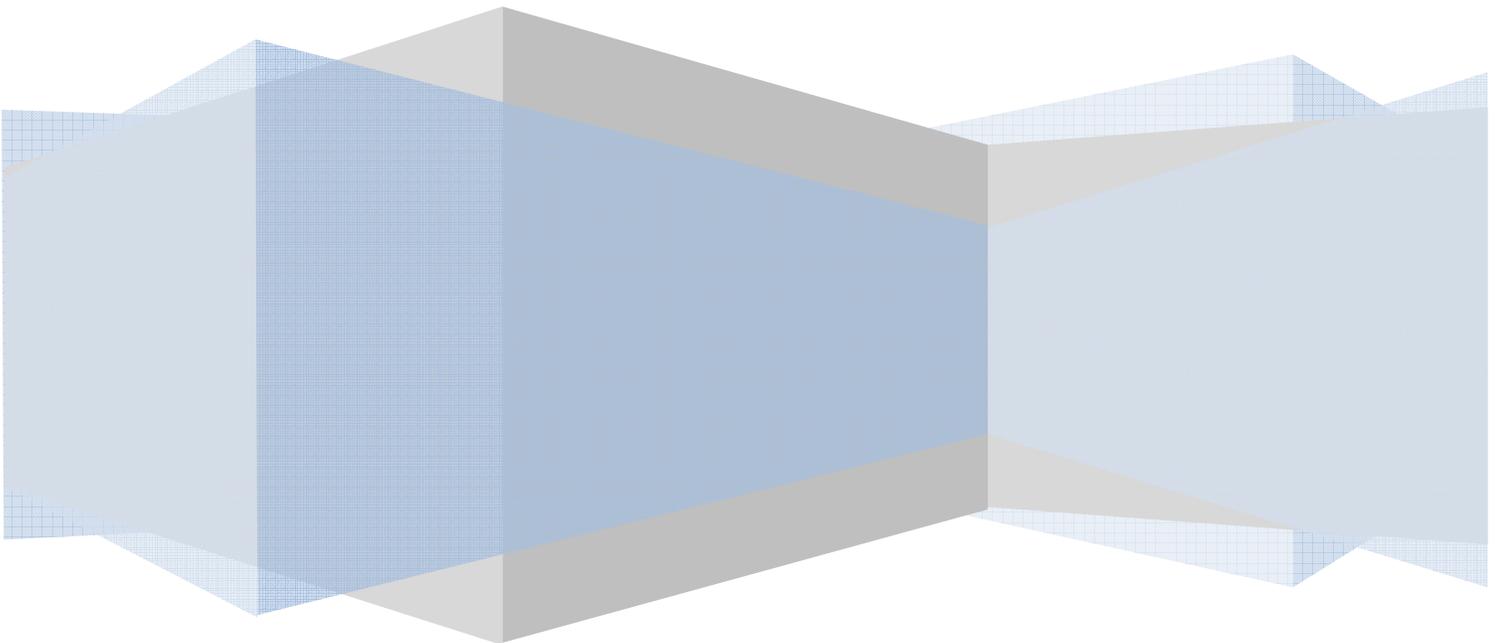




COBIT[®] 5 Design Paper Exposure Draft



ISACA®

With more than 86,000 constituents in more than 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 of IT, and IT-related risk and compliance. Founded in 1969, ISACA sponsors international conferences, publishes the *ISACA® Journal*, and develops international IS auditing and control standards. It also administers 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 offers the Business Model for Information Security (BMIS) and the IT Assurance Framework (ITAF). It also developed and maintains the COBIT®, Val IT™ and Risk IT frameworks, which help IT professionals and enterprise leaders fulfil their IT governance responsibilities and deliver value to the business.

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Introduction

This document describes the proposed development of the next version of ISACA's enterprise governance of IT framework—COBIT 5.

It outlines the proposed approach to COBIT 5 and includes a high-level description of the main development objectives and improvements as well as a short description of the background and assumptions regarding stakeholder requirements.

The primary objective of this initial exposure is to obtain input and comment regarding our assumption of stakeholder requirements, the proposed strategic approach and the high-level design. There will be regular communications in the future regarding the status of the project.

This initial exposure draft is being distributed to a significant number of volunteer reviewers and to the COBIT development groups located in several countries around the world. There will be a global survey of key COBIT contacts. The draft has been posted on the ISACA web site for public feedback.

Background

At a time when the significance of information and related technology is increasingly recognised in every aspect of business and public life, the need to drive more value from IT investments and manage an increasing array of IT-related risks has never been greater. Increasing regulation is also driving heightened awareness amongst boards of directors regarding the importance of a well-controlled IT environment and of the need to comply with legal, regulatory and contractual obligations.

Effective enterprise governance of IT results in improved performance as well as compliance to external requirements, yet successful implementation remains elusive for many enterprises. Processes need to be supported with carefully prescribed roles, responsibilities and accountabilities. They also require an appropriate set of guiding principles and organisational structures that fit the culture, style, skills and operational norms specific to the enterprise, inclusive of all stakeholders and role players.

For many years ISACA has researched this key area of enterprise governance to advance international thinking and provide guidance in evaluating, directing and monitoring an enterprise's use of IT. ISACA has developed ground-breaking frameworks—COBIT, Val IT, Risk IT, the Business Model for Information Security (BMIS) and the IT Assurance Framework (ITAF)—to help enterprises implement sound governance mechanisms and address specific areas such as information security and assurance.

ISACA recognised in the early 1990s that auditors, who had their own checklists for assessing IT controls and effectiveness, were speaking a different language from that used by business managers and IT practitioners. To bridge this communication gap, COBIT was created as a framework for business managers, IT managers and auditors. Over the years, the COBIT framework has evolved to become the most widely accepted approach for IT governance, management and assurance, based on an end-to-end view of an enterprise's use of information and related technology. COBIT helps enterprise boards, executives, directors and management implement structures, processes and tools to enable them to understand and direct important IT-related requirements, monitor and evaluate critical IT activities, and make informed decisions.

Global understanding of governance concepts and practices has also progressed since COBIT 4.1 was released in 2007, with increased focus on the enterprise governance of IT with the release of ISO 38500:2008, *Corporate Governance of Information Technology*, and other legislation and codes of practice such as KING III in South Africa, the first national corporate governance code to specifically mandate IT governance.

ISACA established an initiative, Taking Governance Forward (TGF), to provide a structured, high-level overview of enterprise governance: its definition, components, objectives, participants and views. The 'governance on a page' view resulting from this initiative was presented to a review group in 2010 in a web-based, collaborative environment to support review, discussion and contributions. It will be available for

public review in the second quarter of 2010. COBIT 5 will be designed and developed in alignment with the results of this initiative.

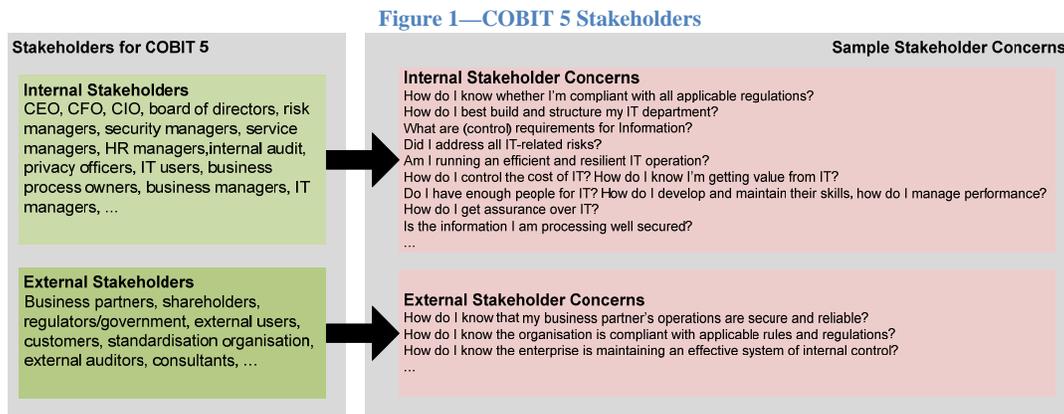
Seven key practical issues are recognised that need to be addressed in the development of the COBIT 5 framework:

- There is a need to integrate COBIT and ISACA’s research and developments in other areas such as value, risk, security and assurance into a single framework to overcome a complex mix of frameworks and supporting publications.
- There is a need for consistency in the concepts and terminology used and in the level of detail provided.
- COBIT 4.1 users have already made an investment in implementing COBIT and would have an easy migration from prior versions to COBIT 5.
- There are users of COBIT 4.1 who wish to focus on certain topics and find it difficult to navigate and identify the specific content relevant to their needs.
- There are areas where further guidance is needed, e.g., enterprise architecture, people skills, decision making, organisational structures, change enablement and sustainability.
- Given the pervasiveness of IT there is a need to ensure that governance and management processes integrate both business and IT responsibilities.
- COBIT 5 will be more complete and easier to navigate, bringing together under one integrated framework all of ISACA’s guidance relating to the enterprise governance of IT.

Best practices and standards are useful only if they are adopted and adapted effectively. COBIT 5 will continue to align and support the approach provided in the most recent ISACA guidance on implementation, *Implementing and Continually Improving IT Governance*, released in December 2009, where the emphasis is one of continual improvement presented as a life cycle.

Stakeholder Requirements

The COBIT 5 development will be based on the best possible understanding of stakeholder needs. These stakeholders who have an interest in the enterprise governance of IT cover a wide range of potential COBIT 5 users as well as role players who either sponsor and support the use of COBIT or who are affected by its use. They may be internal to the enterprise that may use COBIT or external, such as business partners, consultants, suppliers, auditors and regulators. These various COBIT 5 stakeholders have concerns and requirements related to the enterprise governance of IT, which are summarised in **figure 1**.



The list included in **figure 1** is a draft list and will be updated based on all feedback received. Recognising that these diverse stakeholders have some unique requirements, and the need for guidance to be digestible and practically usable, COBIT 5 will be presented in separate, but interrelated, publications. This will be described in more detail in a later section of this document.

The Future Direction of COBIT 5

Overview

COBIT 5 will be a major strategic improvement providing the next generation of ISACA's guidance on the enterprise governance of IT. Building on the more than 15 years of practical usage and application of COBIT by many enterprises and users from the business, IT, security and assurance communities, COBIT 5 will be designed to meet the current needs of stakeholders and align with the most up-to-date thinking in enterprise governance and IT management techniques.

Primary Improvements

The proposed COBIT 5 improvements are summarised below and described further in the next section. COBIT 5 will:

- Align with ISACA's TGF initiative as well as recent global governmental and market-driven enterprise and IT governance initiatives, such as sustainability and green IT
- Be consolidated into a single overarching framework and knowledge base, providing one consistent and integrated source of guidance
- Be described in a high-level framework publication, providing an explanation of the objectives, scope, format and usage of COBIT 5 and enabling enterprises to strategically plan adoption of COBIT 5 and how to migrate to the new framework
- Consist of a set of publications providing:
 - The content of COBIT 5 required for enterprise implementation and assurance activities
 - Focussed guidance publications on functional, responsibility and organisational views to help COBIT users with a specific area of interest to better understand how COBIT can support their role
- Clarify the distinction between governance and management with a revised process model that distinguishes between these domains while also showing how they relate to each other, and with processes integrating both business and IT responsibilities
- Align with the latest management practices as well as strengthening areas such as decision making, organisational structures, skill requirements, human factors, culture and change enablement. The new structure will be flexible, allowing future ISACA and non-ISACA standards, frameworks, regulations, etc., to be factored in.

Description of the Proposed Improvements

Enterprise Governance of IT

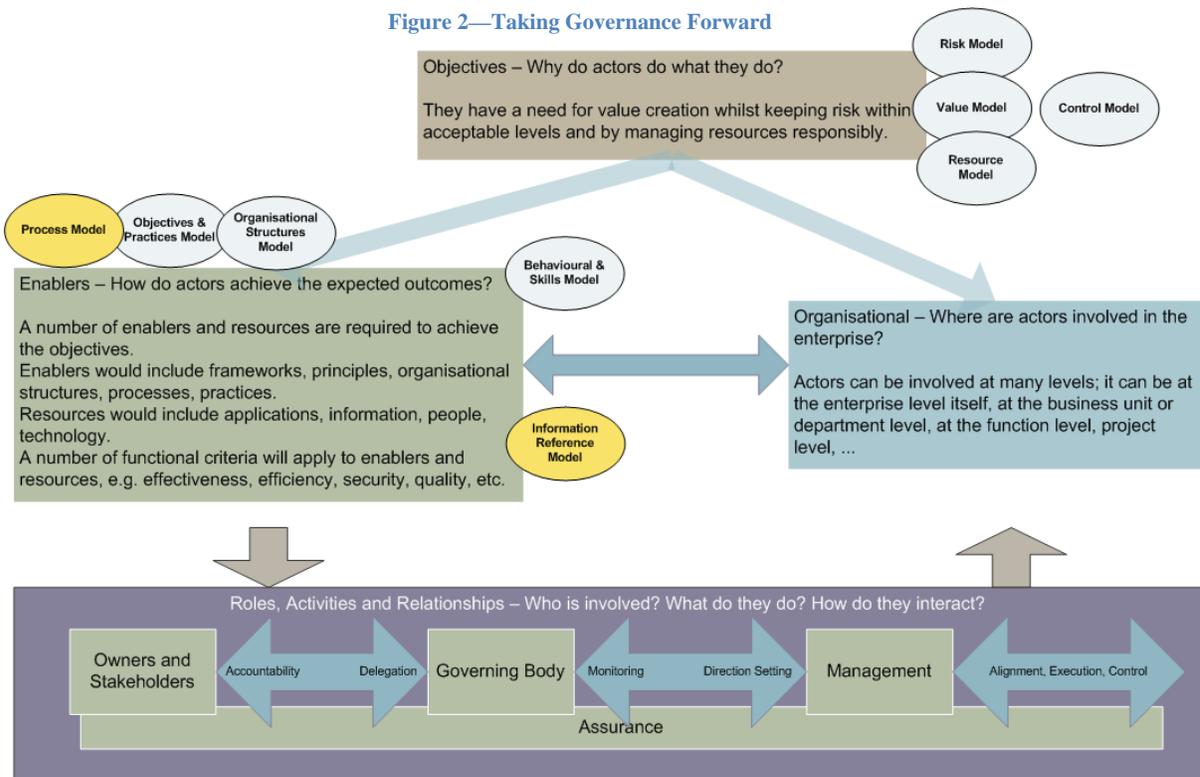
COBIT 5 will align with ISACA's TGF initiative as well as recent global governmental and market-driven enterprise and IT governance initiatives, such as sustainability and green IT.

ISACA's Taking Governance Forward Initiative

COBIT 5 will be based on the view of enterprise governance defined by ISACA's TGF initiative. TGF is an interactive, evolving initiative designed to share opinions and gain consensus on enterprise governance and how it relates to the governance of IT. The current view on governance from TGF is shown in **figure 2**.

The diagram in **figure 2** shows how different questions need to be addressed, and how they interrelate one with another. First, the 'why' question needs to be addressed—what drives the stakeholders? Once these objectives have been determined, a number of enablers need to be put in place, resolving the 'how' question. Many actors will come into play at various locations in the organisation, which is the 'where' question. And finally the 'what' and 'who' questions are addressed: what is done by whom in different roles.

Figure 2—Taking Governance Forward



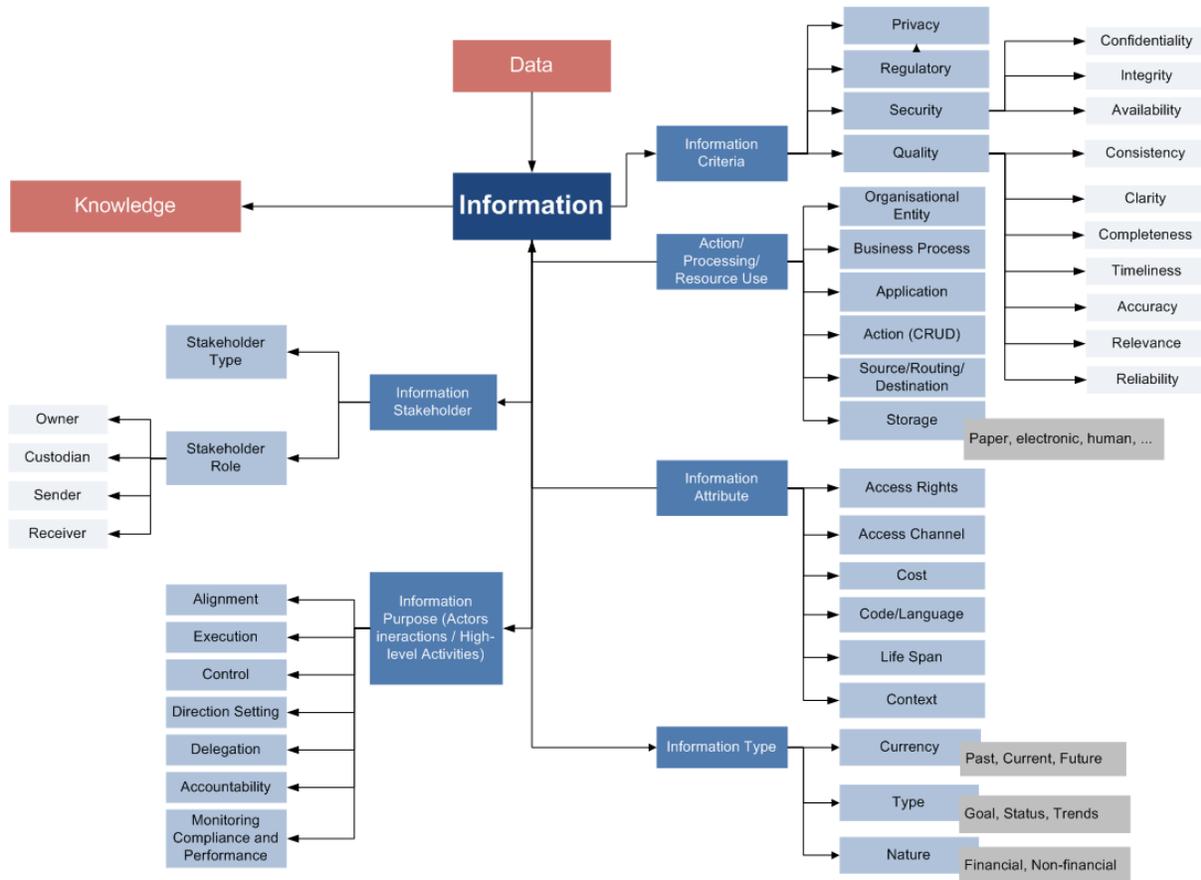
The diagram indicates a number of governance- and management-related models that will be developed as a basis for the COBIT 5 design. Users of COBIT 4.1 are already familiar with the process model and the maturity model. Other models will be defined, building on the current ISACA frameworks and aligned to best practices, to support and guide the development of the COBIT 5 components and content. A new model, highlighted in yellow in figure 2, will be developed to improve the understanding of information requirements: the Information Reference Model (IRM). It is used in figure 3 as an example to provide an indication of what the new models will encompass. The process model is also described in more detail later in this document.

The Information Reference Model

Information is a critical resource for enterprise governance and management, making a reference model for information highly relevant within the COBIT 5 context. The IRM's purpose is to simply describe the dimensions of information and what can be done with it. It is anticipated that the model will add clarity to the COBIT 5 framework with respect to information requirements, considerably enhancing the current 'information criteria' in the current COBIT framework. It will also stand alone as a guide to information and its use will be an understandable common language to a wide range of stakeholders and role players in the business, IT, assurance and specialist communities, such as security.

In essence, the IRM is 'a model that defines a number of dimensions of information', allowing all stakeholders who have to deal with information to consider all required aspects of information when assuming their roles. An overview of how the IRM might look is shown in **figure 3**.

Figure 3—COBIT 5 Information Reference Model



Note: Create, read, update and delete is the acronym CRUD in the figure.

Some words of explanation:

- Information is the step between Data and Knowledge on the information life cycle.
- At the first level of detail of dimensions, we can distinguish between:
 - Information criteria to which information should conform
 - Information stakeholders: Who have an interest in the information, e.g., for conformance reasons
 - Information purpose: Information can serve many purposes, e.g., operational information, or instructions, or monitoring information, etc. It is possible to express the purpose in terms of the TGF communication flows between different roles (shown in the bottom box of **figure 2**).
 - Information attributes that can be used to further describe and manage information, e.g. lifespan, context, access channels, etc.
 - Information type: Is it current or old information, what is the nature of the information
 - Information use: By whom is the information used? By which business processes? Which actions can be performed on it?

These dimensions are at this point in time very preliminary and need to be further explored, and redundancies need still to be identified and removed.

Current Trends in Enterprise Governance

Globalisation, climate change, the importance of social responsibility, and the rapid developments in information processing, access and use are some of the issues that have contributed to new ideas and imperatives for the effective governance of enterprises and consideration of the legitimate needs of stakeholders. COBIT 5 will include coverage of the key issues described below as they relate to the governance, management and assurance of information and related technology.

The Changing Global Environment

Today, enterprises are integral to society, particularly as creators of wealth and employment. In the world today, companies have the greatest pools of human and monetary capital. Stakeholders need to trust and have confidence in the enterprise's use of information and in the quality of information-related products or services.

Good governance requires effective leadership. Leadership is characterised by the ethical values of responsibility, accountability, fairness and transparency. Responsible leaders direct enterprise strategies and operations with a view to achieving sustainable economic, social and environmental performance.

Sustainability is a significant issue and one of the most important sources of both opportunities and risks for businesses. It requires boards and executives to consider in their decision making the impacts of the enterprise's operations on the community and the environment, and development of productive relationships with employees and those in the supply chain, and to take seriously their ethical, social and environmental responsibilities. These issues are relevant to the way information is processed and to the use and disposal of information and IT.

IT has now become pervasive in all aspects of enterprise, economic, social and personal life. As such, sustainability includes the ability to trust in and continue to safely and continually use information and the systems that process it within enterprises and within the global environment.

COBIT 5 will include improved coverage of these sustainability issues and also address the use of IT beyond the traditional IT function, within the business and throughout enterprise activities.

Inclusive Stakeholder Approach

In the board's decision-making process, the inclusive approach to governance dictates that the board should take account of the legitimate interests and expectations of the enterprise's stakeholders and not just shareholders in making decisions in the best interests of the enterprise as a responsible corporate citizen.

In the context of information, COBIT 5 will extend its scope to ensure that governance and management processes, policies, organisational structures, etc., adequately consider the needs of all potential information and related technology stakeholders both within and outside the enterprise, including employees, contractors, users and business partners and suppliers. It is understood that these needs can be conflicting, so there must be effective governance mechanisms to deal with these potential conflicts: who has a say, who decides, who needs to be involved, and how and what information is needed.

One Integrated Framework

COBIT 5 will be consolidated into a single overarching framework providing one consistent and integrated source of guidance. COBIT 5 will consolidate and integrate the COBIT 4.1, Val IT 2.0 and Risk IT frameworks and also draw significantly from BMIS and ITAF. In so doing, a new and more complete and consistent framework will be created.

A new product set will be developed, recognising that the content of COBIT 5 will need to be presented in several separate, but interrelated, publications to enable the guidance to be digestible, readable and usable in practice for a diverse range of stakeholder needs.

The underlying content of COBIT 5 will be created and maintained in a database repository, ensuring that the material is complete, consistent, properly organised and more easily maintained in the future. This approach will also improve the integrity and accuracy of the COBIT 5 components, with clearer links to external standards and best-practice sources. These sources will now be referred to in publications as cross-references. The maintenance of this repository will also enable easier production of specific COBIT 5 guidance products (for processes, for organisational structures, etc.) with everything derived from a single well-organised source.

Figure 4 portrays the envisaged three-layered architecture:

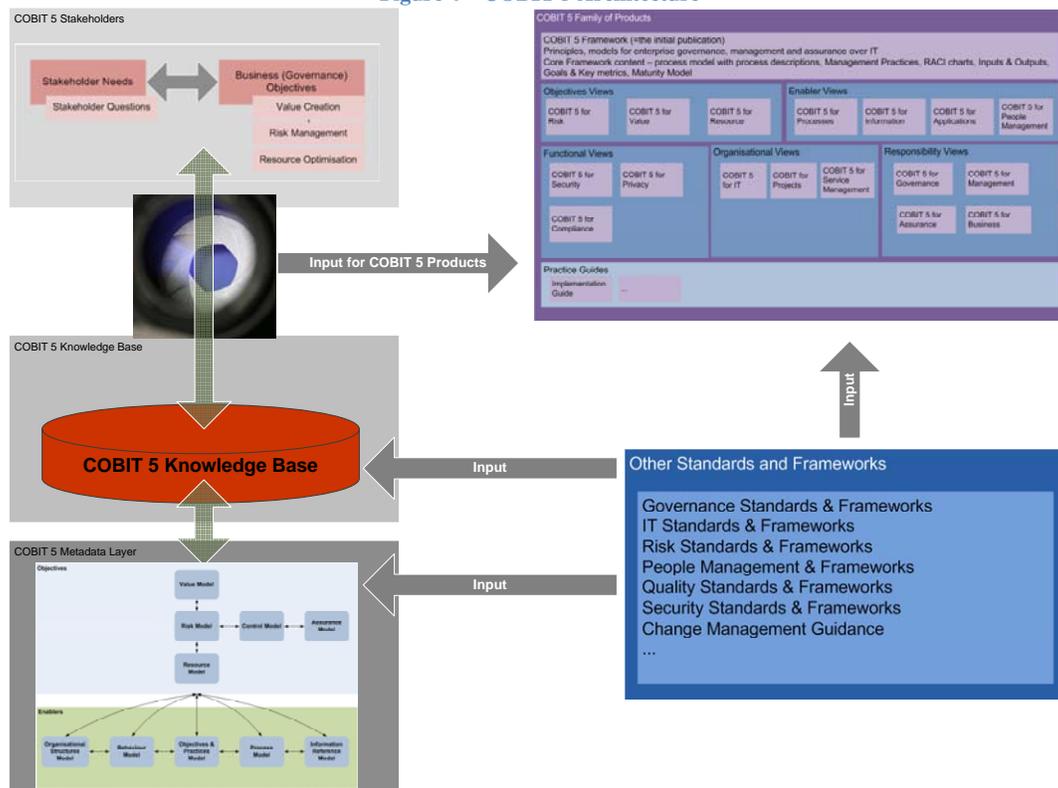
- **COBIT 5 stakeholders**—This layer considers stakeholders for IT and their needs and objectives. These

needs and objectives provide a lens to the overall COBIT 5 knowledge base. Through this lens, relevant content of the COBIT 5 knowledge base is selected and converted either in products or customised deliverables for the stakeholder.

- **COBIT 5 knowledge base**—This layer contains the complete set of knowledge contained in COBIT 5, including all domain- and process-related information. The information is structured using the models and components defined in the COBIT 5 metadata.
- **COBIT 5 metadata**—This layer contains the description of all components used in COBIT 5 and the relationship between them.

The products from the COBIT 5 product family will be developed to address specific stakeholder needs and they will be based on a subset of the COBIT 5 knowledge base, i.e., they will contain only the information relevant for the specific need, at the required level of detail. Other standards and frameworks might also be referenced in the COBIT 5 knowledge base as well as in specific COBIT 5 publications.

Figure 4—COBIT 5 Architecture



Initial Framework Publication

COBIT 5 will be described in a high-level framework publication, providing an explanation of the objectives, scope, format and usage of COBIT 5, and enabling enterprises to strategically plan adoption of COBIT 5 and migration to the new framework.

The initial publication will provide a comprehensive and clear description of the COBIT 5 framework. Its purpose will be primarily to enable executive decision makers, advisors and consultants, and those involved in strategic planning, to understand what COBIT 5 provides, how it can be used, and what other products will support and enable better governance and management of IT.

This new publication will also enable strategic planning of how to approach the enterprise governance of IT, how to demonstrate where it most needs to be improved in the enterprise, how to demonstrate the benefits and how best to use the COBIT 5 framework. It will enable:

- Health checks and discovery of pain points
- High-level assessments

- The creation of a high-level business case for implementing governance improvements based on the COBIT approach

This publication is expected to consist of approximately 80 to 100 pages and to contain the following information:

- Introduction to enterprise governance and enterprise governance of IT, and how they should be aligned
- Introduction to the COBIT 5 architecture and high-level overview of the models used (see **figure 2** for some of these models), including the process model and the information reference model, but not excluding other models
- The high-level content of the process model, providing the following information for each COBIT 5 process:¹
 - Process description—A short description of the process
 - Governance/management objectives—A description of the objectives of the process (the highest level description of **what** the process should achieve), with a link to how the process supports (overall) the enterprise's business goals and overall IT goals
 - Key management practices—A description of the major practices and/or decisions required to achieve the objectives of the process. This description will remain at a high level, with further levels of detail available in subsequent publications in the COBIT 5 product family.²
 - Maturity model—A high-level maturity model based on those included in the current ISACA frameworks
 - High-level Responsible, Accountable, Consulted and/or Informed (RACI)/decision chart, relating to the key management practices
 - Key products of the process (inputs and outputs)
 - Critical enablers for the process, including skills and environmental factors
 - Key goals and metrics for the process
 - Risk and value drivers for the process
- Migration guidance—How to migrate to COBIT 5 for users of current ISACA frameworks
- Implementation guidance—Overview of the road map to implementation of enterprise governance of IT

New Set of Publications

Following the initial framework publication, COBIT 5 will consist of a set of publications³ providing the detailed content required for enterprise implementation and assurance activities, and focussed guidance publications on functional, responsibility and organisational views to help COBIT 5 users with a specific area of interest to better understand how COBIT 5 can support their role in governance and management.

To enable a common approach to both implementation and assurance, publications will be created as reference material to the two guides on these topics: *Implementing and Continually Improving IT Governance* and the *IT Assurance Guide*, both of which may be updated to align with the new version of COBIT.

The application and operation of good governance and management practices often become the ongoing responsibility of process owners and IT professionals responsible for specific areas and roles. Focussed publications based on the view of a specific area will be created to improve the understanding of governance and management in that specific area (**figure 5**).

These publications will be created by selecting or filtering on specific content from the COBIT 5 repository

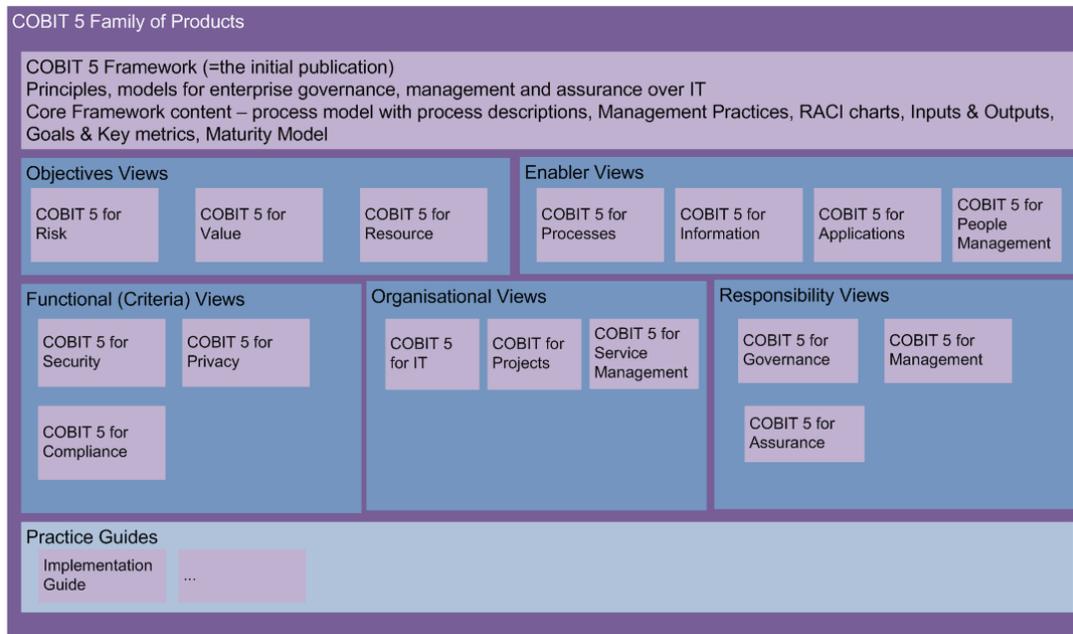
¹ The exact contents of each process may still change. It is the intention to provide, at this high level, approximately two pages of information and guidance for each process.

² COBIT 5, a generic framework, cannot provide guidance at the most detailed practitioner level. It is necessarily limited to provide guidance on **what** should be achieved (objectives) for different purposes (management, control, etc.), and to some extent on the major activities or practices (the **how** to achieve) that are required to achieve the objectives, but described at a generic and high level. Enterprises should translate this high-level guidance into pragmatic working practices and instructions, adopting guidance from specific standards and best practices and adapting them for their own environment.

³ Publications should be interpreted in a very broad sense—they can take the form of printed books, downloadable documents or even electronically customisable content drawn from a larger database (similar to the current COBIT Online® application). No final decisions on the different delivery mechanisms are made yet.

and will typically involve a limitation of scope to certain models within the full framework as well as a subset of the framework components, i.e., more focussed and more detailed guidance. New publications will also likely provide a fuller explanation of any related standards and best practices. These publications will each provide a lens into the full COBIT 5 framework and, as such, will be consistent and aligned with the main core publications, while providing deeper and more focused guidance on specific content.

Figure 5—COBIT 5 Product Architecture



At this point in the development process it is not possible to describe the detailed contents of each COBIT 5 product. However, the following will apply in general:

- Products will be developed based on a specific need of a stakeholder group; in **figure 5** they are structured in line with the different components of the TGF model. Other structures are possible.
- Each product will contain at least the following blocks of information:
 - A description of the topic of the publication and the stakeholders for which it is intended
 - A discussion of the specific topic of the publication, e.g., what are the specifics and most important concepts on Governance, or risk or security
 - A discussion of a specific approach for the subject at hand
 - A structured set of detailed contents relevant for the topic of the publication. This content is drawn from the COBIT 5 knowledge base. Additional information or clarification is added when and where required.
 - Related guidance for the topic of the publication, e.g., other standards or frameworks in the same domain

Revised Process Model

COBIT 5 will clarify the distinction between governance and management with a revised process model that distinguishes between these domains while also showing how they relate to each other.

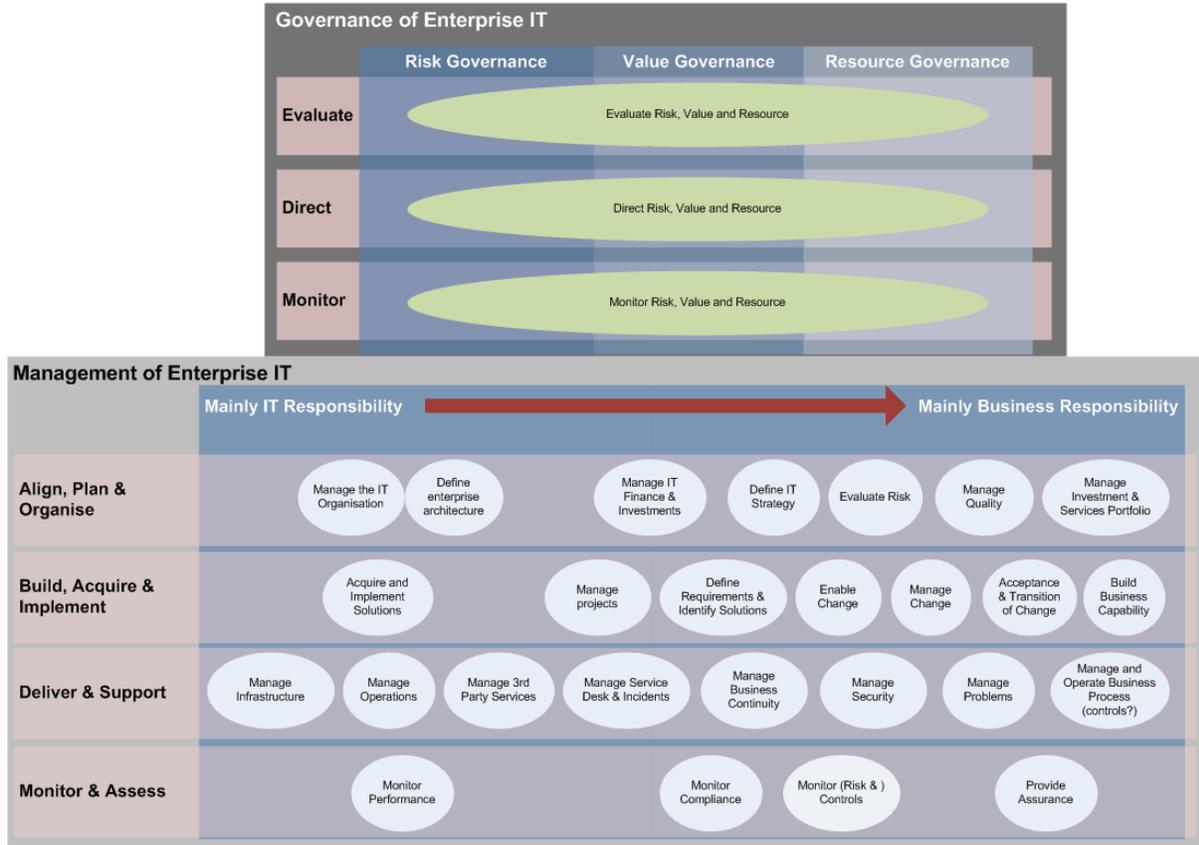
As with previous versions, COBIT 5 will contain a process model for the governance and management of IT. A process model enables enterprises to design and implement a process scheme appropriate for the current management style and culture that will ensure that governance and management activities will be reliably and consistently performed.

In the new COBIT 5 framework, the current four-domain format of COBIT 4.1 will be retained but will be used to focus on management processes. Some simplification and consolidation of processes is also proposed. Overall, the scope and content of these processes will aim to cover the full end-to-end scope

within the business and IT specialist functions of management activities, continuing a trend that has evolved over several years but now truly recognising that IT is pervasive and, in almost all cases, involves activities across the enterprise.

A new focus on governance activities that are at the level of the board and executives will be organised in three new domains aligned with ISO38500: Evaluate, Direct and Monitor. **Figure 6** provides an overview of the envisaged new model.

Figure 6—COBIT 5 Process Model



Alignment With Latest Best Practices

COBIT 5 will align with the latest best practices as well as strengthen areas such as decision making, organisational structures, skill requirements, human factors, culture and change enablement.

ISACA has always based its governance frameworks on extensive and innovative research as well as review of available standards and best practices. This research, first started in the early 1990s, has involved several major studies and detailed analysis of over 60 sources, backed up by detailed mappings of those practices most commonly used together with COBIT. COBIT 5 will include alignment with the most current versions of sources used in the past (such as ITIL V3, ISO 27000 series, TOGAF V9, and ISO 9000:2008, amongst others) as well as numerous new references covering topics such as architecture, data management, skills, green IT and change enablement. A list of currently planned references is provided in the reference section.

Going Forward

The comments received on this document will be used to finalise the design for COBIT 5. Upon completion of the design, which is planned one month after closure of the review period, content development will begin. Development activities will involve extensive input from many sources and people, and will result in a draft version of COBIT 5 which will also be exposed for comment. Development activities will take place throughout the remainder of 2010 and exposure versions of the first COBIT 5 deliverable will be available in early 2011.

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