

INTRODUCING

COBIT 2019

OVERVIEW

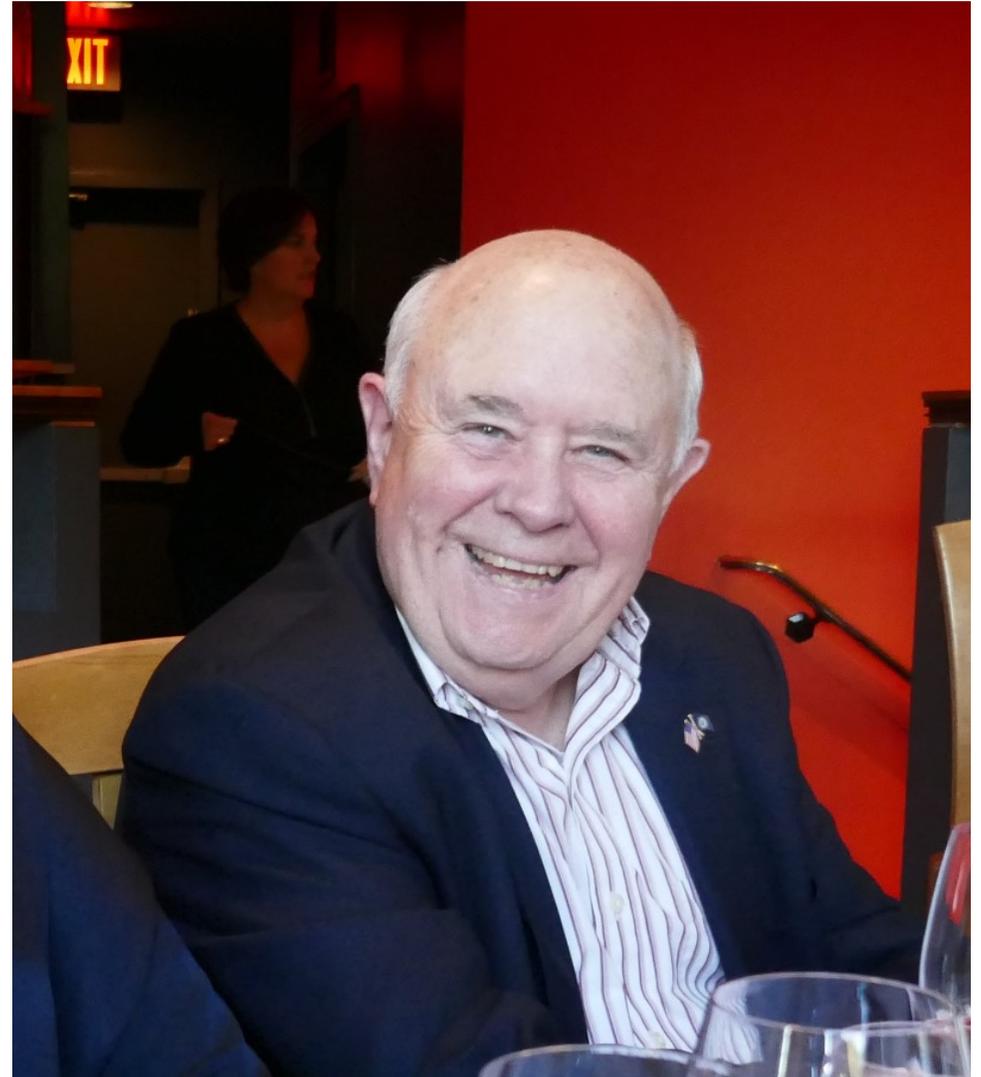
November 2018

COBIT® 2019

The globally recognized COBIT Framework, which helps ensure effective enterprise governance of information and technology, has been updated with new information and guidance, facilitating easier, tailored implementation—strengthening COBIT’s continuing role as an important driver of innovation and business transformation. This document sets the scene for the upcoming release of COBIT® 2019 guidance.

Remembering John Lainhart

- In dedication to John Lainhart, who was there from COBIT day -1 in 1995 until his passing in September 2018.
- John was the relentless support behind many COBIT related projects, including COBIT 2019 .
- ISACA is extremely grateful for John and his vision, and COBIT 2019 (and its progeny) are his legacy.



Picture provided courtesy of Dirk Steuperaert

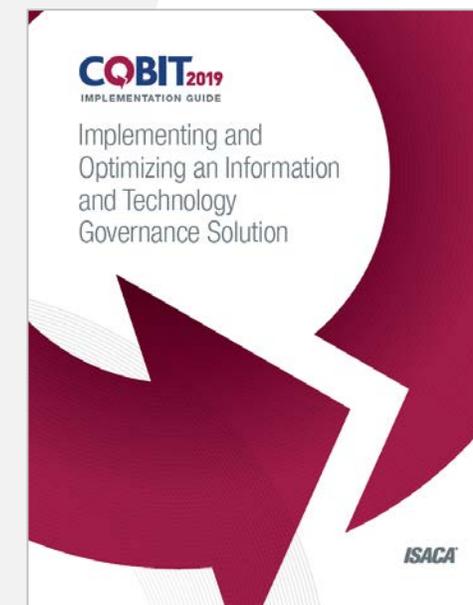
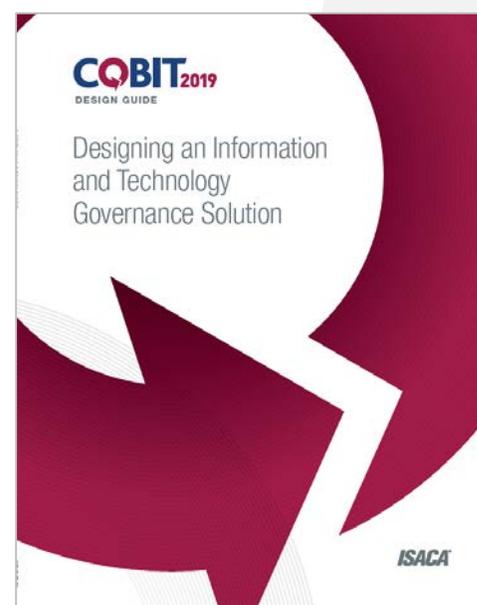
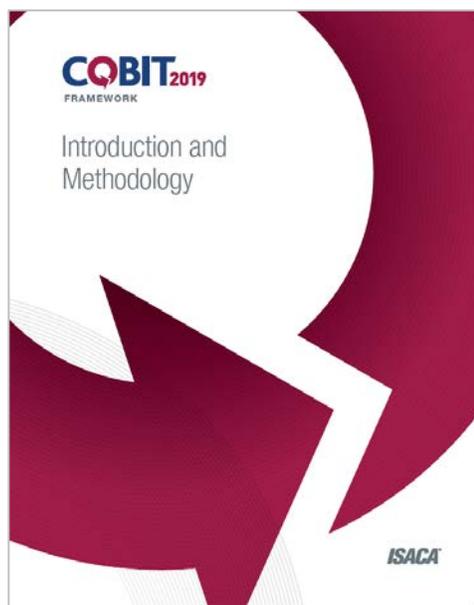
OVERVIEW

PRODUCT FAMILY ARCHITECTURE

OVERVIEW

PRODUCT FAMILY

The COBIT 2019 product family is open-ended. The following publications will be available in Q4 2018.

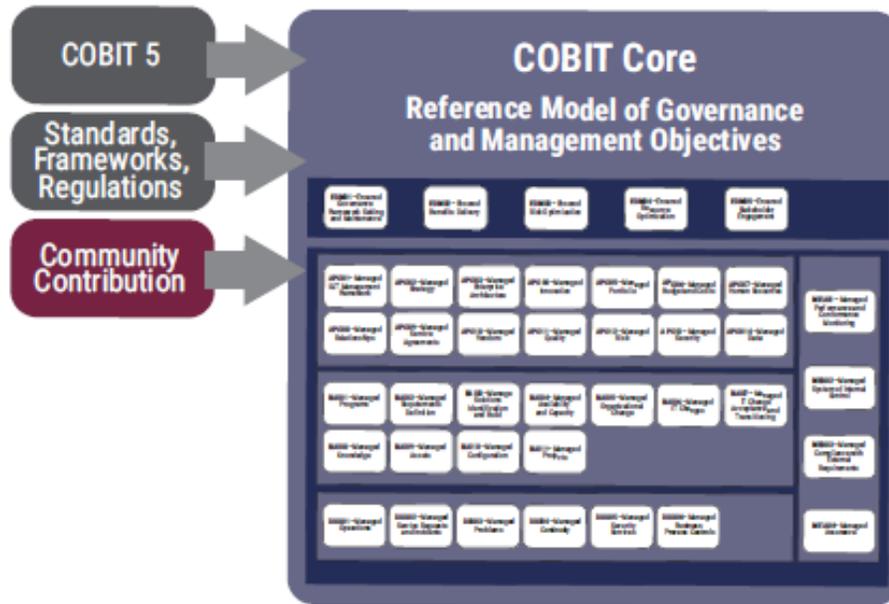


COBIT OVERVIEW

COBIT 2019 PRODUCT ARCHITECTURE

Inputs to COBIT 2019

COBIT 2019



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

Design Factors



Focus Area

- SME
- Security
- Risk
- DevOps
- Etc.

Tailored Enterprise Governance System for Information and Technology

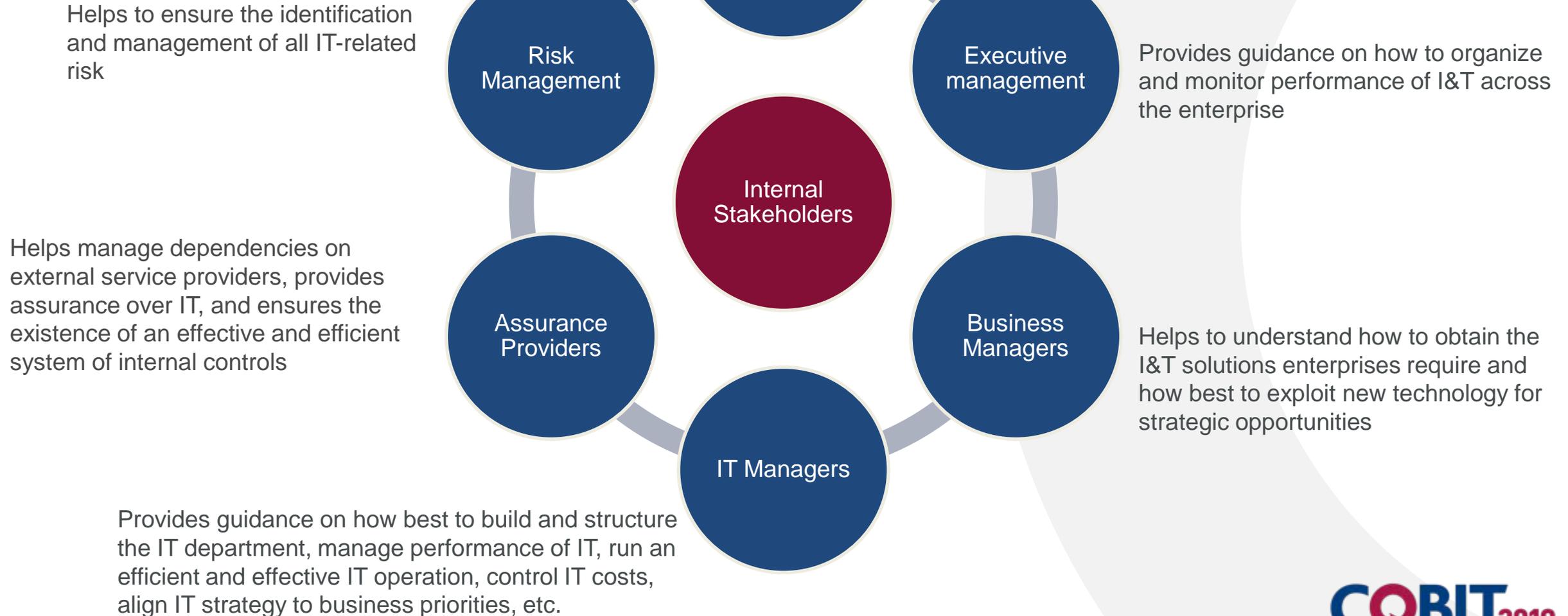
- Priority governance and management objectives
- Specific guidance from focus areas
- Target capability and performance management guidance

COBIT Core Publications



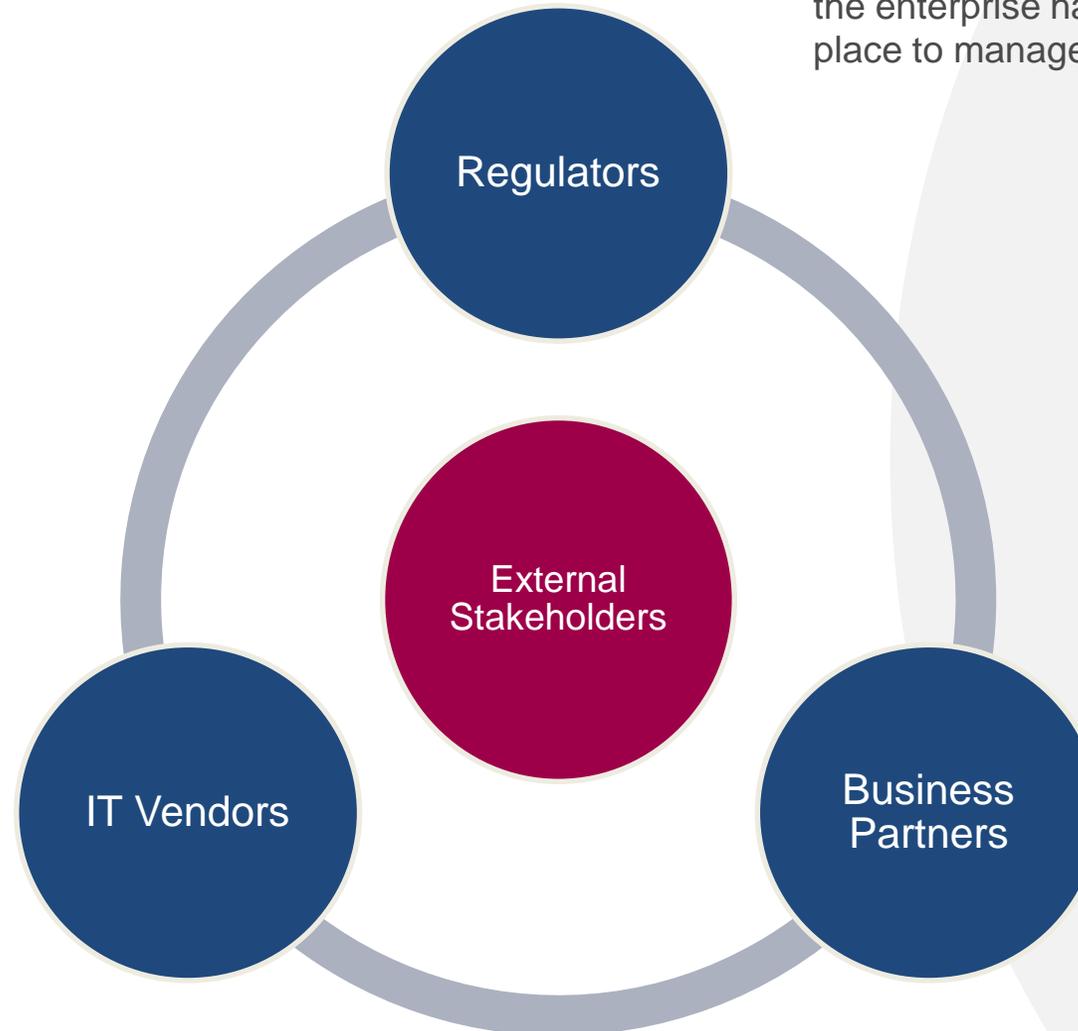
OVERVIEW

INTERNAL STAKEHOLDERS



OVERVIEW

EXTERNAL STAKEHOLDERS



Determines whether the enterprise is compliant with applicable rules and regulations and advises that the enterprise has the right governance system in place to manage and sustain compliance

IT vendor's operations must establish that they are secure, reliable and compliant with applicable rules and regulations

Confirm that a business partner's operations are secure, reliable and compliant with applicable rules and regulations

KEY CONCEPTS

KEY CONCEPTS & CONCEPTUAL MODEL

KEY CONCEPTS

OVERVIEW



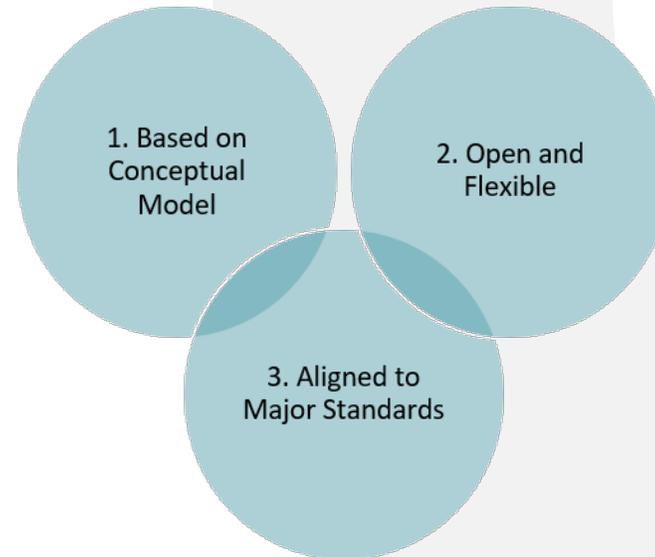
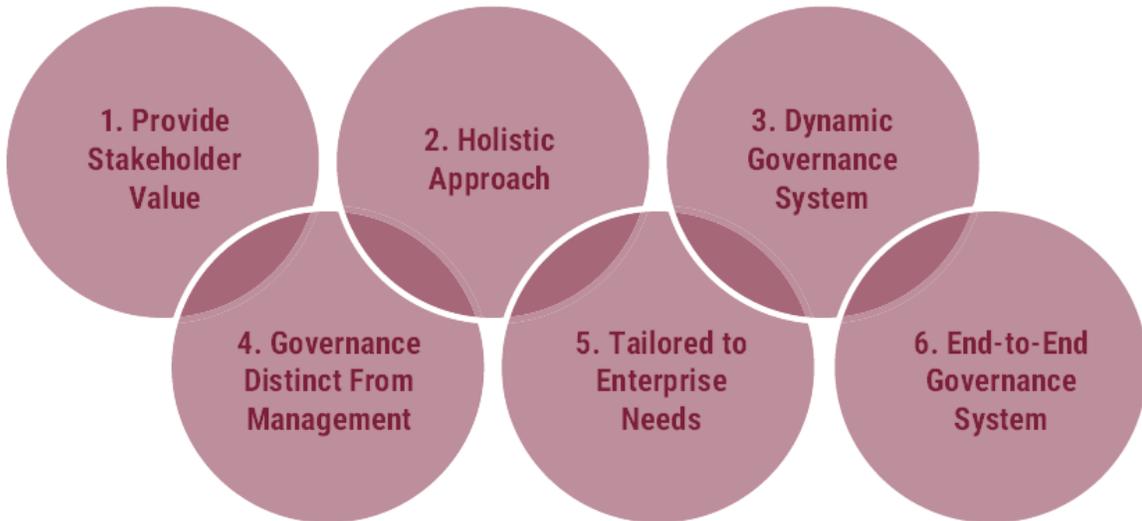
KEY CONCEPTS

PRINCIPLES

COBIT 2019

PRINCIPLES
Governance System

PRINCIPLES
Governance Framework

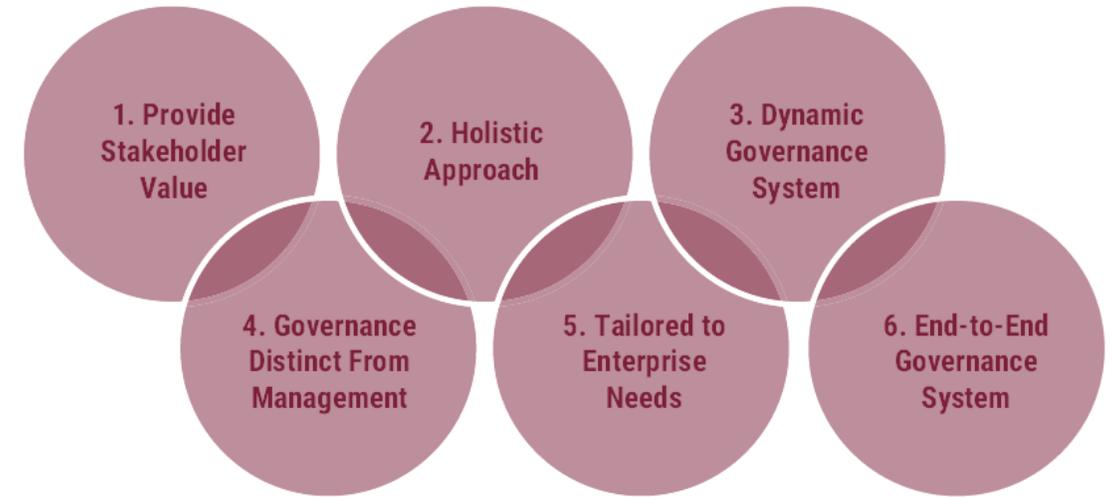


KEY CONCEPTS

GOVERNANCE SYSTEM PRINCIPLES

The six (6) principles are the core requirements for a governance system for enterprise information and technology.

1. Each enterprise needs a governance system to satisfy stakeholder needs and to generate value from the use of I&T.
2. A governance system for enterprise I&T is built from a number of components that can be of different types and that work together in a holistic way.
3. A governance system should be dynamic. This means that each time one or more of the design factors are changed the impact of these changes on the EGIT system must be considered.
4. A governance system should clearly distinguish between governance and management activities and structures.
5. A governance system should be tailored to the enterprise's needs, using a set of design factors as parameters to customize and prioritize the governance system components.
6. A governance system should cover the enterprise end to end, focusing not only on the IT function but on all technology and information processing the enterprise puts in place to achieve its goals.



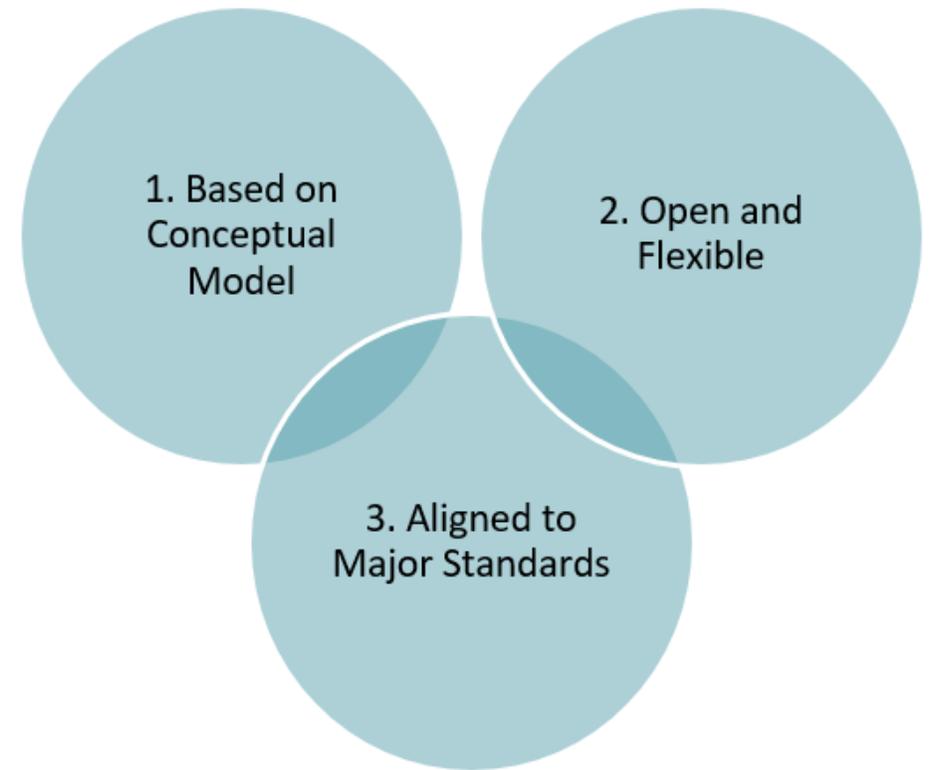
Reference: COBIT® 2019 Framework: Introduction and Methodology, Chapter 3 COBIT Principles, Figure 3.1

KEY CONCEPTS

GOVERNANCE FRAMEWORK PRINCIPLES

The three (3) principles identify the underlying principles for a governance framework that can be used to build a governance system for the enterprise.

1. A governance framework should be based on a conceptual model, identifying the key components and relationships among components, to maximize consistency and allow automation.
2. A governance framework should be open and flexible. It should allow the addition of new content and the ability to address new issues in the most flexible way, while maintaining integrity and consistency.
3. A governance framework should align to relevant major related standards, frameworks and regulations



Reference: COBIT® 2019 Framework: Introduction and Methodology, Chapter 3 COBIT Principles, Figure 3.2

KEY CONCEPTS

GOVERNANCE AND MANAGEMENT OBJECTIVES

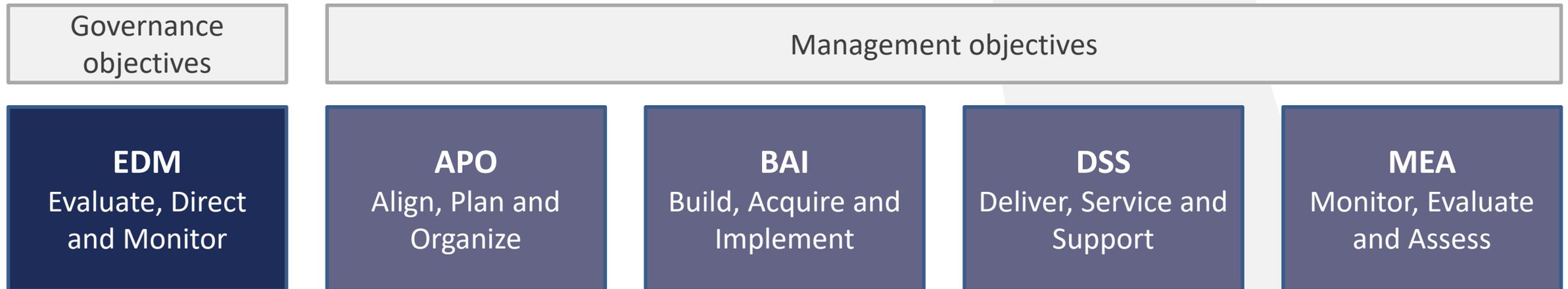
For information and technology to contribute to enterprise goals, a number of governance and management objectives should be achieved.

- A governance or management objective **always relates to one process** and a series of related components of other types to help achieve the objective
- A governance objective relates to a governance process, while a management objective relates to a management process.

KEY CONCEPTS

GOVERNANCE AND MANAGEMENT OBJECTIVES

Similar to COBIT 5, The governance and management objectives in COBIT® 2019 are grouped into five domains. The domains have names that express the key purpose and areas of activity of the objectives contained in them.



EDM01—Ensured
Governance
Framework Setting
and Maintenance

EDM02—Ensured
Benefits Delivery

EDM03—Ensured
Risk Optimization

EDM04—Ensured
Resource
Optimization

EDM05—Ensured
Stakeholder
Engagement

AP001—Managed
I&T Management
Framework

AP002—Managed
Strategy

AP003—Managed
Enterprise
Architecture

AP004—Managed
Innovation

AP005—Managed
Portfolio

AP006—Managed
Budget and Costs

AP007—Managed
Human Resources

AP008—Managed
Relationships

AP009—Managed
Service
Agreements

AP010—Managed
Vendors

AP011—Managed
Quality

AP012—Managed
Risk

AP013—Managed
Security

AP0014—Managed
Data

MEA01—Managed
Performance and
Conformance
Monitoring

BAI01—Managed
Programs

BAI02—Managed
Requirements
Definition

BAI03—Managed
Solutions
Identification
and Build

BAI04—Managed
Availability
and Capacity

BAI05—Managed
Organizational
Change

BAI06—Managed
IT Changes

BAI07—Managed
IT Change
Acceptance and
Transitioning

BAI08—Managed
Knowledge

BAI09—Managed
Assets

BAI10—Managed
Configuration

BAI11—Managed
Projects

MEA02—Managed
System of Internal
Control

DSS01—Managed
Operations

DSS02—Managed
Service Requests
and Incidents

DSS03—Managed
Problems

DSS04—Managed
Continuity

DSS05—Managed
Security
Services

DSS06—Managed
Business
Process Controls

MEA03—Managed
Compliance With
External
Requirements

MEA04—Managed
Assurance

Known as the
Process Reference
Model, or PRM in
COBIT 5, COBIT®
2019 identifies this
as the **COBIT Core
Model**.

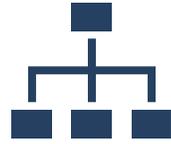
KEY CONCEPTS

GOVERNANCE AND MANAGEMENT OBJECTIVES



HIGH LEVEL INFORMATION

- Domain name
- Focus area
- Governance or management objective name
- Description
- Purpose statement



GOALS CASCADE

- Applicable Alignment goals
- Applicable Enterprise goals
- Example metrics



RELATED COMPONENTS

- Processes, practices and activities
- Organizational structures
- Information flows and items
- People, skills and competencies
- Policies and frameworks
- Culture, ethics and behavior
- Services, infrastructure and applications



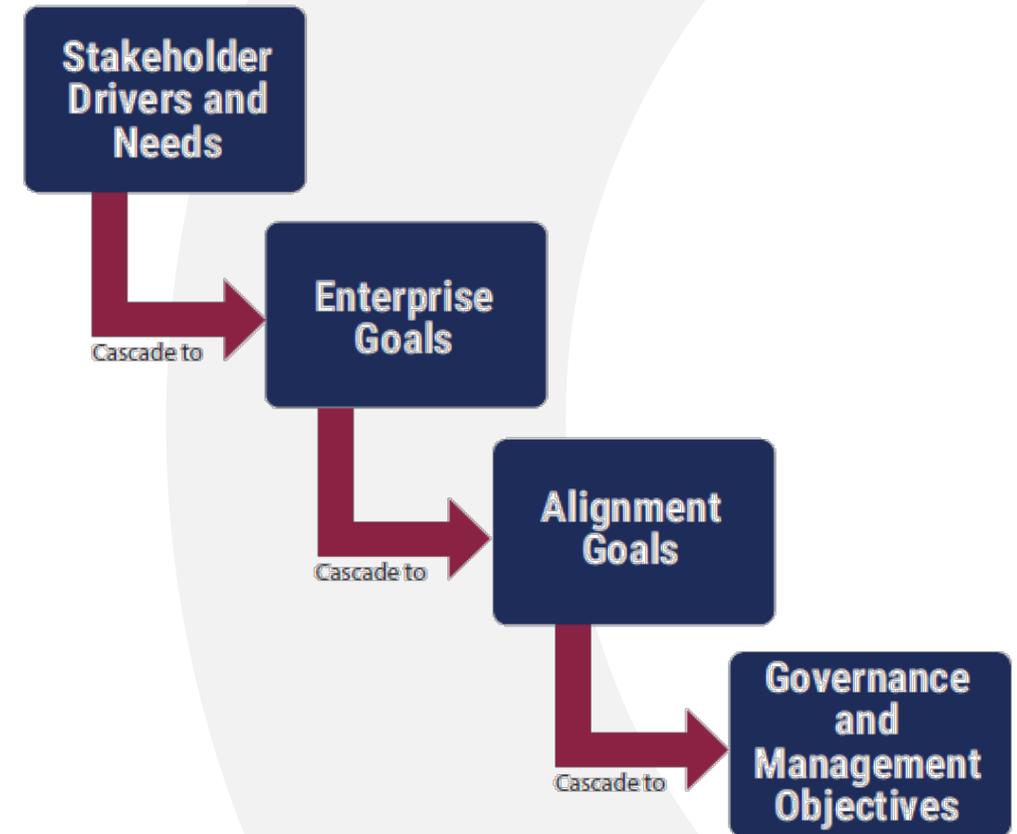
RELATED GUIDANCE

- Where applicable links and cross references are provided to other standards and frameworks for each of the governance components within each governance and management objective

KEY CONCEPTS

GOALS CASCADE

- Enterprise goals have been consolidated, reduced, updated and clarified.
- Alignment goals emphasize the alignment of all IT efforts with business objectives
 - These were IT-related goals in COBIT 5
 - The update seeks to avoid the frequent misunderstanding that these goals indicate purely internal objectives of the IT department within an enterprise
 - Alignment goals have also been consolidated, reduced, updated and clarified where necessary



Reference: COBIT® 2019 Framework: Introduction and Methodology, Chapter 4
Basic Concepts: Governance Systems and Components, Figure 4.16

KEY CONCEPTS

COMPONENTS OF A GOVERNANCE SYSTEM

- Each enterprise's governance system is built from a number of components
- Components can be of different types
- Components interact with each other, resulting in a holistic governance system for I&T
- These were known as enablers in COBIT 5



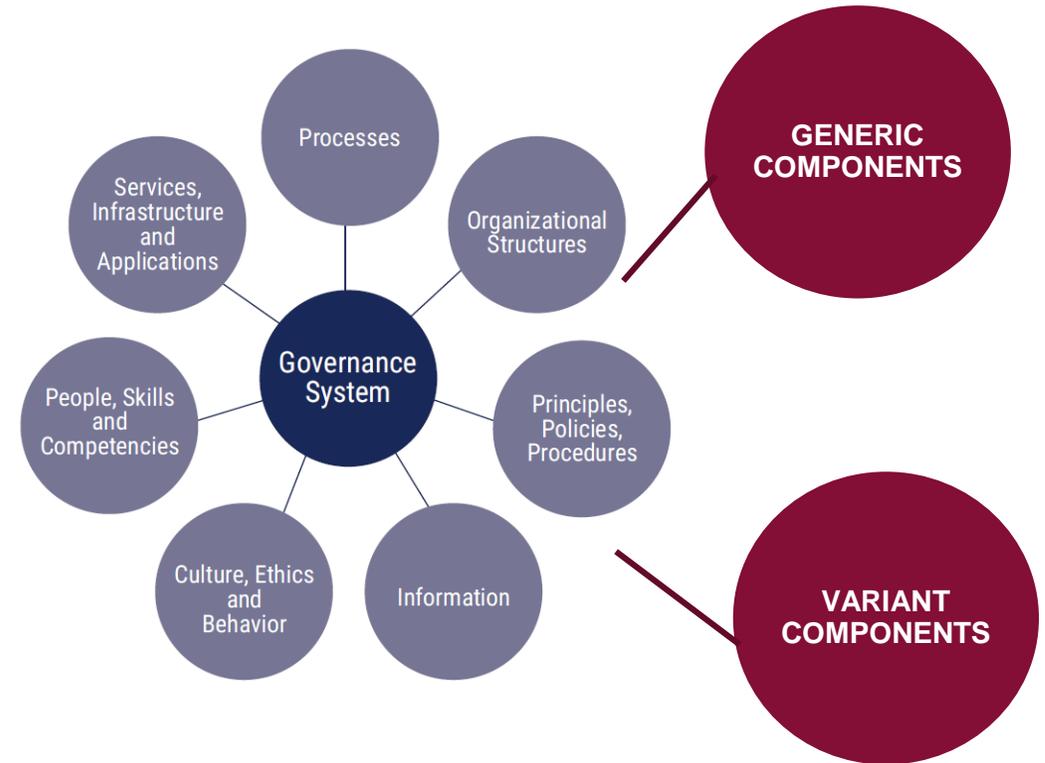
Reference: COBIT® 2019 Framework: Basic Concepts: Governance Systems and Components, Figure 4.3

KEY CONCEPTS

COMPONENTS OF A GOVERNANCE SYSTEM

Components can be generic or variants of generic components:

- **Generic** components are described in the COBIT core model
 - Apply in principle to any situation
 - However, they are generic in nature and generally need customization before being practically implemented
- **Variants** are based on generic components but
 - Tailored for a specific purpose or context within a focus area (e.g., for information security, DevOps, a particular regulation)



KEY CONCEPTS

FOCUS AREAS

- A Focus Area describes a certain governance topic, domain or issue that can be addressed by a collection of governance and management objectives and their components.
- Focus Areas can contain a combination of generic governance components and variants
- The number of focus areas is virtually unlimited. That is what makes COBIT open-ended. New focus areas can be added as required or as subject matter experts and practitioners contribute.

EXAMPLES OF FOCUS AREAS

- Small and medium enterprises
- Information Security
- Risk
- DevOps

KEY CONCEPTS

DESIGN FACTORS

Design factors are factors that:

- Influence the design of an enterprise's governance system
- Position it for success in the use of I&T
- More information and detailed guidance on how to use the design factors for designing a governance system can be found in the *COBIT Design Guide* publication

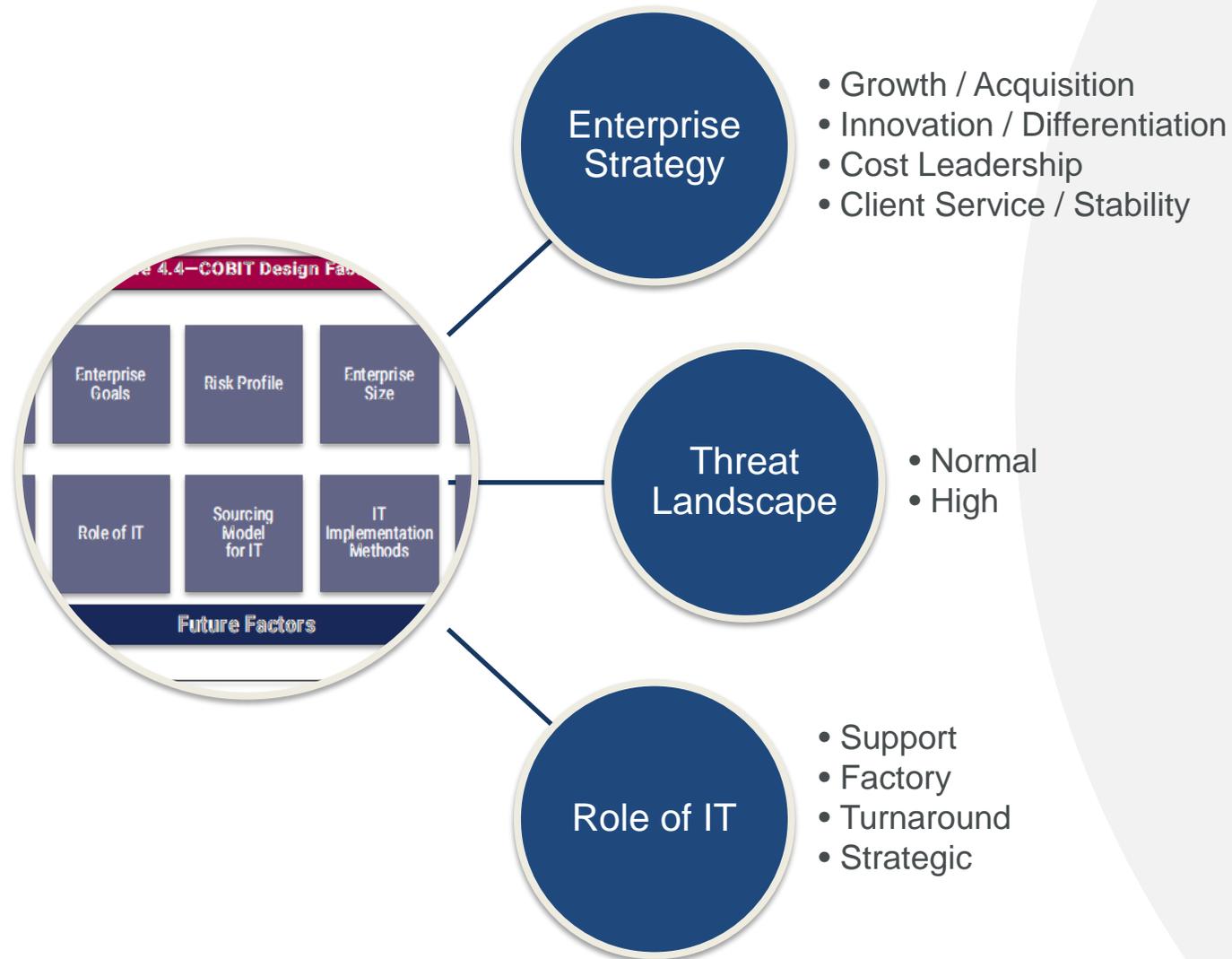
COBIT 2019 Design Factors



Reference: COBIT® 2019 Framework: Basic Concepts: Design Factors, Figure 4.4

KEY CONCEPTS

DESIGN FACTORS: EXAMPLES



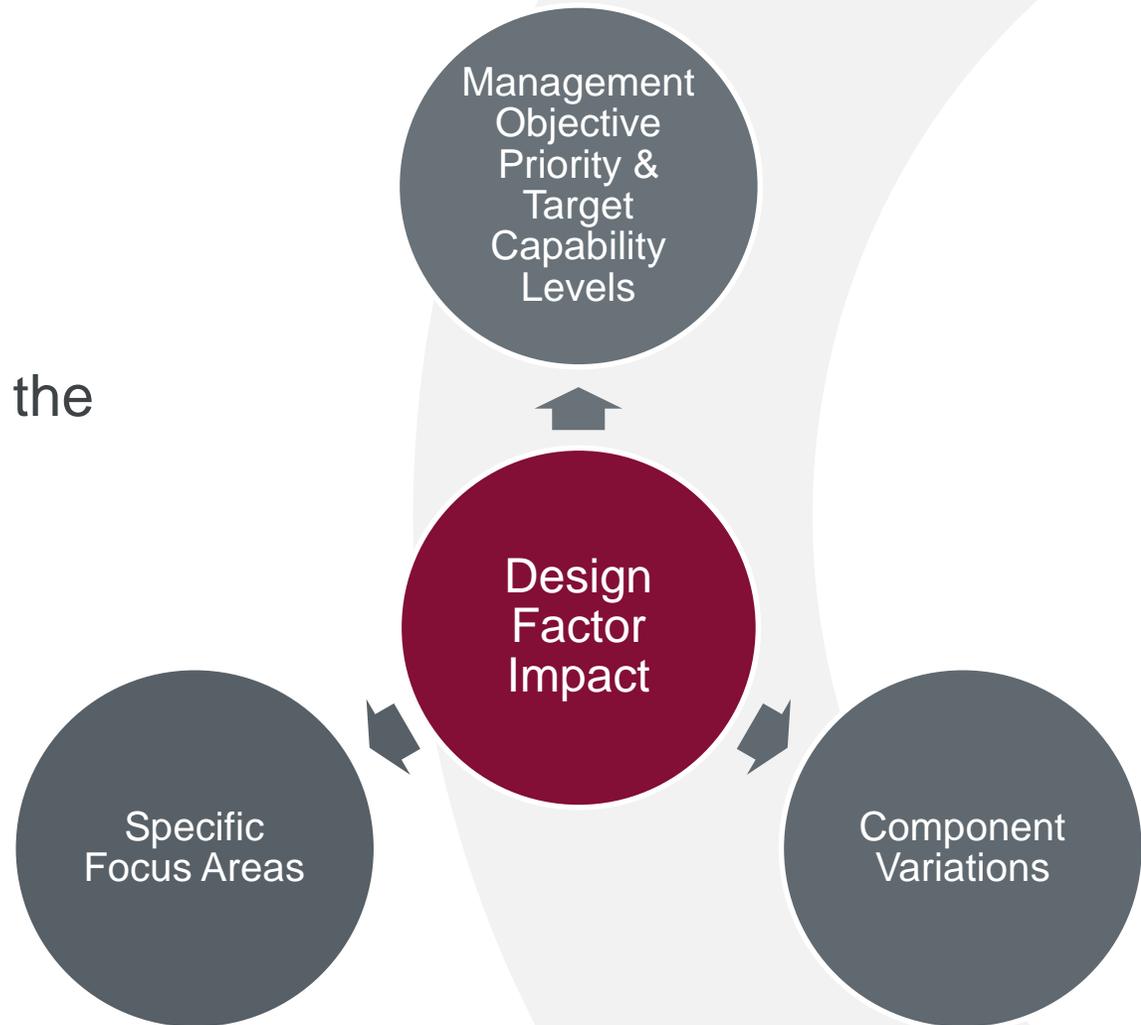
DESIGNING AND IMPLEMENTING A TAILORED GOVERNANCE SYSTEM

USING COBIT 2019

DESIGNING A TAILORED GOVERNANCE SYSTEM

IMPACT OF DESIGN FACTORS

Design factors influence in different ways the tailoring of the governance system of an enterprise.



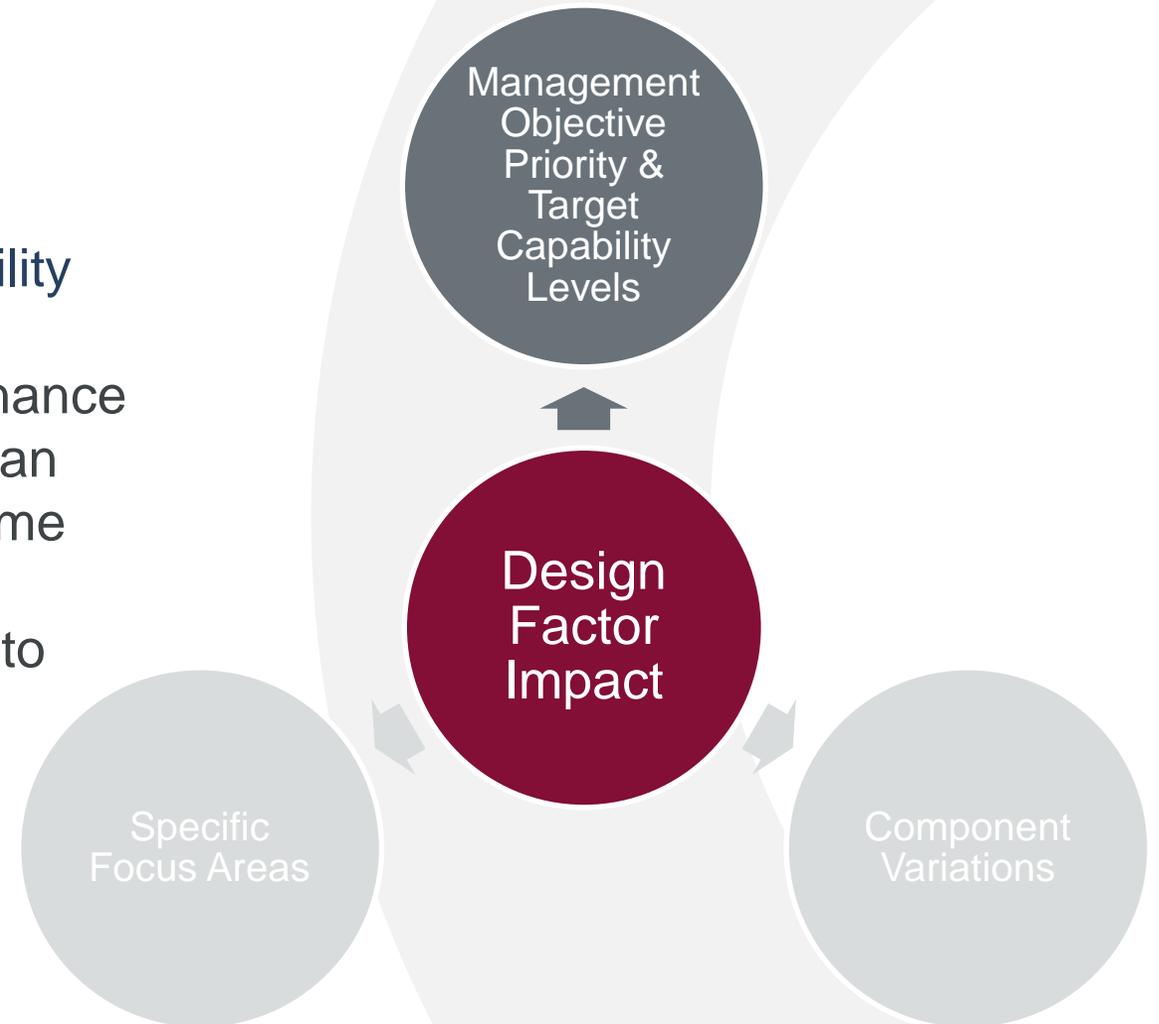
Reference: COBIT® 2019 Framework: Introduction and Methodology, Chapter 7 Designing a Tailored Governance System, Figure 7.1

DESIGNING A TAILORED GOVERNANCE SYSTEM

IMPACT OF DESIGN FACTORS

Management Objective Priority and Target Capability Levels

- Design factor influence can make some governance and management objectives more important than others, sometimes to the extent that they become negligible
- In practice, this higher importance translates into setting higher target capability levels



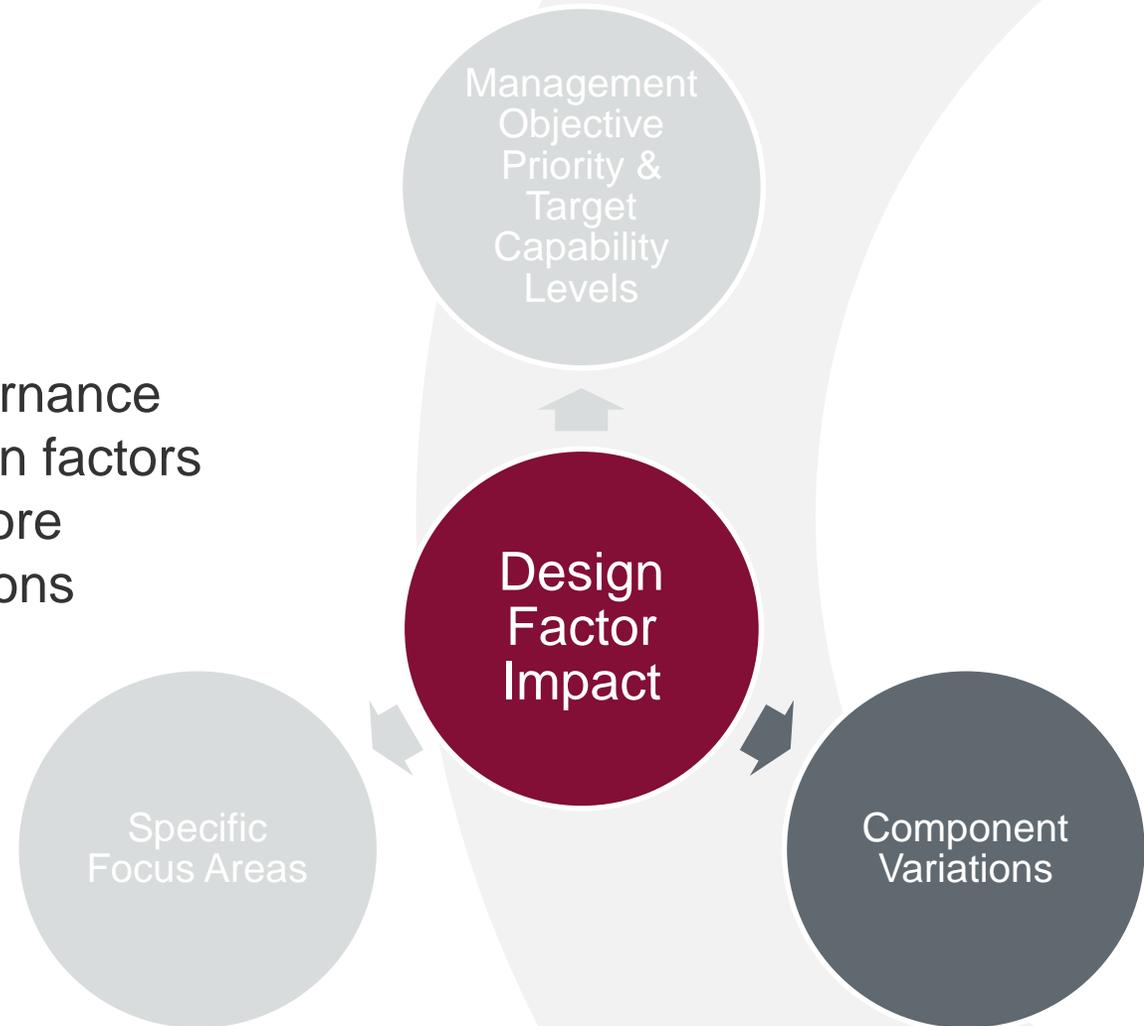
Reference: COBIT® 2019 Framework: Introduction and Methodology, Chapter 7 Designing a Tailored Governance System, Figure 7.1

DESIGNING A TAILORED GOVERNANCE SYSTEM

IMPACT OF DESIGN FACTORS

Component Variations

- Components are required to achieve governance and management objectives. Some design factors can influence the importance of one or more components or can require specific variations



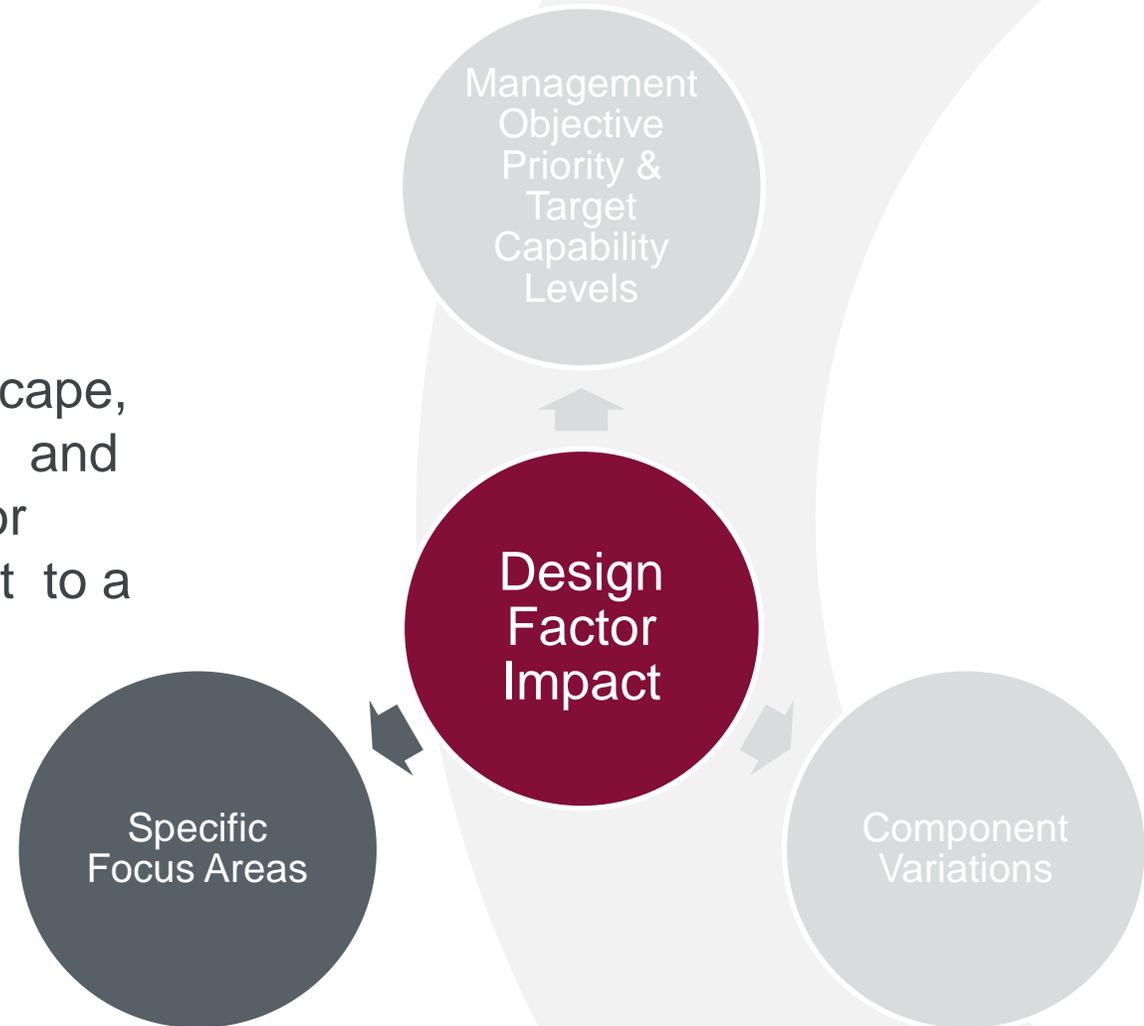
Reference: COBIT® 2019 Framework: Introduction and Methodology, Chapter 7 Designing a Tailored Governance System, Figure 7.1

DESIGNING A TAILORED GOVERNANCE SYSTEM

IMPACT OF DESIGN FACTORS

Specific Focus Areas

- Some design factors, such as threat landscape, specific risk, target development methods and infrastructure set-up, will drive the need for variation of the core COBIT model content to a specific context

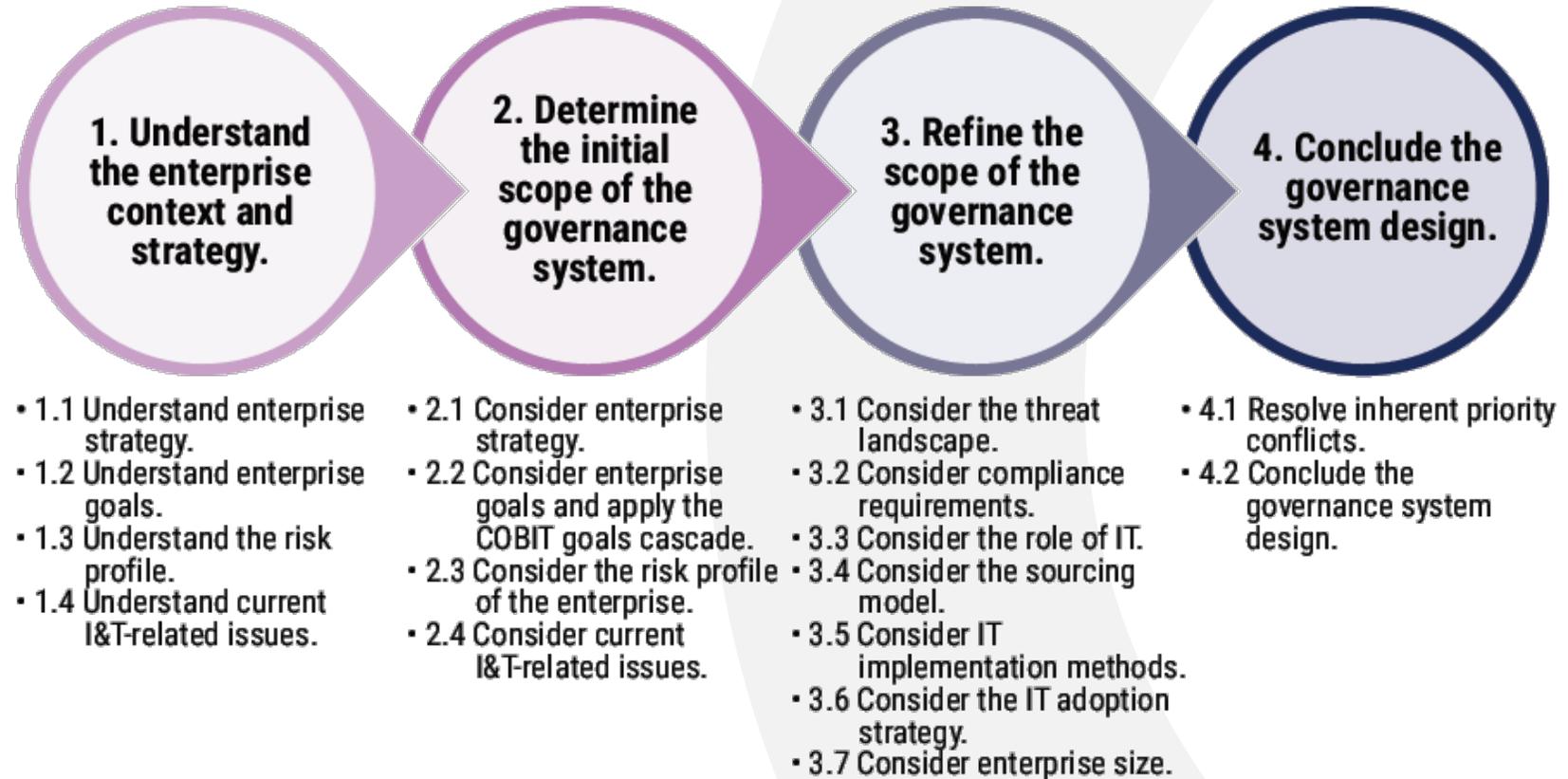


Reference: COBIT® 2019 Framework: Introduction and Methodology, Chapter 7 Designing a Tailored Governance System, Figure 7.1

DESIGNING A TAILORED GOVERNANCE SYSTEM

GOVERNANCE SYSTEM DESIGN WORKFLOW

The different stages and steps in the design process will result in recommendations for prioritizing governance and management objectives or related governance system components, for target capability levels, or for adopting specific variants of a governance system component.



Reference: COBIT® 2019 Framework: Introduction and Methodology, Chapter 7 Designing a Tailored Governance System, Figure 7.2

IMPLEMENTING A TAILORED GOVERNANCE SYSTEM

The implementation approach is based on empowering business and IT stakeholders and role players to take ownership of IT-related governance and management decisions and activities by facilitating and enabling change.

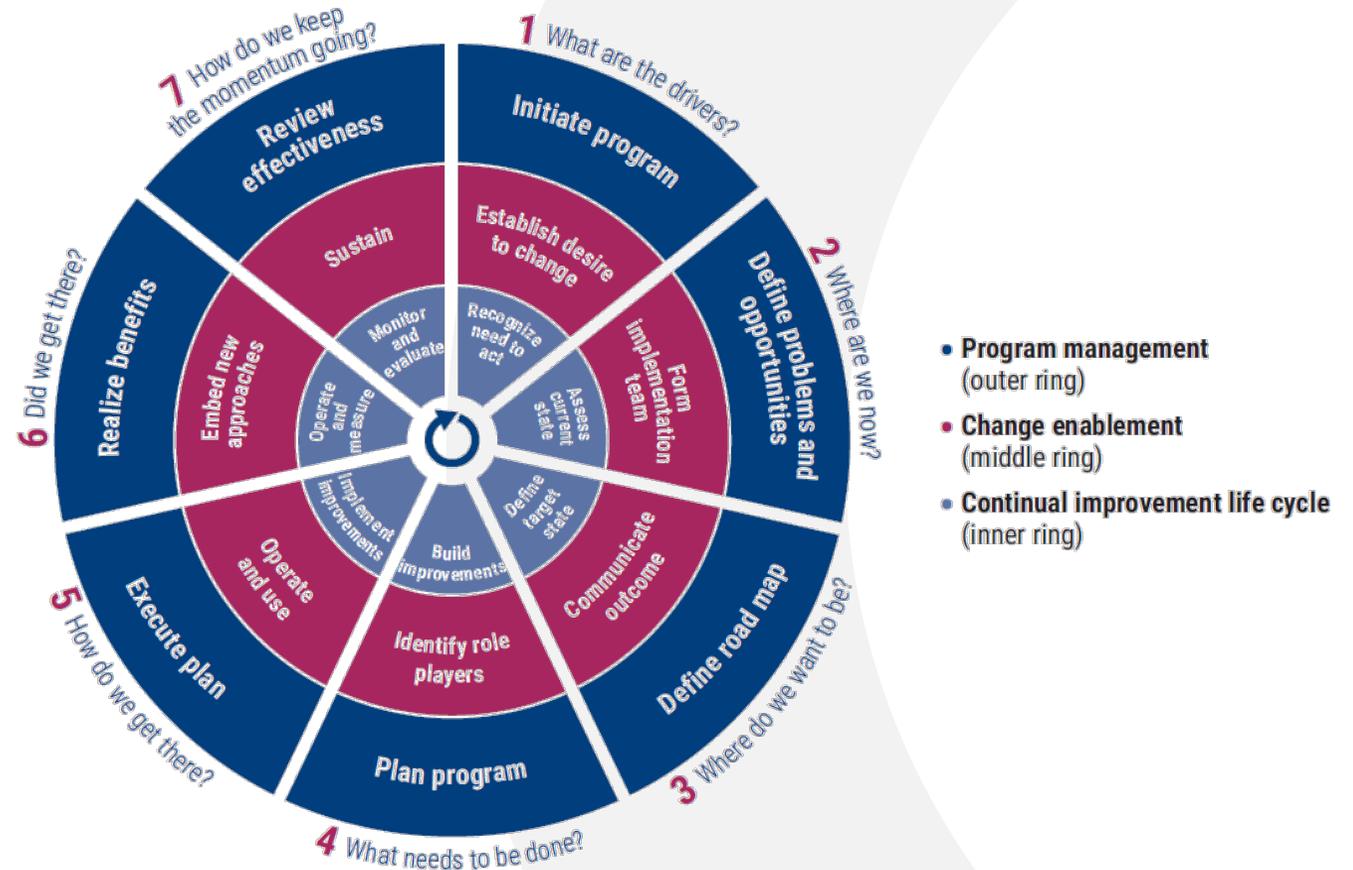
- Implementation guide is a phased approach with three perspectives
 - Continual Improvement
 - Program Management
 - Change Enablement

IMPLEMENTING A TAILORED GOVERNANCE SYSTEM

IMPLEMENTATION

The *COBIT® 2019 Implementation Guide* emphasizes an enterprise-wide view of governance of I&T.

It recognizes that I&T are pervasive in enterprises and that it is neither possible nor good practice to separate business and IT-related activities.



Reference: COBIT® 2019 Framework: Introduction and Methodology, Chapter 8 Implementing Enterprise Governance of IT, Figure 8.1

PERFORMANCE MANAGEMENT

CAPABILITY & MATURITY

PERFORMANCE MANAGEMENT

OVERVIEW

COBIT Performance Management (CPM) refers to how well the governance and management system and all the components of an enterprise work, and how they can be improved up to the required level. It includes concepts and methods such as capability levels and maturity levels.

COBIT 2019 is based on the following principles:

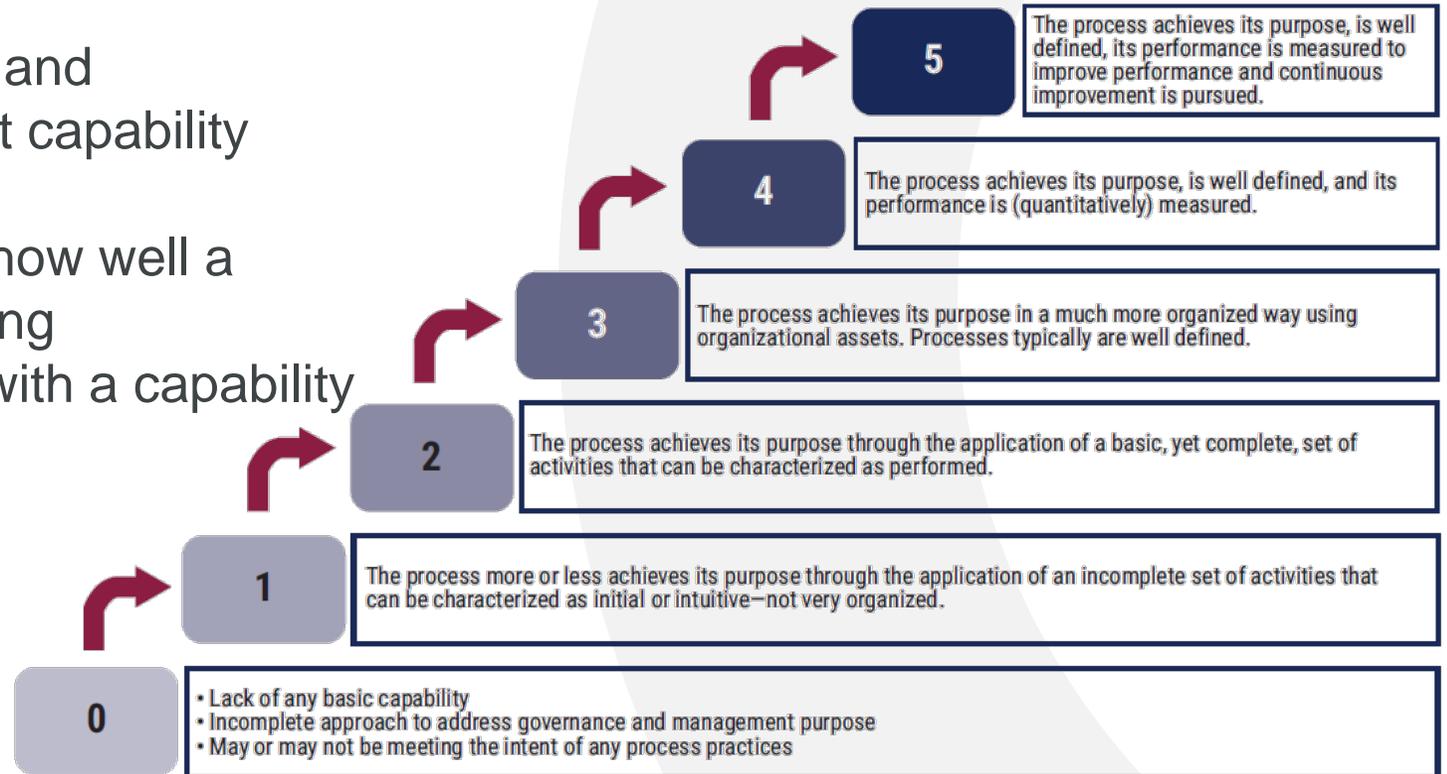
- Simple to understand and use
- Consistent with, and support the COBIT conceptual model
- Provide reliable, repeatable and relevant results
- Must be flexible
- Should support different types of assessments

The term “COBIT Performance Management” (CPM) is used to describe these activities, and the concept is an integral part of the COBIT framework.

PERFORMANCE MANAGEMENT

CAPABILITY AND MATURITY

- COBIT 2019 supports a CMMI-based process capability scheme
- The process within each governance and management objective can operate at capability levels, between 0 to 5
- The capability level is a measure for how well a process is implemented and performing
- Each process **activity** is associated with a capability level



Reference: COBIT® 2019 Framework: Introduction and Methodology, Chapter 6 Performance Management in COBIT, Figure 6.2

PERFORMANCE MANAGEMENT

CAPABILITY AND MATURITY

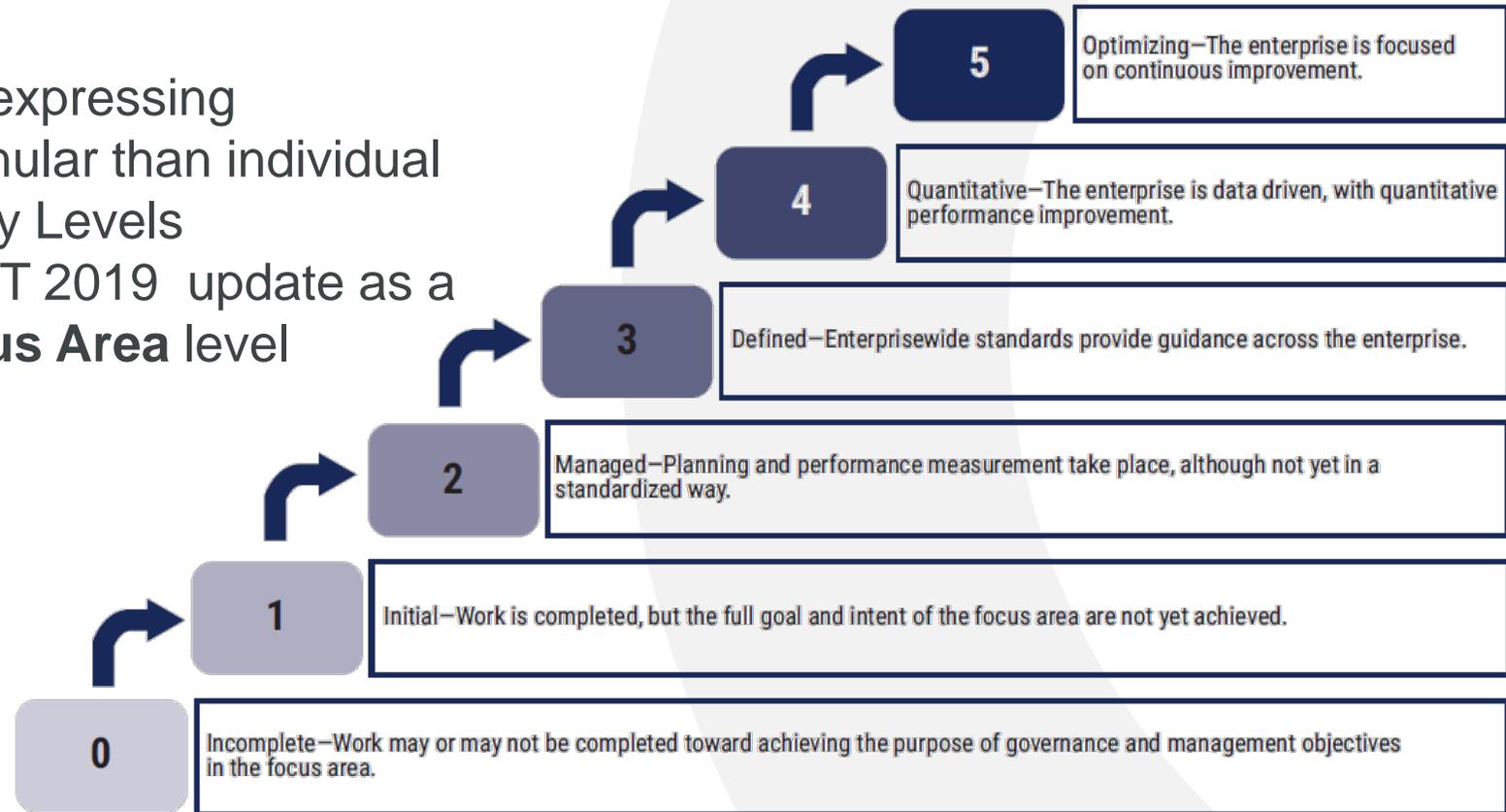
- Each process activity is associated with a capability level
 - Helps users implement processes at a foundational level
 - Identifies future activities to achieve a higher capability level

Activities	Capability Level
1. Establish a platform to share good practices and capture information on defects and mistakes to enable learning from them.	2
2. Identify examples of excellent quality delivery processes that can benefit other services or projects. Share these with the service and project delivery teams to encourage improvement.	3
3. Identify recurring examples of quality defects. Determine their root cause, evaluate their impact and result, and agree on improvement actions with the service and/or project delivery teams.	
4. Provide employees with training in the methods and tools of continual improvement.	
5. Benchmark the results of the quality reviews against internal historical data, industry guidelines, standards and data from similar types of enterprises.	4

PERFORMANCE MANAGEMENT

CAPABILITY AND MATURITY

- Sometimes a more high-level for expressing performance is required, less granular than individual process capability ratings: Maturity Levels
- We define maturity levels in COBIT 2019 update as a performance measure at the **Focus Area** level



Reference: COBIT® 2019 Framework: Introduction and Methodology, Chapter 6 Performance Management in COBIT, Figure 6.3

APPENDIX

ABOUT ISACA

Nearing its 50th year, **ISACA**[®] (isaca.org) is a global association helping individuals and enterprises achieve the positive potential of technology. Today's world is powered by technology, and ISACA equips professionals with the knowledge, credentials, education and community to advance their careers and transform their organizations.

ISACA leverages the expertise of its 450,000 engaged professionals in information and cyber security, governance, assurance, risk and innovation, as well as its enterprise performance subsidiary, CMMI[®] Institute, to help advance innovation through technology. ISACA has a presence in 188 countries, including 217 chapters worldwide and offices in both the United States and China.