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

Source: COBIT 5, figure 11 and COBIT 5 for Assurance, figure 1

COBIT 5 Principles

1. Meeting Stakeholder Needs
2. Covering the Enterprise End-to-end
3. Applying a Single Integrated Framework
4. Enabling a Holistic Approach
5. Separating Governance From Management

COBIT 5 Principles

Source: COBIT 5, figure 2 and COBIT 5 for Assurance, figure 7
COBIT 5 Goals Cascade Overview

Benefits Realisation
Risk Optimisation
Resource Optimisation

Enterprise Goals

IT-related Goals

Enabler Goals

Stakeholder Drivers (Environment, Technology Evolution, …)

Influence

Stakeholder Needs

Cascade to

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 maximise the value and minimise 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.
### Governance Objective: Value Creation

- Benefits Realisation
- Risk Optimisation
- Resource Optimisation

### Key Roles, Activities and Relationships

- Owners and Stakeholders
- Governing Body
- Management

- Delegate
- Accountable
- Set Direction
- Monitor
- Instruct and Align
- Report
- Operations and Execution

### COBIT 5 Governance and Management Key Areas

- Business Needs
- Governance
  - Evaluate
  - Direct
  - Monitor
- Management
  - Plan (APO)
  - Build (BAI)
  - Run (DSS)
  - Monitor (MEA)

Source: COBIT 5, figure 8
Source: COBIT 5, figure 9
Source: COBIT 5, figure 15
Three-party Relationship involving an accountable party for the subject matter, an assurance professional and an intended user

Assurance Components

Assurance Process that the assurance professional will undertake:

A. Determine Scope of the Assurance Initiative

B. Understand the Subject Matter, Set Suitable Assessment Criteria and Assess

C. Communication

Subject Matter over which the assurance is to be provided

Suitable Criteria against which the subject matter will be assessed

Execute the assurance engagement

Conclusion issued by the assurance professional

Provides Comfort to

Secondary

Primary

A. Determine Scope of the Assurance Initiative

B. Understand the Subject Matter, Set Suitable Assessment Criteria and Assess

C. Communication

Scope of COBIT 5 for Assurance

COBIT® 5 for Assurance

COBIT 5 Enablers for the Assurance Function

Processes

Organisational Structures

Principles, Policies and Frameworks

Information

Services, Infrastructure and Applications

People, Skills and Competencies

COBIT® 5 for Assurance

Generic method for providing assurance over COBIT 5 enablers

Assurance

Assurance Function Perspective

COBIT 5 framework and COBIT® 5: Enabling Processes

Audit/Assurance Programmes for Subject Matter

ISACA Audit/Assurance Programmes

ITAF

Source: COBIT 5 for Assurance, figure 4

Source: COBIT 5 for Assurance, figure 6
A. Determine Scope of the Assurance Initiative

A-1 Determine the stakeholders of the assurance initiative and their stake.

A-2 Determine the assurance objectives based on assessment of the internal and external environment/context and of the relevant risk and related opportunities.

A-3 Determine the enablers in scope and the instance(s) of the enablers in scope.

- Principles, Policies and Frameworks
- Processes
- Organisational Structures
- Culture, Ethics and Behaviour
- Information
- Services, Infrastructure and Applications
- People, Skills and Competencies

B. Understand Enablers, Set Suitable Assessment Criteria and Perform the Assessment

B-1 Agree on metrics and criteria for enterprise goals and IT-related goals. Assess enterprise goals and IT-related goals.

B-2 Obtain understanding of the principles, policies and frameworks in scope. Assess principles, policies and frameworks.

B-3 Obtain understanding of the processes in scope and set suitable assessment criteria. Assess the processes.

B-4 Obtain understanding of the organisational structures in scope. Assess the organisational structures.

B-5 Obtain understanding of the culture, ethics and behaviour in scope. Assess culture, ethics and behaviour.

B-6 Obtain understanding of the information items in scope. Assess information.

B-7 Obtain understanding of the services, infrastructure and applications in scope. Assess services, infrastructure and applications.

B-8 Obtain understanding of the people, skills and competencies in scope. Assess people, skills and competencies.

C. Communicate the Results of the Assessment

C-1 Document exceptions and gaps.

C-2 Communicate the work performed and findings.

Assurance Engagement Scoping Summary

A. Determine Scope of the Assurance Initiative

A-1 Determine the stakeholders of the assurance initiative and their stake.

A-2 Determine the assurance objectives based on assessment of the internal and external environment/context and of the relevant risk and related opportunities.

A-3 Determine the enablers in scope and the instance(s) of the enablers in scope.

- Principles, Policies and Frameworks
- Processes
- Organisational Structures
- Culture, Ethics and Behaviour
- Information
- Services, Infrastructure and Applications
- People, Skills and Competencies

1. Define the assurance objective in simple language.

2. Identify the enterprise goals that are most related to the high-level assurance objective.

3. Refine the list of potential enterprise goals to a manageable set of key goals and additional goals.

4. Use the mapping table between enterprise goals and IT goals to identify potential IT goals that need to be achieved.

5. Refine—taking into account the specific environment—the set of potential IT goals to a manageable set of key IT goals and additional IT goals.

6. Use the mapping table between IT goals and COBIT 5 processes to identify potential processes that support the IT goals.

7. Refine the list of selected processes to a manageable list.

8. Use the RACI charts of the selected processes to identify potential organisational structures in scope, and refine the list.

9. Use the RACI charts of the selected processes to identify potential people, skills and competencies in scope, and refine the list.

10. Use the input/output tables of the selected processes to identify potential information items in scope, and refine the list.

11. Identify which other enablers support the achievement of the selected IT goals.

12. Consolidate the list of enablers in scope and remove redundancies.

Source: COBIT 5 for Assurance, figure 32
This figure highlights the key supporting COBIT 5 processes (shown in dark pink), as well as the other supporting processes (shown in light pink). COBIT 5 for Assurance, section 2A, 3.2.1 ad 3.2.2 provide short descriptions of each supporting process, the reason it is important and the key outputs. MEA activities (shown in light blue) are detailed in COBIT 5 for Assurance, section 2, chapter 1.
The Seven Phases of the Implementation Life Cycle

1. What are the drivers?
   - Programme management (outer ring)
   - Change enablement (middle ring)
   - Continual improvement life cycle (inner ring)

2. Where are we now?
3. Where do we want to be?
4. What needs to be done?
5. How do we get there?
6. Did we get there?
7. How do we keep the momentum going?

Summary of the COBIT 5 Process Capability Model

Generic Process Capability Attributes

- Performance Attribute (PA) 1.1: Process Performance
- PA 2.1: Performance Management
- PA 2.2: Work Product Management
- PA 3.1: Process Definition
- PA 3.2: Process Deployment
- PA 4.1: Process Management
- PA 4.2: Process Control
- PA 5.1: Process Innovation
- PA 5.2: Process Optimisation

- Incomplete Process
- Performed Process
- Managed Process
- Established Process
- Predictable Process
- Optimising Process

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

Source: COBIT 5, figure 19