



LEADING THE IT GOVERNANCE COMMUNITY

GUIDANCE MATERIALS FOR IT GOVERNANCE FEATURING

COBIT® 4.1

COBIT® CONTROL PRACTICES: GUIDANCE
TO ACHIEVE CONTROL OBJECTIVES FOR
SUCCESSFUL IT GOVERNANCE

IT GOVERNANCE IMPLEMENTATION GUIDE:
USING COBIT® AND VAL IT™

IT ASSURANCE GUIDE: USING COBIT®



www.isaca.org/cobit

The IT Governance Institute® (ITGI™) was established in 1998 to clarify and provide guidance on current and future issues pertaining to IT governance, security and assurance. ITGI is the research “think tank” for ISACA®, a membership organization dedicated to serving IT governance professionals. ITGI undertakes original research, convenes symposia and hosts a web site (www.itgi.org) dedicated to offering a variety of IT governance-related resources.

ITGI’s publication, *Control Objectives for Information and related Technology (COBIT®)*, is the world’s leading IT governance and control framework. The success of COBIT has resulted in the creation of a growing family of publications and products designed to assist in the implementation of effective IT governance throughout the enterprise. The COBIT set of guidance materials provides a reference framework and common language for management; IT and business leaders; and IT assurance, security and governance practitioners across the entire information systems life cycle.



Supporting IT Governance

COBIT supports IT governance by providing a framework to ensure that:

- IT is aligned with the business
- IT enables the business and maximizes benefits
- IT resources are used responsibly
- IT risks are managed appropriately

Benefits of Implementing IT Governance Using COBIT

Implementing IT governance using COBIT enables:

- Better alignment based upon a business focus
- An understandable view of IT for management
- Clear ownership and responsibilities
- General acceptability with third parties and regulators
- Shared understanding among all stakeholders based on a common language
- Fulfillment of the COSO requirements for the IT control environment

COBIT has become the integrator for IT best practices and the umbrella framework for IT governance because it is harmonized with other global standards, frameworks and best practices and is continuously kept up to date. The process structure of COBIT, in conjunction with its high-level, business-oriented approach, provides an end-to-end view of IT that aids organizations in getting the most value possible from their IT investments.

COBIT and Related Products

COBIT and related publications, web-based products and training and education resources are listed below. Further information, including details about a NEW discounted pricing structure for purchasing sets of related publications, can be obtained from the ISACA (www.isaca.org/cobit) and ITGI (www.itgi.org) web sites.

Publications

Board Briefing on IT Governance, 2nd Edition

The *Board Briefing on IT Governance* is a comprehensive description of IT governance concepts, useful as a reference booklet or as a tool for educating top management. It comes complete with checklists and tools to help management initiate and sustain an effective IT governance program. Guidance is also provided on the roles and responsibilities for IT governance, highlighting the parts played by the CEO, business executives, CIO, IT steering committee, technology council and IT architecture review board. Specific attention is given to the IT strategy committee. In addition to providing counsel on strategy when advising the board on its IT governance responsibilities, the IT strategy committee needs to focus on IT value, risks and performance. The briefing provides high-level guidance on how to set up an effective committee.

Information Security Governance: Guidance for Boards of Directors and Executive Management

With increased networking and a growing realization of how valuable information assets are, information security is recognized as one of the most important issues to address for all IT users. However, the subject of IT security is often presented in high-tech terms, and managers find it difficult to understand the issues and feel confident about how their organizations are managing security-related risks. *Information Security Governance* helps overcome these barriers by explaining information security in business terms. It comes complete with tools and techniques to help managers uncover security-related problems.

COBIT 4.1

COBIT is an IT governance framework and supporting tool set that allows managers to bridge the gap between control requirements, technical issues and business risks. COBIT enables clear policy development and good

practice for IT control throughout organizations. COBIT was first published by ITGI in April 1996. ITGI's latest update—COBIT® 4.1—emphasizes regulatory compliance, helps organizations to increase the value attained from IT, highlights links between business and IT goals, and simplifies implementation of the COBIT framework. COBIT 4.1 is a fine-tuning of the COBIT framework and can be used to enhance work already done based upon earlier versions of COBIT. When major activities are planned for IT governance initiatives, or when an overhaul of the enterprise control framework is anticipated, it is recommended to start fresh with COBIT 4.1. COBIT 4.1 presents activities in a more streamlined and practical manner so continuous improvement in IT governance is easier than ever to achieve.

IT Governance Implementation Guide: Using COBIT and Val IT, 2nd Edition

One of the primary goals of using best practices is to avoid reinventing the wheel. However, this is possible only if implementation is effective and efficient. The *IT Governance Implementation Guide* provides a road map and process guidance on how to implement IT governance using COBIT as well as ITGI's framework for ensuring and measuring value from IT-enabled investments, Val IT™. Complete with a tool kit of useful templates, diagnostic tools and reporting techniques, the guide is an invaluable aid to optimizing the benefits of COBIT's principles while also addressing many of the organizational and process changes that are needed. The guide will help you to adopt and instill a COBIT-based governance framework, giving you a generic action plan that you can tailor and adapt to suit your particular organization.

COBIT Control Practices: Guidance to Achieve Control Objectives for Successful IT Governance

Control practices are derived from each control objective and help management, service providers, end users and control professionals to justify and design the specific controls needed to improve IT governance. The control

practices provide the how, why and what to implement for each control objective, to improve IT performance and/or address IT solution and service delivery risks. By providing guidance on why controls are needed and what the best practices are for meeting specific control objectives, *COBIT® Control Practices* helps ensure that solutions put forward are likely to be more completely and successfully implemented. *COBIT Control Practices* presents the key control mechanisms that support the achievement of control objectives.

IT Assurance Guide: Using COBIT (replaces the Audit Guidelines)

Management needs assurance that the desired IT goals and objectives are being met and that key controls are in place and effective. The *IT Assurance Guide* introduces the various types of IT assurance activities that exist and describes how COBIT can be used to support such activities. It provides invaluable guidance for assurance professionals and a structured assurance approach linked to the COBIT framework that provides a common language and criteria for business and IT people. This approach facilitates a shared identification of control priorities and improvements. Key, major content of the assurance guide are the:

Assurance Testing Steps

The testing steps provide guidance at the control objective level for assurance professionals when auditing an IT process. The steps are derived from the control practices (see above). The assurance steps test the operational effectiveness of the control design, with further tests for control existence and design, where necessary.

COBIT Quickstart

COBIT® Quickstart is specifically designed to assist in rapid and easy adoption of the most essential elements of COBIT. *Quickstart* is a summarized version of the COBIT resources, focusing on the most crucial IT processes, control objectives and metrics, all presented in an easy-to-follow format to help users gain the benefits of COBIT quickly. *Quickstart* was

designed as a baseline for many small to medium enterprises, but is also suitable for large organizations as a tool to accelerate adoption of IT governance best practices. *Quickstart* will help you to rapidly understand the important issues and management priorities. It can be followed by nontechnical people or managers who want principles, not detail, and is a useful springboard to the more comprehensive CobIT guidance.

CobIT Security Baseline

(available 3rd quarter 2007)

This publication focuses on IT security risk in a way that is simple to follow and implement for everyone, from the home user or small- to medium-sized enterprise to executives and board members of larger organizations. *CobIT Security Baseline* provides an introduction to information security; an explanation of why security is important; the CobIT-based security baseline, mapped to ISO/IEC 17799; information security “survival kits” for varying audiences; and a summary of technical security risks.

Val IT

Val IT focuses on the governance of IT investments, and is based on the CobIT framework. Val IT provides guidance for managing an organization’s portfolio of IT-enabled business investments and for maximizing the quality of business cases for IT-enabled business investments. Val IT complements CobIT from a business and financial perspective and will help all those with an interest in value delivery from IT. The first series, *Enterprise Value: Governance of IT Investments*, contains three publications: *The Val IT Framework*, *The Business Case* and *The ING Case Study*.

IT Control Objectives for Sarbanes-Oxley, 2nd Edition


Internal control is critical when dealing with the requirements of the US Sarbanes-Oxley Act of 2002. This document reflects the latest thinking on this increasingly global topic and was designed to be a reference for executive management and IT control professionals when

evaluating an organization’s IT controls required by Sarbanes-Oxley. This publication provides guidance on how to ensure compliance for the IT environment based on the CobIT control objectives related to financial reporting.

Aligning CobIT, ITIL and ISO 17799 for Business Benefit

This briefing is the result of a joint study initiated by the British Office of Government Commerce (OGC) and ITGI, in recognition of the growing significance of best practices to the IT industry. itSMF also supported the study. It explains to business users and senior management the value of IT best practices and how harmonization, implementation and integration of best practices (CobIT, ITIL and ISO/IEC 17799) may be made easier.

CobIT Mapping Series

A mapping overview  and various mappings of CobIT to other international guidance have been published by ITGI. Mappings include CobIT to CMM, ISO/IEC 17799, ITIL, PMBOK and PRINCE2. Further mappings are planned.

Web-based Content

CobIT Online

www.isaca.org/cobitonline

Set up as an online service and available to anyone with an Internet connection, CobIT Online[®] makes CobIT more accessible and user-friendly than any other IT best practice. CobIT Online is a fully interactive, web-enabled version of CobIT for ISACA members and subscribers. Whether you are a current user of CobIT or planning to adopt CobIT as the preferred framework for IT governance, CobIT Online provides easy and rapid access to all the CobIT resources. With CobIT Online, you can browse and search best practices, download customized guidance, perform benchmarking and more. Using MyCobIT, you can construct and download your

own version of CobIT for use on your desktop in Word[®] or Access[®] formats as assessment forms, rich text Word documents or as a database. CobIT Online incorporates a community section and discussion area to help users exchange experiences and learn from each other. Users of CobIT Online benefit from accessing the very latest version of the guidance material without waiting for the next hard copy release, sharing experiences with other users, and creating their own customized CobIT environment. A variety of subscription levels is available, each allowing different amounts and types of access and functionality.



Training and Education

CobIT Awareness Course™

This introductory course addresses the need for an IT control framework and explains CobIT in relation to other frameworks. The CobIT Awareness Course™ is offered in a self-paced, e-learning format.

CobIT Foundation Course™

CobIT Foundation Course™ provides an overview of IT governance and shows how CobIT addresses the need for sound IT governance practices with a globally accepted IT control and governance framework. The CobIT framework, control objectives, control practices, management guidelines and assurance guide are explained using case studies and practical examples that help relate the components of CobIT to your own organization. The course is offered in a self-paced, e-learning format as well as in a classroom format. An optional examination is also available to those completing this course or having equivalent knowledge of CobIT. Completion of the course and successful completion of the examination provides eight continuing professional education hours and the award of a CobIT Foundation Certificate™.

IT Governance Implementation Course™

This two-day course helps experienced CobIT users implement CobIT and Val IT for IT governance. Aligned with the *IT Governance Implementation Guide* and facilitated by an ISACA-accredited trainer, the course takes the participant through the implementation road map, includes five case studies, and covers project scoping, maturity assessments, improvement planning and metrics. The classroom environment provides opportunities to share experiences with other users and learn practical tips and concepts. The course provides

15 continuing professional education hours. Prior completion of the CobIT Foundation Course or successful completion of the CobIT® Foundation Exam is required.

CobIT for Sarbanes-Oxley Compliance Course™

This course is ideal for IT professionals, IT audit professionals and compliance specialists who are working toward Sarbanes-Oxley compliance. In an easy-to-understand and step-by-step approach, learners will come to understand the reasoning behind the Sarbanes-Oxley Act and its implications. A best practice road map toward compliance is used, complemented by industry case studies. The course is offered in a self-paced, e-learning format.

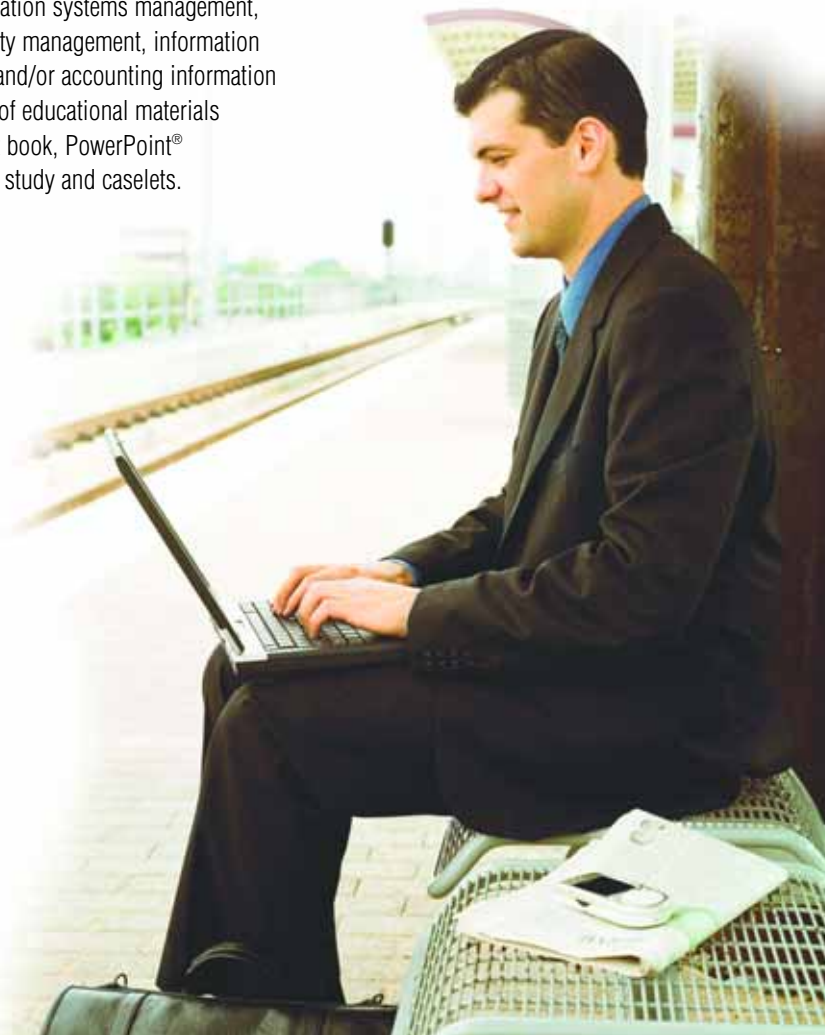
CobIT in Academia

CobIT in Academia™ is a set of educational materials that professors and teachers can use to explain and present CobIT in their curricula and courses on information systems management, information security management, information systems auditing and/or accounting information systems. This set of educational materials includes a student book, PowerPoint® presentation, case study and caselets.

CobIT User Convention

These unique educational events are exclusively designed for users of CobIT and are hosted by selected ISACA chapters. The CobIT® User Convention events are ISACA chapter-run, two-day presentations featuring case studies and facilitated discussion groups that address how CobIT is employed from both a governance and assurance perspective. The facilitators join a number of CobIT users to present implementation strategies, lead discussions, answer questions and provide CobIT updates.



For details about CobIT training and education, visit www.isaca.org/cobit.



COBIT Product Matrix Main Audience(s)

	C-suite	IT Management	IT Professionals	Assurance	Security	Governance	Academics
Publications							
1) <i>Board Briefing on IT Governance, 2nd Edition</i>	✓	✓					
2) <i>Information Security Governance: Guidance for Boards of Directors and Executive Management</i>	✓	✓			✓	✓	
3) COBIT 4.1		✓	✓	✓		✓	
4) <i>IT Governance Implementation Guide: Using COBIT and Val IT, 2nd Edition</i> (based on COBIT Control Practices)		✓	✓	✓		✓	
5) <i>IT Assurance Guide: Using COBIT</i> (based on Assurance Testing Steps)		✓		✓			
6) <i>COBIT Quickstart</i>		✓	✓	✓		✓	
7) <i>COBIT Security Baseline</i>	✓	✓	✓		✓		
8) Val IT (all three volumes in the <i>Enterprise Value: Governance of IT Investments</i> series)	✓	✓					✓
9) <i>IT Control Objectives for Sarbanes-Oxley, 2nd Edition</i>		✓	✓	✓	✓	✓	
10) <i>Aligning COBIT, ITIL and ISO/IEC 17799 for Business Benefit</i>		✓	✓	✓	✓	✓	
11) COBIT Mapping (high-level)		✓	✓	✓	✓	✓	
12) COBIT Mapping (detail)		✓	✓	✓	✓		
Web-based COBIT Content							
13) COBIT Online		✓	✓	✓		✓	
Training and Education							
14) COBIT Awareness Course	✓	✓	✓	✓	✓	✓	
15) COBIT Foundation Course (and certificate)		✓	✓	✓		✓	
16) IT Governance Implementation Course		✓	✓	✓		✓	
17) COBIT for Sarbanes-Oxley Compliance Course		✓	✓	✓	✓	✓	
18) COBIT in Academia							✓
19) COBIT User Convention		✓	✓	✓	✓	✓	✓

Purchasing COBIT and Related Products

For more information about COBIT, please visit the ISACA web site at www.isaca.org/cobit. COBIT products are available for purchase online through the ISACA Bookstore at www.isaca.org/bookstore. Certain products, designated by , are available to the general public as complimentary PDF downloads. Additional complimentary PDF downloads are available to ISACA members only, designated by the  symbol. Visit www.isaca.org/downloads to get your complimentary documents.

The ISACA Bookstore offers significant savings on print publications to ISACA members. Purchasing sets of related products offers even greater savings. Four product sets are currently available: the IT Governance Focus Set, the Security Focus Set, the Assurance Focus Set and the Sarbanes-Oxley Focus Set. Please visit www.isaca.org/bookstore for details and for current pricing information.



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3701 ALGONQUIN ROAD, SUITE 1010
ROLLING MEADOWS, IL 60008 USA

WEB SITE: www.itgi.org

PHONE: +1.847.590.7491

FAX: +1.847.253.1443

E-MAIL: info@itgi.org