iServer IT Governance Starter Pack

September 2015

Overview of IT Governance and COBIT 5

Defining IT Governance:

- ‘The set of **processes** that ensure the **effective** and **efficient** use of IT in enabling an organization to achieve its goals’ (2010 Gartner Inc.)
- ‘The responsibility of executives and the board of directors, and consists of the **leadership**, **organizational structures** and **processes** that ensure that the enterprise’s IT sustains and extends the organization’s strategies and objectives’ (IT Governance Institute)
- ‘A decision-making **framework** for IT investments that is designed to maximize the return of benefits while managing risk to acceptable levels’ (2010 Forrester Research Inc.)
- ‘The processes and relationships that lead to reasoned decision-making in the use of IT’ (ISACA)

Reference: *The Open Group Architecture Governance*, http://pubs.opengroup.org/architecture/togaf8-doc/arch/chap26.html, accessed February 2014

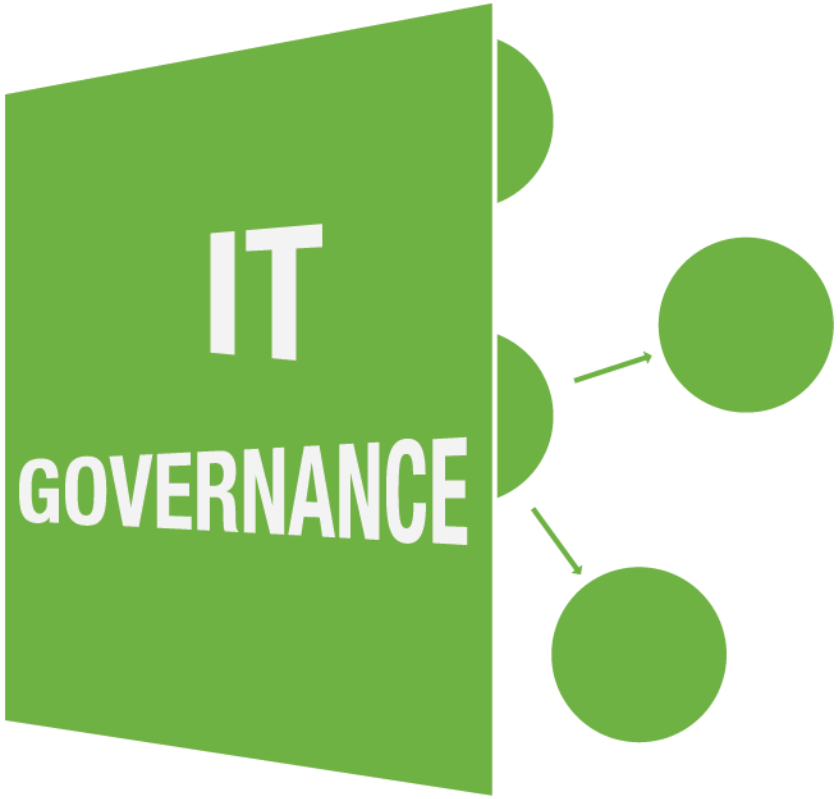
Overview of IT Governance and COBIT 5

COBIT 5 is more specifically concerned with **ensuring** the **business of IT** is being conducted properly.

Good IT Governance is mandatory for maximizing business **value** from IT investment (IT ROI);

TOGAF describes a **hierarchy** of governance structures within a typical large organization:

- **Corporate Governance** - *King III, COSO*
- **Technology and IT Governance** - *COBIT 5, ISO 38500*
- **Architecture Governance** - *TOGAF 9.1*



Reference: *The Open Group Architecture Governance*, http://pubs.opengroup.org/architecture/togaf8-doc/arch/chap26.html, accessed February 2014

The IT Governance Solution

- Currently contains the **COBIT 5 Foundation** and **Enabling Process** module
- In a **central**, object orientated **repository**
- Detailed **COBIT 5 models** including introduction to and guidance on framework concepts
- In an **easy to access** and familiar iServer/Visio object-orientated modeling environment, or the **browser based** iServer Portal.

iServer
IT Governance *Accelerator*

COBIT 5
AN ISACA® FRAMEWORK

The IT Governance Accelerator from Orbus Software provides the perfect purpose-built platform to kick-start and host your IT governance initiative.

With the IT Governance Accelerator, Orbus Software has adopted a unique approach by leveraging the Microsoft Office platform, which is already available to most organizations.

The IT Governance Accelerator comprises a preconfigured repository with the COBIT® 5 meta-model (including touch-points with TOGAF® 9), the complete COBIT 5 base framework, the enabling process governance module, and COBIT implementation guidance documentation.

iServer's collaborative modeling environment allows Stakeholders to reuse and customize COBIT 5 models as they please, map current operations to the COBIT 5 best practices to determine governance maturity, or can simply be used as a reference for any changes the organization may be undergoing or considering. The IT Governance Accelerator can be used as your central IT governance repository.

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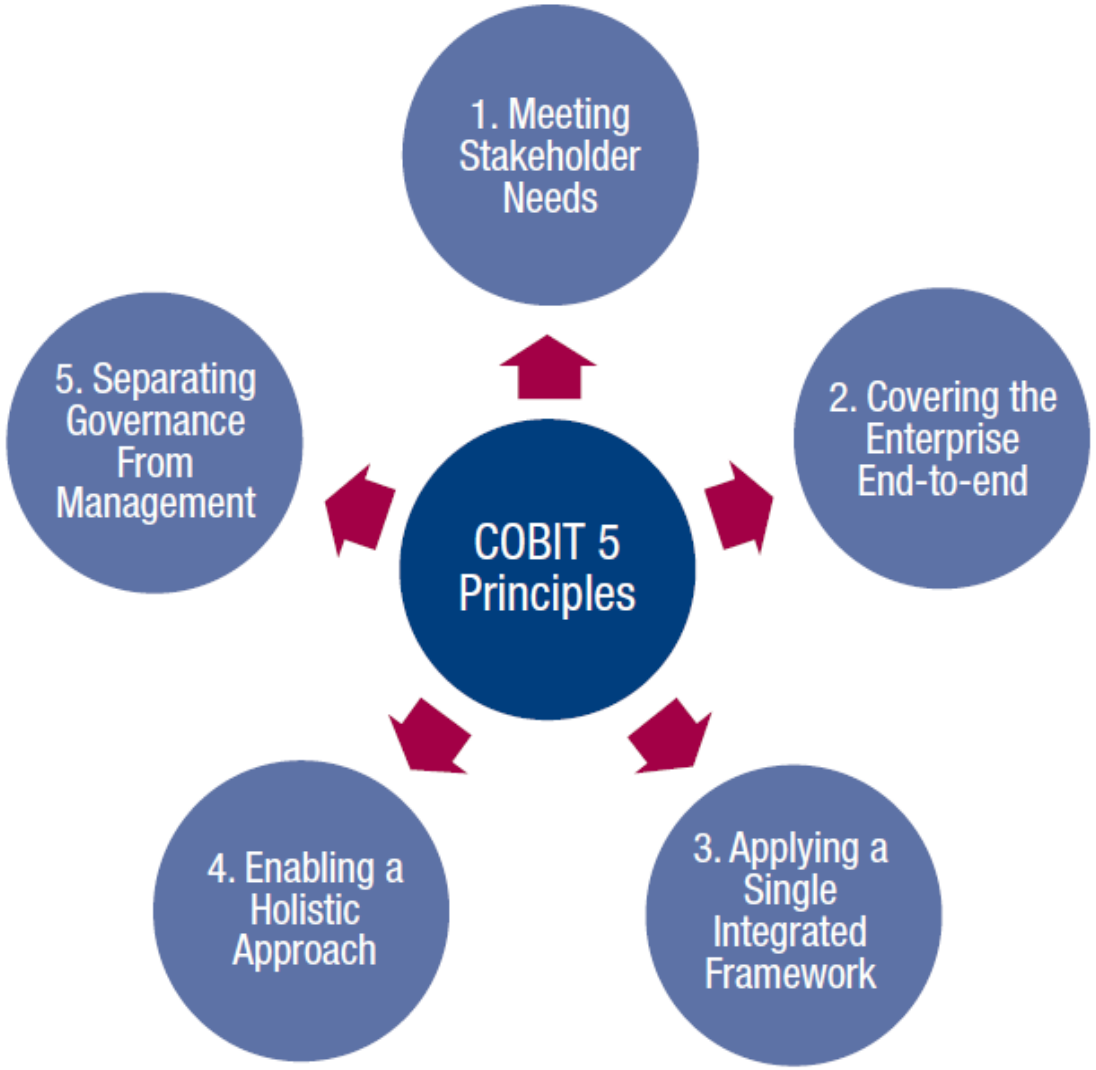
COBIT® 5
AN ISACA® FRAMEWORK

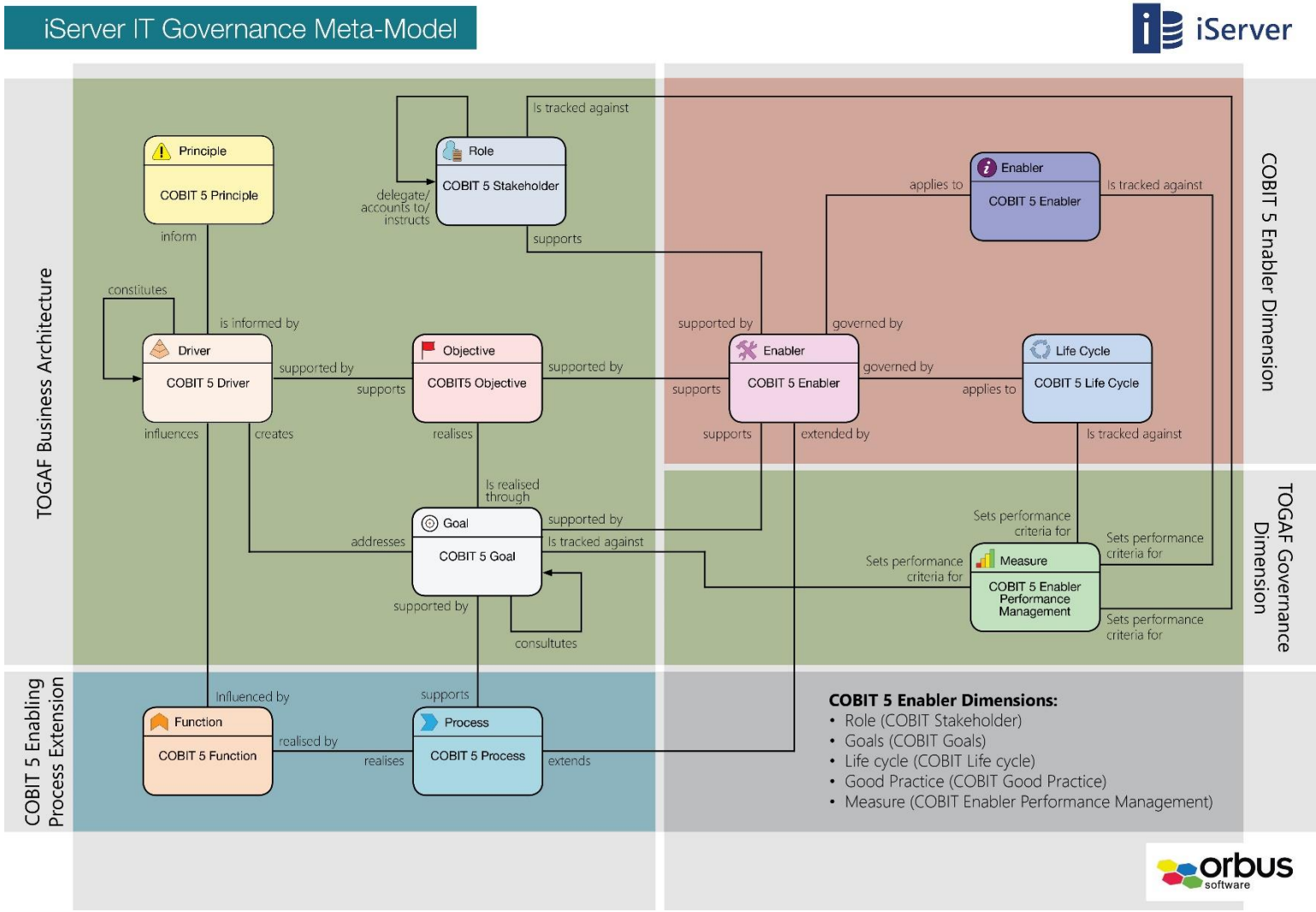
COBIT 5 Governance and Management Principles



The iServer IT Governance Solution is based on the COBIT 5 Framework

The COBIT 5 Framework, as well as the IT Governance Solution, is structured around these five principles

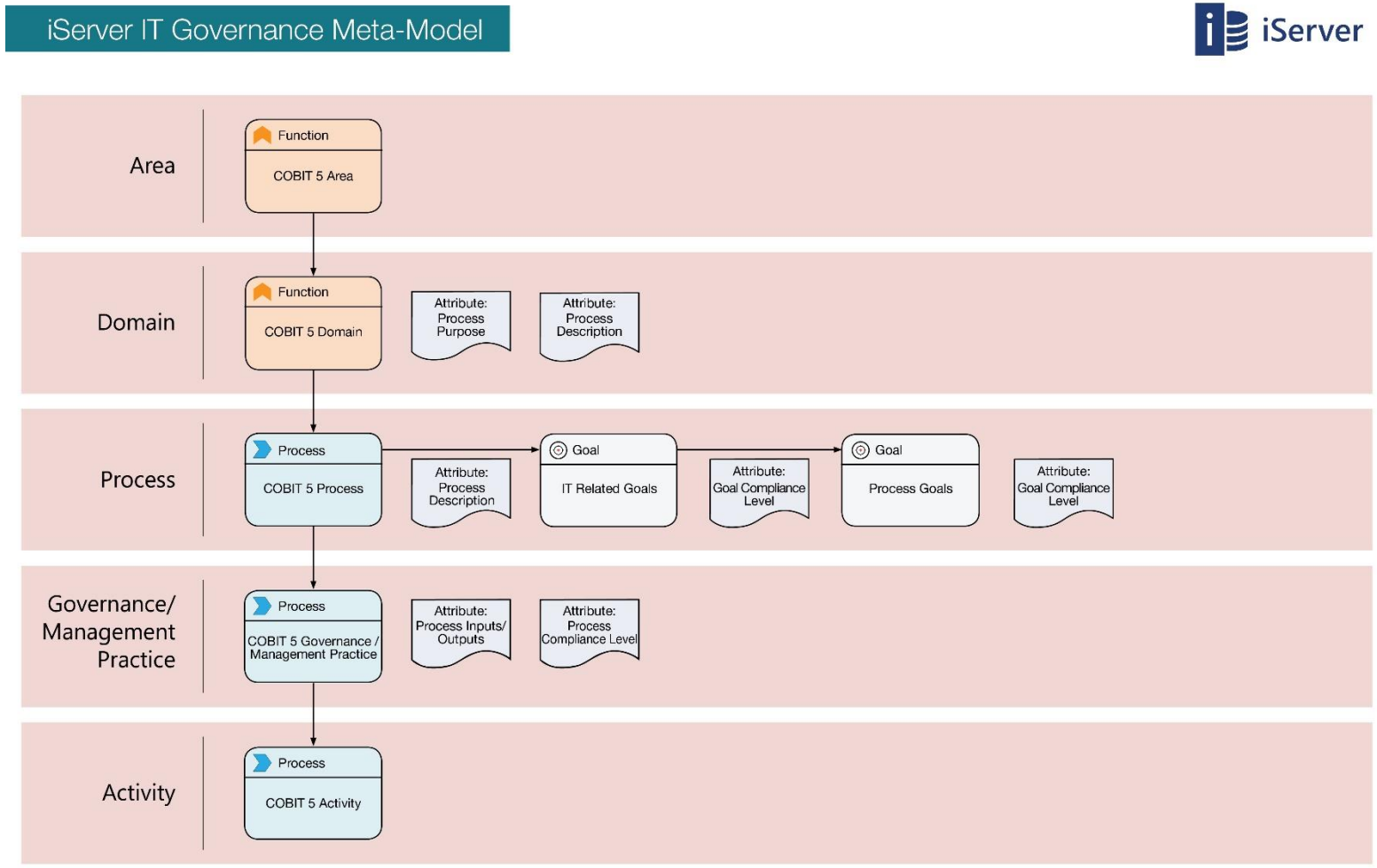
The IT Governance Solution: *Meta-Model*



The **COBIT 5 Framework** as well as the **Enabling Process** module has been **structured** according to a pre-defined **iServer meta-model**…

…built **reusing TOGAF** Business Architecture and Governance Extension concepts and shapes

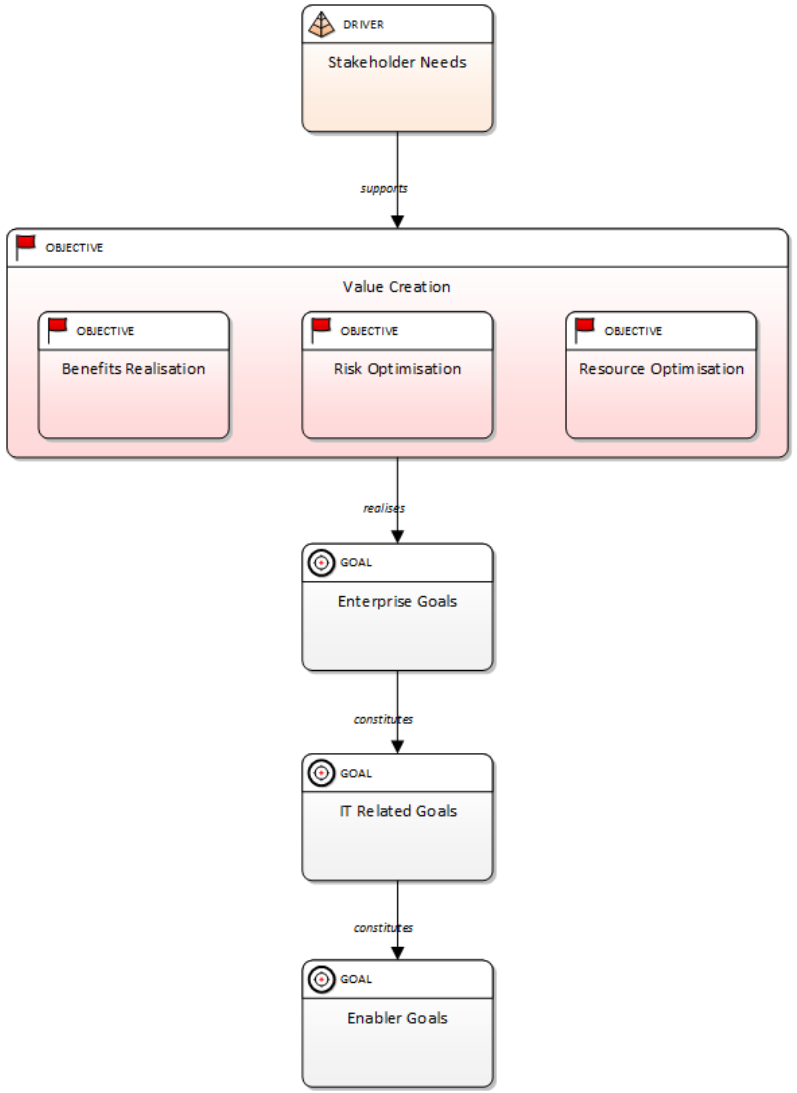
The IT Governance Solution: *Process Meta-Model*



The **COBIT 5 Framework** as well as the **Enabling Process** module has been **structured** according to a pre-defined **iServer meta-model**…

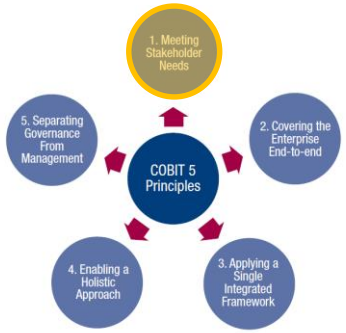
…built **reusing TOGAF** Business Architecture and Governance Extension concepts and shapes

Principle 1: *Meeting Stakeholder Needs*

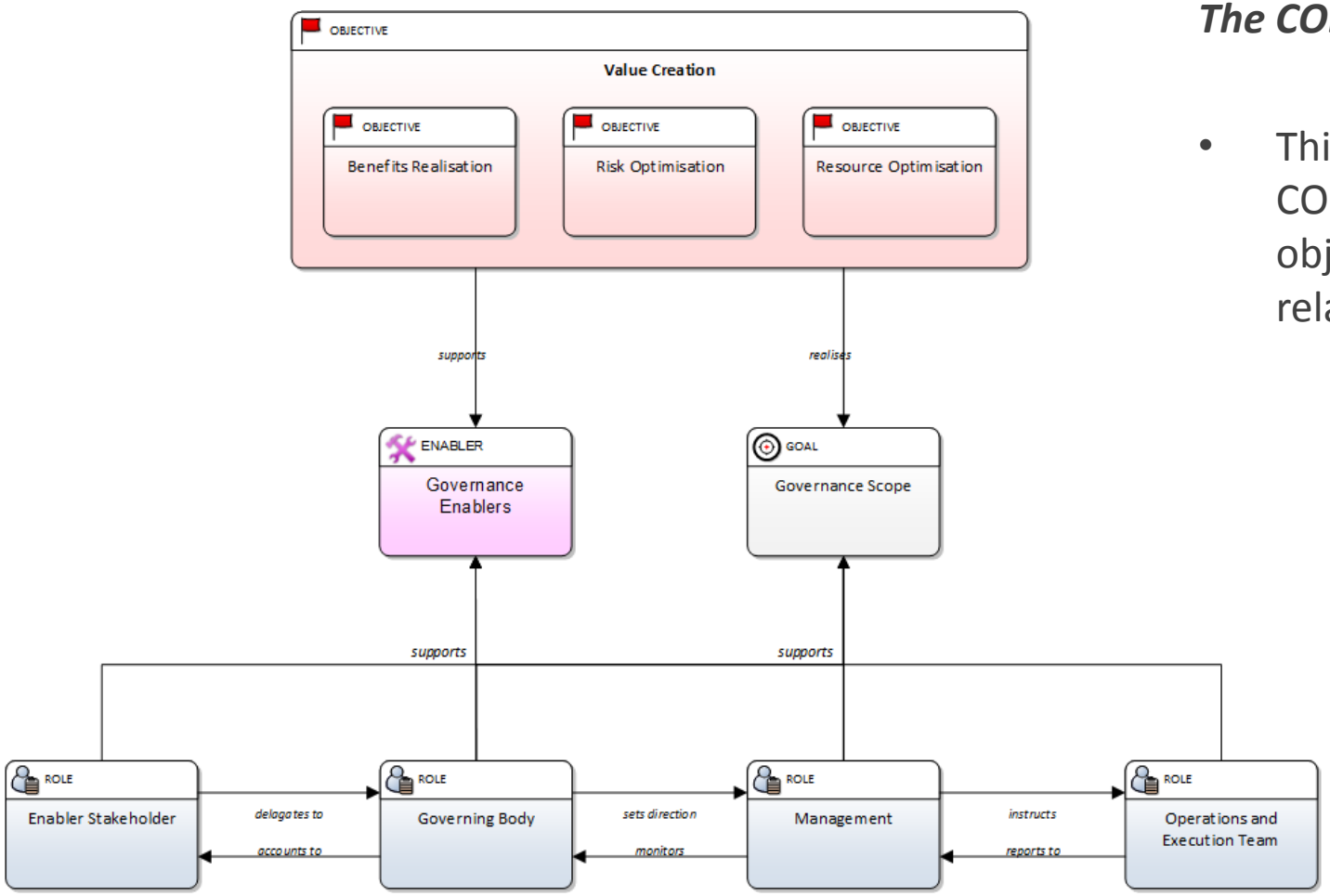


The COBIT 5 Goals Cascade:

- The COBIT 5 Goals Cascade describes the steps required to transform stakeholder needs into specific and actionable Enterprise Goals, IT-related Goals and Enabler Goals.
- The first step is defining stakeholder needs from stakeholder drivers. The high level stakeholder need identified within COBIT is value creation.
- These stakeholder needs are then translated into a generic set of enterprise goals, which are divided into Balanced Scorecard (BSC) objectives.
- Enterprise goals are supported by more specific IT-related Goals.
- IT-related goals are in-turn supported by specific Enabler Goals.
- The goals cascade is valuable as it provides the linkages between Stakeholder needs, value creation for the enterprise, and lower level Enabler Goals.

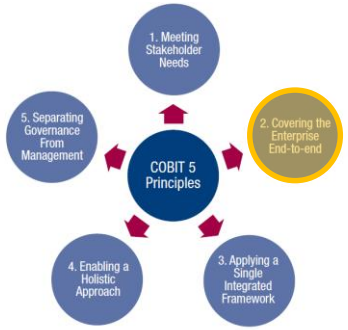


Principle 2: *Covering the Enterprise End-to-End*

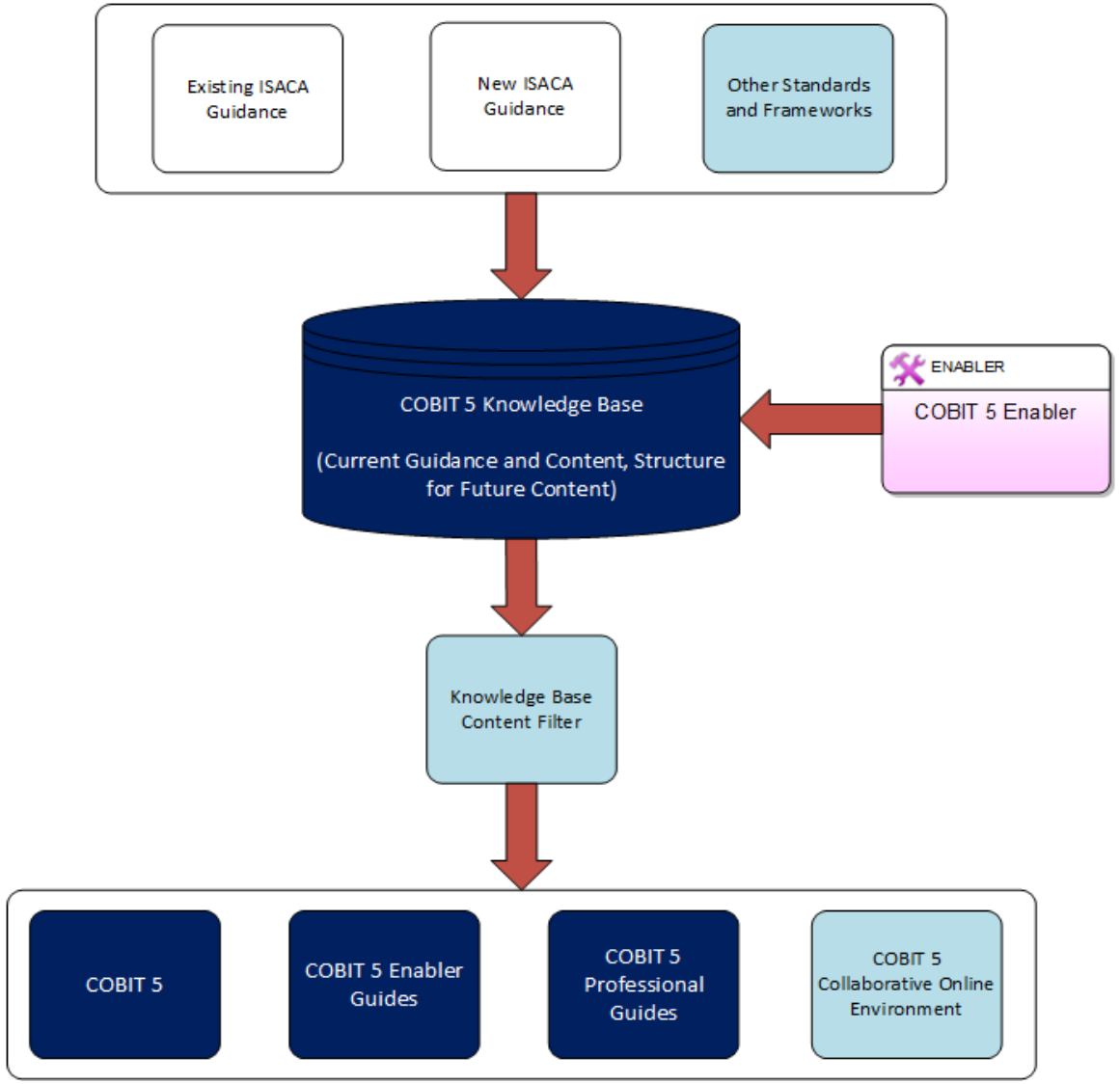


The COBIT 5 Governance Approach:

- This diagram depicts the key components of the COBIT 5 governance system, namely, defined objectives, enablers, scope, and roles and relationships

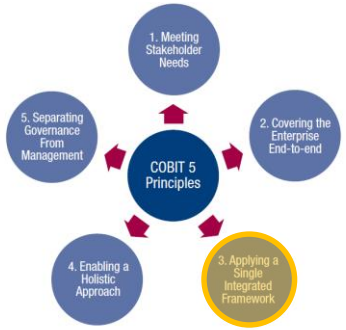


Principle 3: *Applying a Single Integrated Framework*

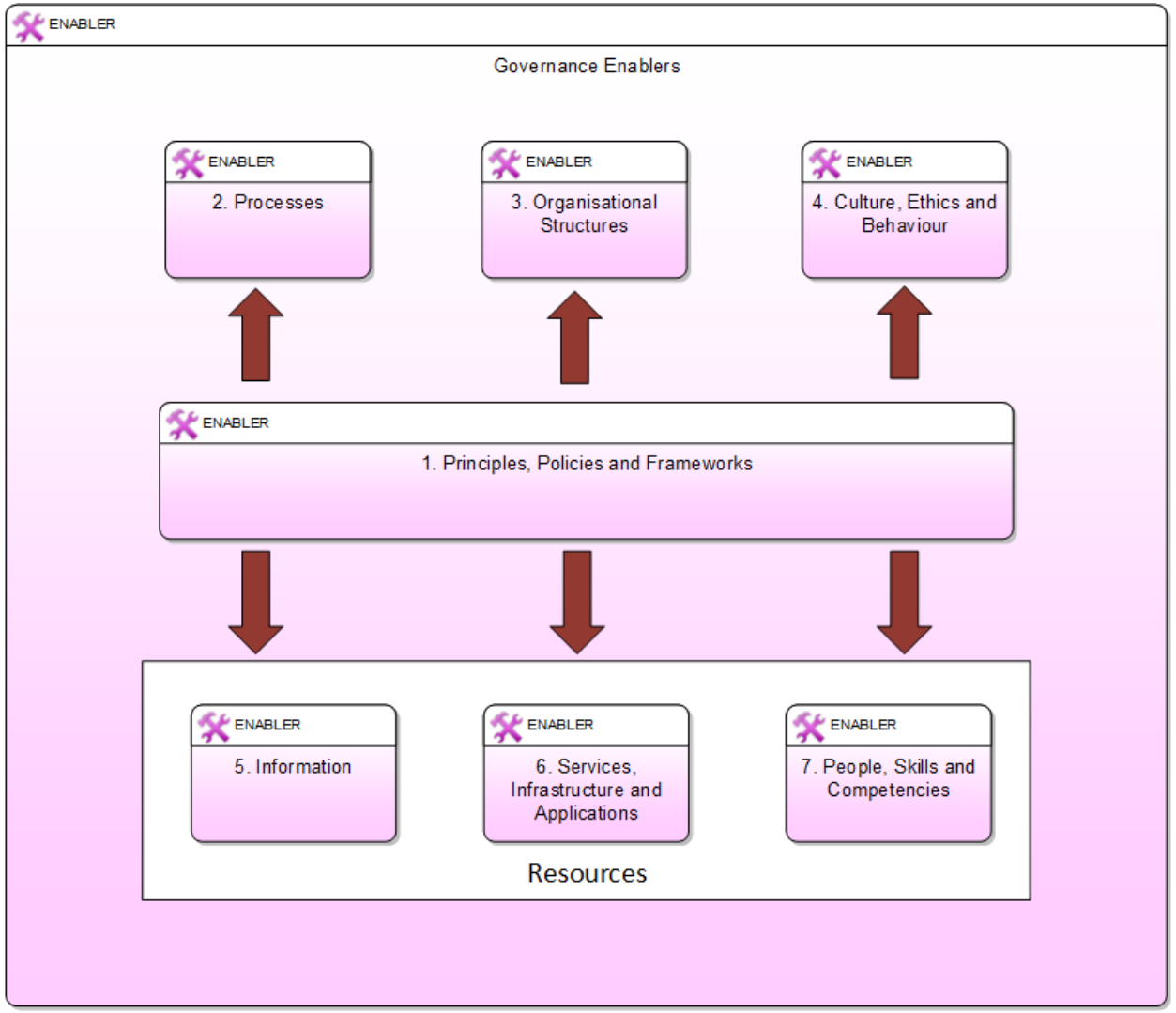


The COBIT 5 Framework Integrator:

- The Framework Integrator aims to provide a structure for all governance, guidance and best practice material
- The Framework Integrator is designed to be an overarching framework for the entire enterprise, structuring all non-technical guidance



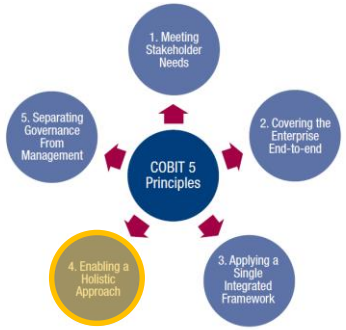
Principle 4: *Enabling a Holistic Approach*



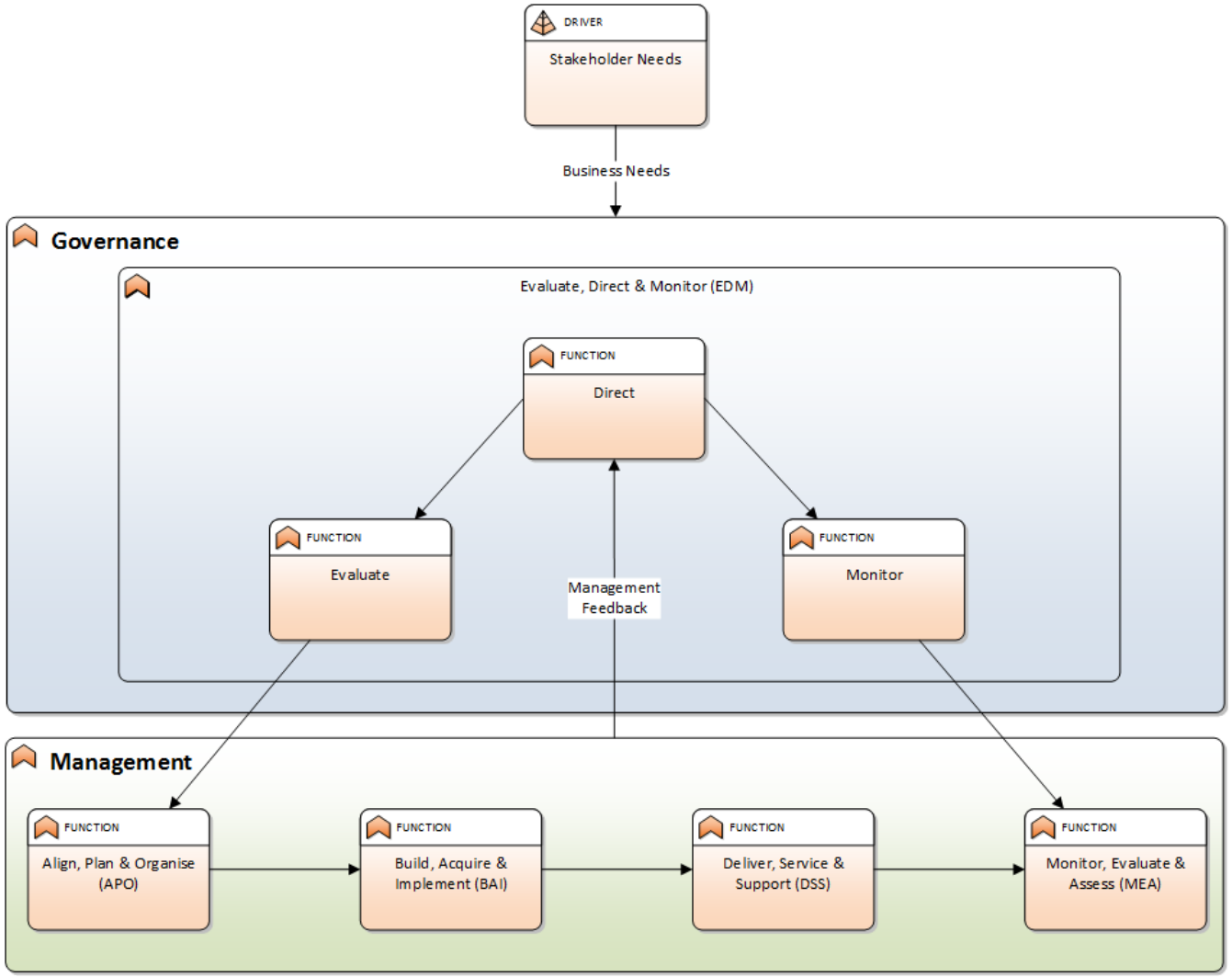
The COBIT 5 Enterprise Enablers:

- COBIT 5 enablers are the supporting pillars of the governance and management of enterprise IT.
- Enablers are guided by the IT-related Goals, which in turn are derived the Enterprise Goals.
- IT-related Goals define what the enablers should achieve, and measure their effectiveness.
- Enablers are interconnected meaning each enabler requires input from others to be fully effective, e.g. Processes need Information etc.

The implication of this is that for each stakeholder need, each enabler should be analyzed for relevance and addressed where required.

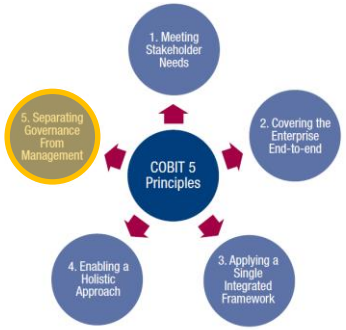


Principle 5: *Separating Governance from Management*

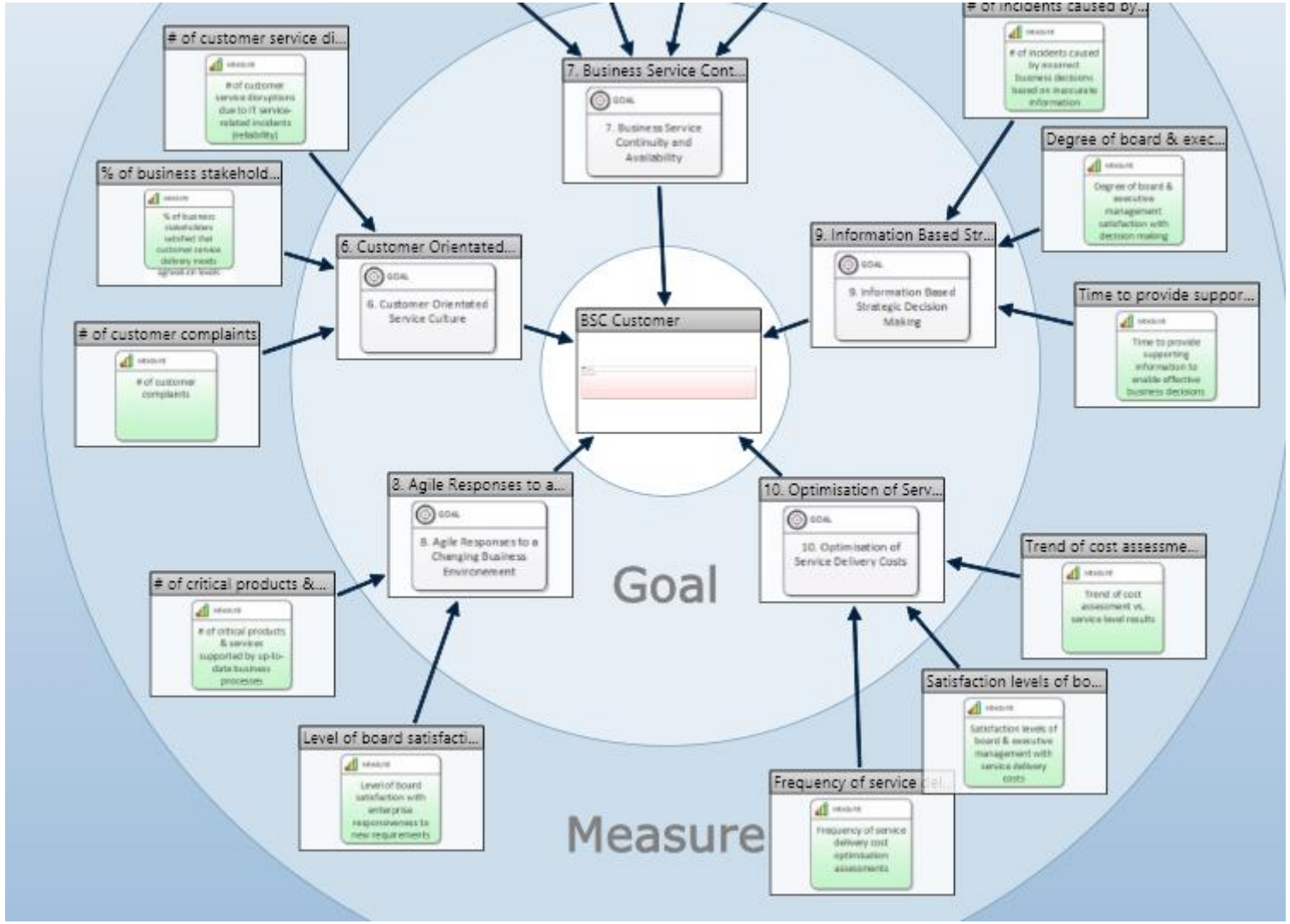


COBIT 5 Governance and Management Key Areas:

- The COBIT 5 Process reference model highlights key governance and management areas that should be addressed.
- COBIT 5 processes are non-prescriptive and should be used as a guide.
- There is a clear separation between the governance and management activities of enterprise IT.
- This reference model drills down into four additional process levels (see Process Meta-model)



Views and Outputs: *Impact Analysis*



This view shows all the Enterprise **Goals** associated with the **Customer** Balanced Scorecard objective, as well as the **Measures** for those goals.

Other possible analyses include:

- **Function** and **Process** decompositions
- **Processes** supporting **Goals**, with measures
- **Enterprise Goals** supported by **IT-related Goals**

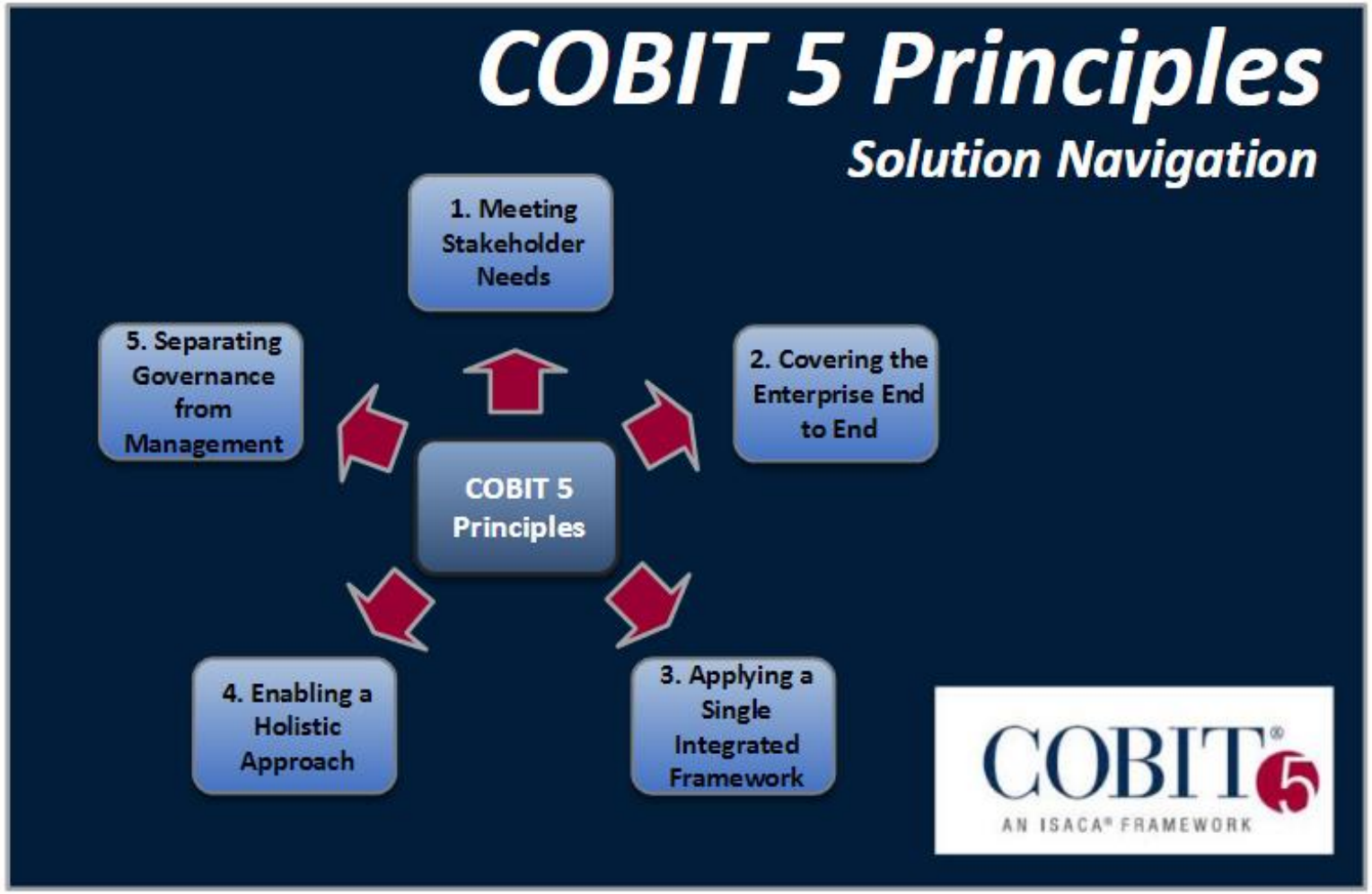
Views and Outputs: *Process/ Role/ Goal/ Measure Catalogues*

Name	Description	COBIT 5 Process Output	COBIT 5 Process Input
APO02.01 Understand enterprise direction	Consider the current enterprise environment and business processes, as well as the enterprise strategy and future objectives. Consider also the external environment of the enterprise (industry drivers, relevant regulations, basis for competition).	Sources and priorities for changes (Internal)	Guiding principles for allocation of resources and capabilities (EDM04.01), Innovation opportunities linked to business drivers (APO04.02), Enterprise strategy and enterprise strengths, weaknesses, opportunities, threats (SWOT) analysis (External)
APO02.02 Assess the current environment, capabilities and performance	Assess the performance of current internal business and IT capabilities and external IT services, and develop an understanding of the enterprise architecture in relation to IT. Identify issues currently being experienced and develop recommendations in areas that could benefit from improvement. Consider service provider differentiators and options and the financial impact and potential costs and benefits of using external services.	Baseline of current capabilities (Internal), Gaps and risk related to current capabilities (APO12.01), Capability SWOT analysis (Internal)	Cost optimisation opportunities (APO06.05), Definition of potential improvement projects (APO08.05), Identified gaps in IT services to the business (APO09.01), Improvement action plans and remediation's (APO09.04), Emerging risk issues and factors (APO12.01), Risk analysis results (APO12.02), Aggregated risk profile, including status of risk management actions (APO12.03), Project proposals for reducing risk (APO12.05), Performance and capacity plans (BAI04.03), Prioritised improvements (BAI04.03), Corrective actions (BAI04.05), Results of fit-for-purpose reviews (BAI09.01), Opportunities to reduce asset costs or increase value (BAI09.04), Results of cost optimisation reviews (BAI09.04)
APO02.03 Define the target IT capabilities	Define the target business and IT capabilities and required IT services. This should be based on the understanding of the enterprise environment and requirements; the assessment of the current business process and IT environment and issues; and consideration of reference standards, good practices and validated emerging technologies or innovation proposals.	High-level IT-related goals (Internal), Required business and IT capabilities (Internal). Proposed enterprise architecture changes (APO03.03)	Analysis of rejected initiatives (APO04.05), Results and recommendations from proof-of-concept initiatives (APO04.05)

Views and Outputs: *RACI Relationship Matrix*

	APO01.01 Define the organisational structure [Process]	APO01.02 Establish roles and responsibilities [Process]	APO01.03 Maintain the enablers of the management system [Process]
Architecture Board [Role]			C
Audit [Role]	I	C	C
Board [Role]			C
Business Continuity Manager [Role]	C	C	
Business Executive [Role]	C	I	C
Business Process Owners [Role]		C	C
Chief Executive Officer [Role]	C		A
Chief Financial Officer [Role]	C		C
Chief Information Officer [Role]	A	A	R
Chief Information Security Officer [Role]			C
Chief Operating Officer [Role]	C		R
Chief Risk Officer [Role]			C

Views and Outputs: *Web Portal*



- iServer Web Portal is a Live web based representation of the governance repository
- Accessible by any number of users without having to have iServer software installed or iServer training

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