIT 5, figure 16

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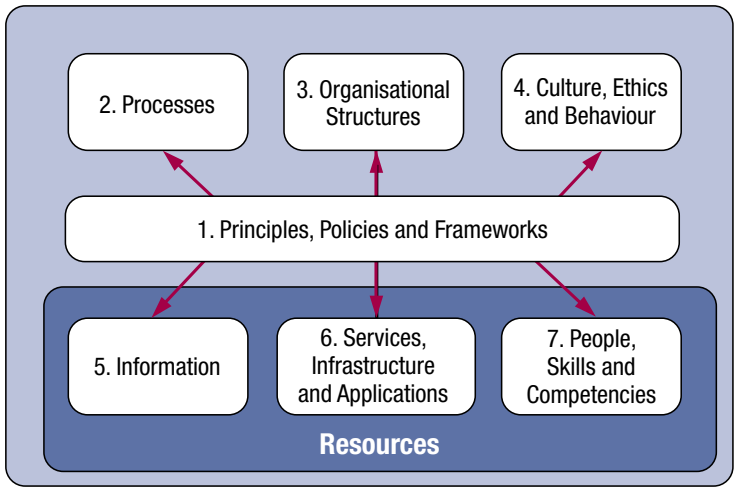
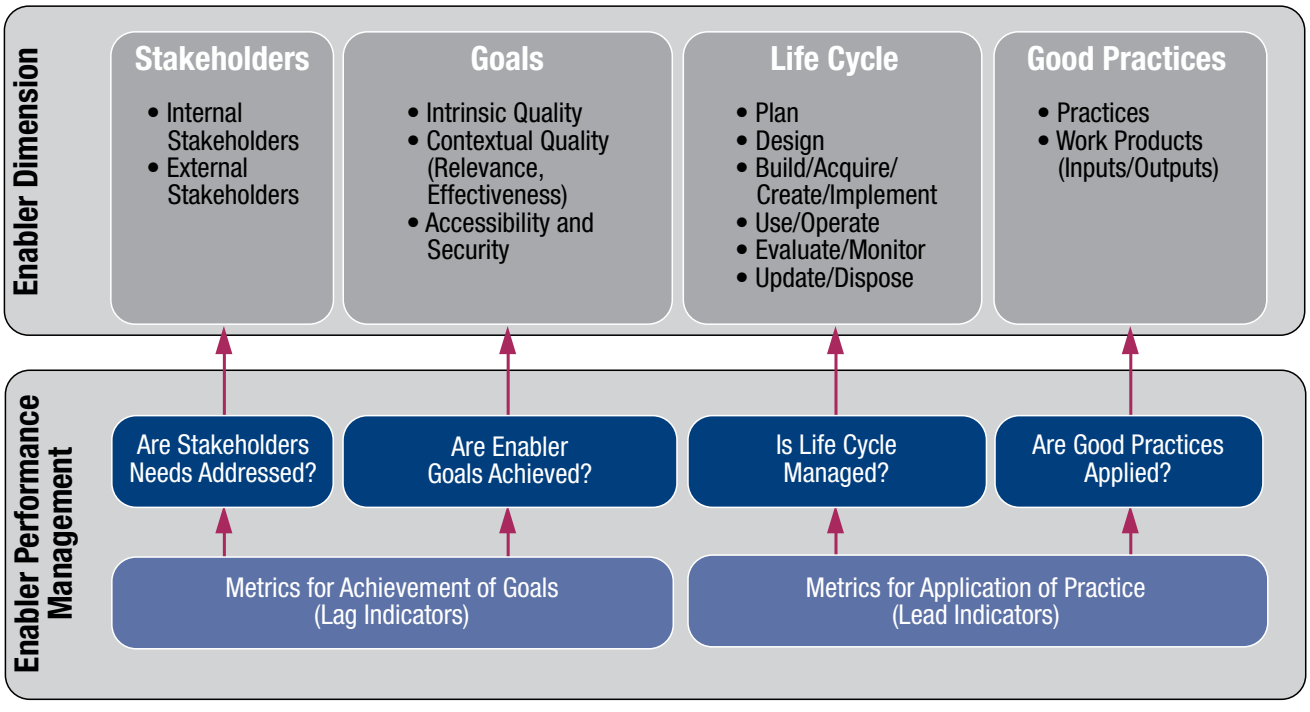
COBIT 5 Enterprise Enablers



Source: COBIT 5, figure 12

COBIT 5 Enablers: Generic



Source: COBIT 5, figure 13

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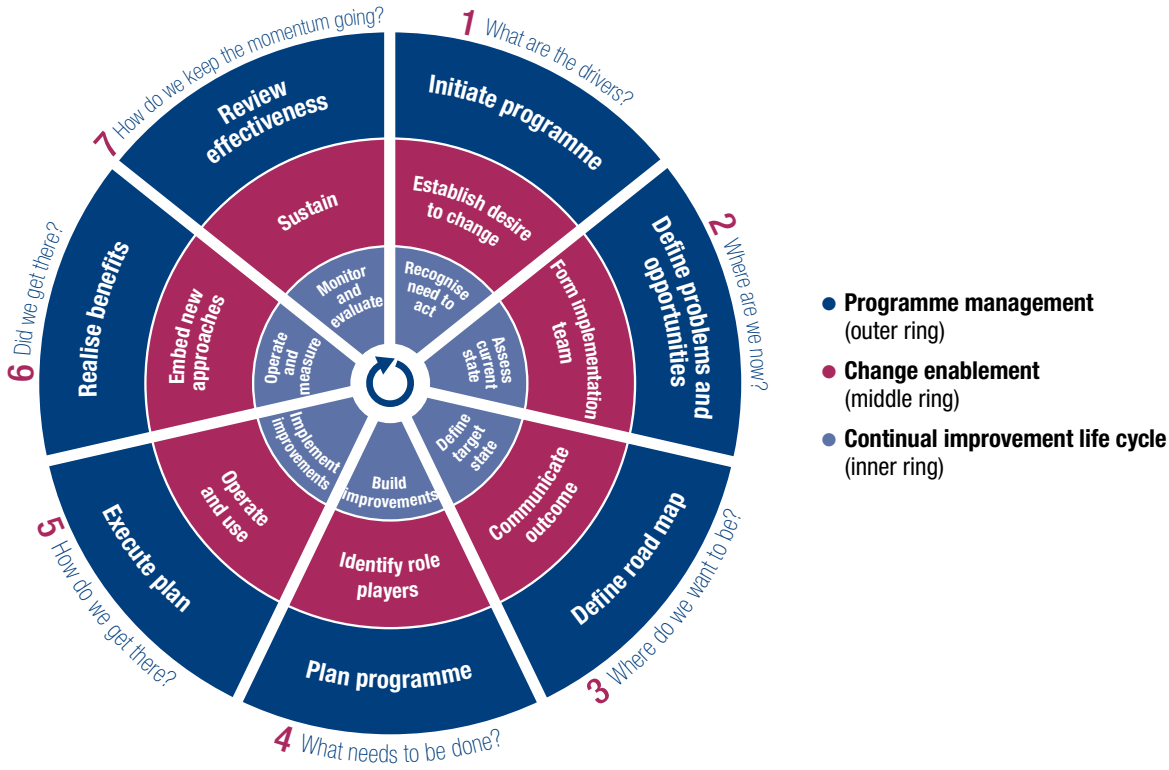
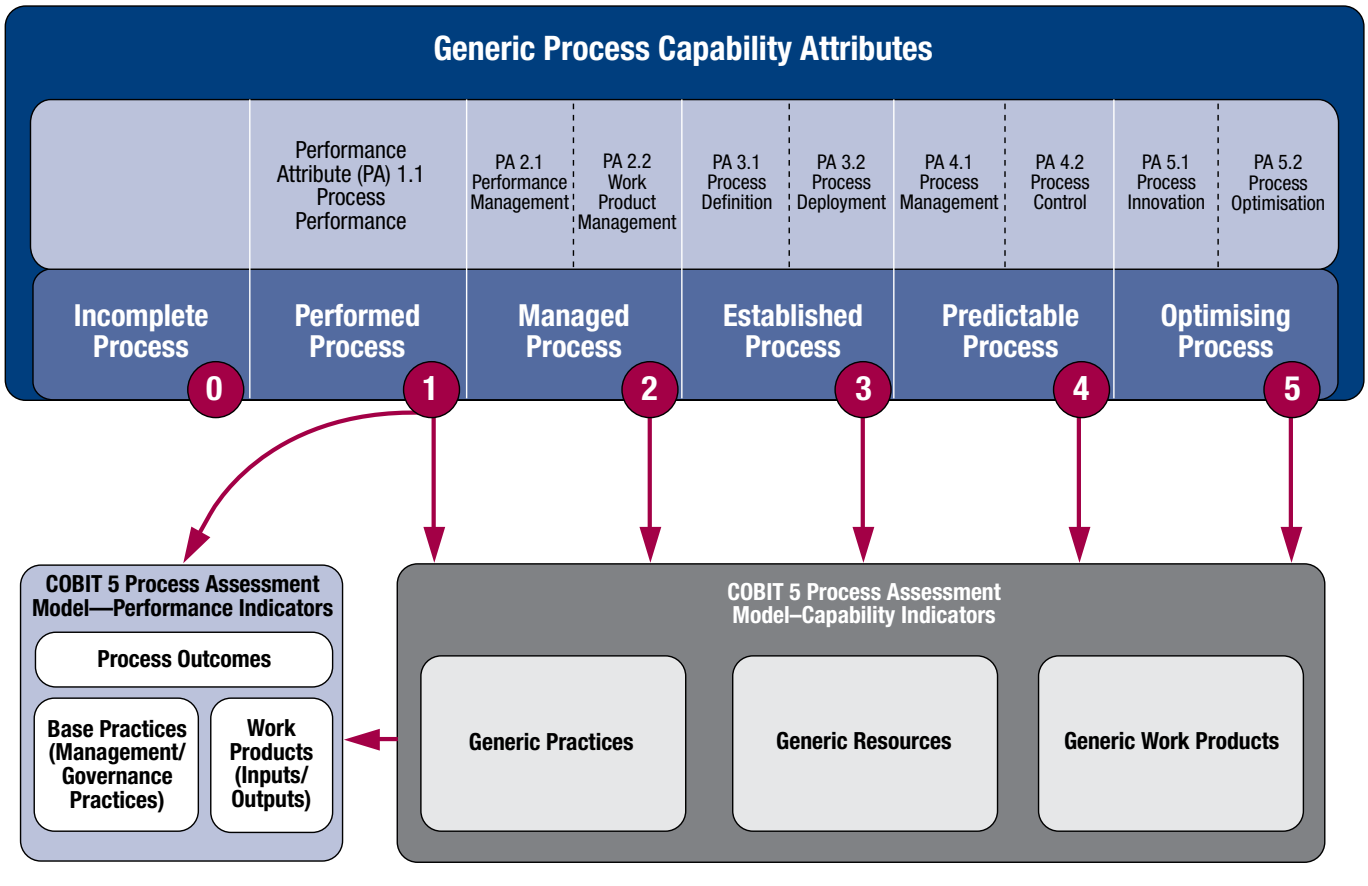
The Seven Phases of the Implementation Life Cycle



Source: COBIT 5, figure 17 and *COBIT 5 Implementation*, figure 6

Summary of the COBIT 5 Process Capability Model



Source: COBIT 5, figure 19

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