

COBIT[®]



*A Business Framework for the
Governance and Management
of Enterprise IT*

PREVIEW VERSION

COBIT[®]
5
AN ISACA[®] FRAMEWORK

These following pages provide a preview of the information contained in COBIT 5. The COBIT 5 framework 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.

Not a member? Learn the value of ISACA membership. Additional information is available at www.isaca.org/membervalue.

ISACA®

With 95,000 constituents in 160 countries, ISACA (www.isaca.org) is a leading global provider of knowledge, certifications, community, advocacy and education on information systems (IS) assurance and security, enterprise governance and management of IT, and IT-related risk and compliance. Founded in 1969, the non-profit, independent ISACA hosts international conferences, publishes the *ISACA® Journal*, and develops international IS auditing and control standards, which help its constituents ensure trust in, and value from, information systems. It also advances and attests IT skills and knowledge through the globally respected Certified Information Systems Auditor® (CISA®), Certified Information Security Manager® (CISM®), Certified in the Governance of Enterprise IT® (CGEIT®) and Certified in Risk and Information Systems Control™ (CRISC™) designations. ISACA continually updates COBIT®, which helps IT professionals and enterprise leaders fulfil their IT governance and management responsibilities, particularly in the areas of assurance, security, risk and control, and deliver value to the business.

Disclaimer

ISACA has designed this publication, COBIT® 5 (the ‘Work’), primarily as an educational resource for governance of enterprise IT (GEIT), assurance, risk and security professionals. ISACA makes no claim that use of any of the Work will assure a successful outcome. The Work should not be considered inclusive of all proper information, procedures and tests or exclusive of other information, procedures and tests that are reasonably directed to obtaining the same results. In determining the propriety of any specific information, procedure or test, readers should apply their own professional judgement to the specific GEIT, assurance, risk and security circumstances presented by the particular systems or information technology environment.

Copyright

© 2012 ISACA. All rights reserved. For usage guidelines, see www.isaca.org/COBITuse.

ISACA

3701 Algonquin Road, Suite 1010

Rolling Meadows, IL 60008 USA

Phone: +1.847.253.1545

Fax: +1.847.253.1443

Email: info@isaca.org

Web site: www.isaca.org

Feedback: www.isaca.org/cobit

Participate in the ISACA Knowledge Center: www.isaca.org/knowledge-center

Follow ISACA on Twitter: <https://twitter.com/ISACANews>

Join the COBIT conversation on Twitter: #COBIT

Join ISACA on LinkedIn: ISACA (Official), <http://linkd.in/ISACAOOfficial>

Like ISACA on Facebook: www.facebook.com/ISACAHQ

TABLE OF CONTENTS

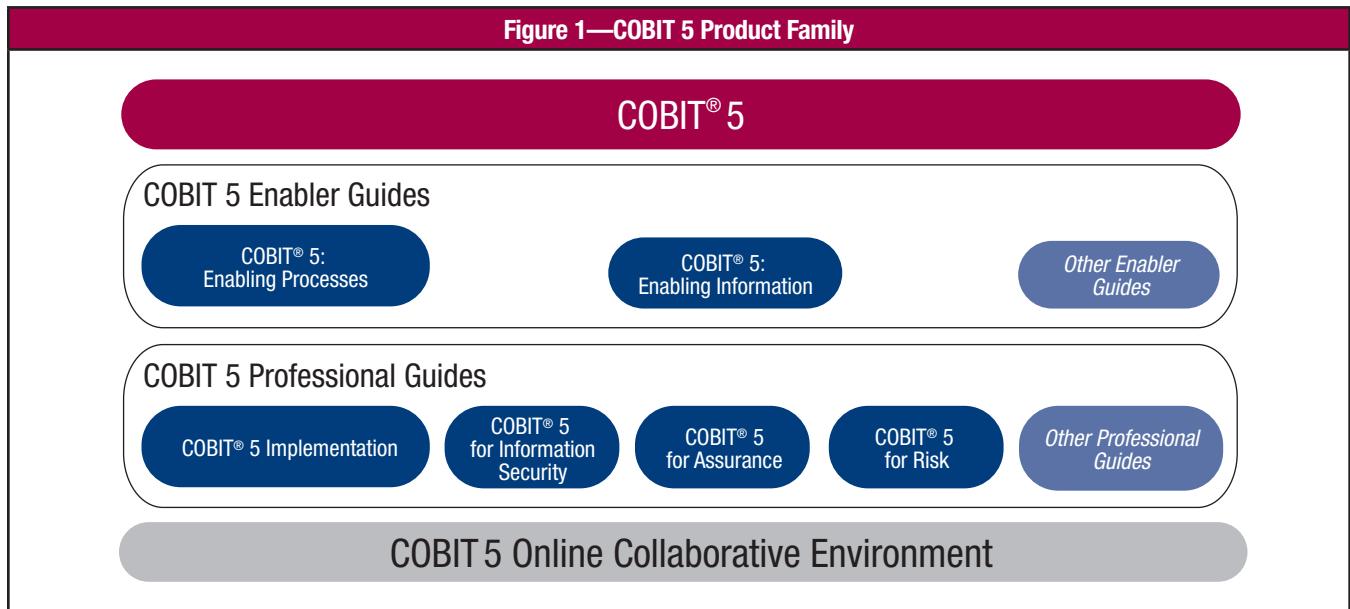
List of Figures	9
COBIT 5: A Business Framework for the Governance and Management of Enterprise IT.....	11
Executive Summary.....	13
Chapter 1. Overview of COBIT 5	15
Overview of This Publication.....	16
Chapter 2. Principle 1: Meeting Stakeholder Needs.....	17
Introduction.....	17
COBIT 5 Goals Cascade	17
Step 1. Stakeholder Drivers Influence Stakeholder Needs.....	17
Step 2. Stakeholder Needs Cascade to Enterprise Goals	17
Step 3. Enterprise Goals Cascade to IT-related Goals	18
Step 4. IT-related Goals Cascade to Enabler Goals.....	18
Using the COBIT 5 Goals Cascade.....	20
Benefits of the COBIT 5 Goals Cascade.....	20
Using the COBIT 5 Goals Cascade Carefully	20
Using the COBIT 5 Goals Cascade in Practice	20
Governance and Management Questions on IT	21
How to Find an Answer to These Questions	22
Chapter 3. Principle 2: Covering the Enterprise End-to-end	23
Governance Approach.....	23
Governance Enablers	24
Governance Scope.....	24
Roles, Activities and Relationships.....	24
Chapter 4. Principle 3: Applying a Single Integrated Framework.....	25
COBIT 5 Framework Integrator.....	25
Chapter 5. Principle 4: Enabling a Holistic Approach	27
COBIT 5 Enablers	27
Systemic Governance and Management Through Interconnected Enablers	27
COBIT 5 Enabler Dimensions	28
Enabler Dimensions	28
Enabler Performance Management	29
Example of Enablers in Practice	29
Chapter 6. Principle 5: Separating Governance From Management	31
Governance and Management.....	31
Interactions Between Governance and Management.....	31
COBIT 5 Process Reference Model	32
Chapter 7. Implementation Guidance	35
Introduction.....	35
Considering the Enterprise Context.....	35
Creating the Appropriate Environment	36
Recognising Pain Points and Trigger Events	36
Enabling Change	37
A Life Cycle Approach.....	37
Getting Started: Making the Business Case	38

Chapter 8. The COBIT 5 Process Capability Model	41
Introduction.....	41
Differences Between the COBIT 4.1 Maturity Model and the COBIT 5 Process Capability Model.....	41
Differences in Practice.....	43
Benefits of the Changes.....	44
Performing Process Capability Assessments in COBIT 5	45
Appendix A. References	47
Appendix B. Detailed Mapping Enterprise Goals—IT-related Goals.....	49
Appendix C. Detailed Mapping IT-related Goals—IT-related Processes	51
Appendix D. Stakeholder Needs and Enterprise Goals.....	55
Appendix E. Mapping of COBIT 5 With the Most Relevant Related Standards and Frameworks.....	57
Introduction.....	57
COBIT 5 and ISO/IEC 38500.....	57
ISO/IEC 38500 Principles.....	57
ISO/IEC 38500 Evaluate, Direct and Monitor.....	60
Comparison With Other Standards.....	60
ITIL® V3 2011 and ISO/IEC 20000.....	60
ISO/IEC 27000 Series.....	60
ISO/IEC 31000 Series.....	60
TOGAF®	60
Capability Maturity Model Integration (CMMI) (development).....	61
PRINCE2®	61
Appendix F. Comparison Between the COBIT 5 Information Model and COBIT 4.1 Information Criteria	63
Appendix G. Detailed Description of COBIT 5 Enablers	65
Introduction.....	65
Enabler Dimensions	65
Enabler Performance Management.....	66
COBIT 5 Enabler: Principles, Policies and Frameworks	67
COBIT 5 Enabler: Processes.....	69
Enabler Performance Management.....	70
Example of Process Enabler in Practice	71
COBIT 5 Process Reference Model.....	71
COBIT 5 Enabler: Organisational Structures	75
COBIT 5 Enabler: Culture, Ethics and Behaviour.....	79
COBIT 5 Enabler: Information.....	81
Introduction—The Information Cycle	81
COBIT 5 Information Enabler	81
COBIT 5 Enabler: Services, Infrastructure and Applications.....	85
COBIT 5 Enabler: People, Skills and Competencies	87
Appendix H. Glossary	89

COBIT 5: A BUSINESS FRAMEWORK FOR THE GOVERNANCE AND MANAGEMENT OF ENTERPRISE IT

COBIT 5: A BUSINESS FRAMEWORK FOR THE GOVERNANCE AND MANAGEMENT OF ENTERPRISE IT

The COBIT 5 publication contains the COBIT 5 framework for governing and managing enterprise IT. The publication is part of the COBIT 5 product family as shown in **figure 1**.



The COBIT 5 framework is built on five basic principles, which are covered in detail, and includes extensive guidance on enablers for governance and management of enterprise IT.

The COBIT 5 product family includes the following products:

- COBIT 5 (the framework)
- COBIT 5 enabler guides, in which governance and management enablers are discussed in detail. These include:
 - *COBIT 5: Enabling Processes*
 - COBIT 5: Enabling Information (in development)
 - Other enabler guides (check www.isaca.org/cobit)
- COBIT 5 professional guides, which include:
 - *COBIT 5 Implementation*
 - COBIT 5 for Information Security (in development)
 - COBIT 5 for Assurance (in development)
 - COBIT 5 for Risk (in development)
 - Other professional guides (check www.isaca.org/cobit)
- A collaborative online environment, which will be available to support the use of COBIT 5