

COBIT IT Governance Process Descriptions

2-3-1- Domain 01: Evaluate, Direct and Monitor (EDM):

- ☐ **EDM01: Ensure Governance Framework Setting and Maintenance:** Analyse and articulate the requirements for the governance of enterprise IT, and put in place and maintain effective enabling structures, principles, processes and practices, with clarity of responsibilities and authority to achieve the enterprise's mission, goals and objectives.
- ☐ **EDM02: Ensure Benefits Delivery:** Optimise the value contribution to the business from the business processes, IT services and IT assets resulting from IT-enabled investments at an acceptable cost.
- ☐ **EDM03: Ensure Risk Optimisation:** Ensure that the enterprise's risk appetite and tolerance are understood, articulated and communicated, and risks to enterprise value related to the use of IT are identified and managed.
- ☐ **EDM04: Ensure Resource Optimisation:** Ensure that adequate and sufficient IT-related capabilities (people, process and technology) are available to support enterprise objectives effectively at optimal cost.
- ☐ **EDM05: Ensure Stakeholder Transparency:** Ensure that enterprise IT performance and conformance measurement and reporting are transparent, with stakeholders approving the goals and metrics and the necessary remedial actions.

COBIT IT Management Process Descriptions

2-3-2- Domain 02: Align, Plan and Organize (APO):

- ☐ **APO01: Manage the IT Management Framework:** Clarify and maintain the enterprise IT mission and vision. Ensure that the right mechanisms and authorities are put in place, in line with guiding principles and policies, and are continually improved and aligned with enterprise requirements.
- ☐ **APO02: Manage Strategy:** Provide a holistic view of the current IT environment, the future direction, and the initiatives required to migrate to the desired future environment, leveraging enterprise architecture building blocks and components to enable nimble, reliable and efficient response to strategic objectives.
- ☐ **APO03: Manage Enterprise Architecture:** Establish a common framework consisting of business process, information, data, application and technology architecture layers for effectively and efficiently realising enterprise and IT strategies by creating key models and practices that describe the baseline and target architectures. Define requirements for taxonomy, standards, guidelines, procedures, templates and tools, and provide a linkage for these components. Improve alignment, increase agility, improve quality of information and generate potential cost savings through initiatives such as re-use of building block components.
- ☐ **APO04: Manage Innovation:** Maintain an awareness of information technology and related service trends, identify innovation opportunities, and plan how to benefit from innovation in relation to business needs. Analyse what opportunities for business innovation or improvement can be created by emerging technologies, services or IT-enabled business innovation, as well as through existing

established technologies and by business and IT process innovation. Influence strategic planning and enterprise architecture decisions.

☐ **AP005: Manage Portfolio:** Execute the strategic direction set for investments in line with the enterprise architecture vision, and the desired characteristics of the investment portfolio, and consider the different categories of investments and the resources and funding constraints. Evaluate, prioritise and balance programmes within resource and funding constraints, based on their alignment with strategic objectives, enterprise worth and risk, and move selected programmes into the active portfolio for execution. Monitor the performance of the overall portfolio, proposing adjustments to it as necessary in response to programme performance or changing enterprise priorities.

☐ **AP006: Manage Budget and Cost:** Manage the IT-related financial activities in both the business and IT functions, covering budgeting, cost and benefit management, and prioritisation of spending through the use of formal budgeting practices and a fair and equitable system of allocating costs to the enterprise. Consult stakeholders to identify and control the total costs and benefits within the context of the IT strategic and initiate corrective action where needed.

☐ **AP007: Manage Human Resources:** Provide a structured approach to ensure optimal structuring, placement, decision rights and skills of human resources. This includes communicating the defined roles and responsibilities, learning and growth plans, and performance expectations, supported with competent and motivated people.

☐ **AP008 Manage Relationships:** Manage the relationship between the business and IT in a formalised and transparent way that ensures a focus on achieving a common and shared goal of successful enterprise outcomes in support of strategic goals and within the constraint of budgets and risk tolerance. The relationship should be based on mutual trust, using open and understandable terms and common language and a willingness to take ownership and accountability for key decisions.

AP009 Manage Service Agreements: Align IT-enabled services and service levels with enterprise needs and expectations, including identification, specification, design, publishing, agreement, and monitoring of IT services, service levels and performance indicators.

☐ **AP010: Manage Suppliers:** Ensure that IT-related services provided by all types of suppliers meet enterprise requirements, including the selection of suppliers, management of relationships, management of contracts, and reviewing and monitoring of supplier performance for effectiveness and compliance.

☐ **AP011: Manage Quality:** Define and communicate quality requirements in all processes, procedures and the related enterprise outcomes, including controls, ongoing monitoring and the use of proven practices and standards in continuous improvement and efficiency efforts.

☐ **AP012: Manage Risk:** Continually identify, assess and reduce IT-related risks within levels of tolerance set by enterprise executive management.

2-3-3- Domain 03: Build, Acquire & Implement (BAI):

☐ **BAI01: Manage Programmes and Projects:** Manage all programmes and projects from the investment portfolio in a co-ordinated way. Initiate, plan, control, and execute programmes and projects, and close with a post-implementation review.

☐ **BAI02: Manage Requirements Definitions:** Identify solutions and analyse requirements before acquisition or creation to ensure that they are in line with enterprise requirements covering business

processes, applications, information/data, infrastructure and services. Review feasible options including relative costs and benefits, risk analysis, and approval of requirements and proposed solutions.

☐ **BAI03: Manage Solutions Identification and Build:** Establish and maintain identified solutions in line with enterprise requirements covering design, development, procurement/sourcing, configuration, test preparation, testing, requirements management and maintenance of business processes, applications, information/data, infrastructure and services.

☐ **BAI04: Manage Availability and Capacity:** Balance current and future needs for availability, performance and capacity with cost-effective service provision. Include assessment of current capabilities, forecasting of future needs based on business requirements, analysis of business impacts, and assessment of risk to plan and implement actions to meet the identified requirements.

BAI05: Manage Organisational Change Enablement: Maximise the likelihood of successfully implementing sustainable enterprisewide organisational change quickly and with reduced risk covering the complete life cycle of the change and all affected stakeholders in the business and IT.

☐ **BAI06: Manage Changes:** Manage all changes in a controlled manner, including standard changes and emergency maintenance relating to business processes, applications and infrastructure. This includes change standards and procedures, impact assessment, prioritisation and authorisation, emergency changes, tracking, reporting, closure and documentation.

☐ **BAI07: Manage Changes, Acceptance and Transitioning:** Formally accept and make operational new solutions, including implementation planning, system and data conversion, acceptance testing, communication, release preparation, promotion to production of new or changed business processes and IT services, early production support, and a post-implementation review.

☐ **BAI08: Manage Knowledge:** Ensure that relevant knowledge is available, current, validated and reliable to facilitate decision making, and plan for the identification, gathering, organising, maintaining, use and retirement of knowledge.

2-3-4- Domain 04: Deliver, Service & Support (DSS):

☐ **DSS01: Manage Operations:** Co-ordinate and execute the activities and operational procedures required to deliver internal and outsourced IT services, including the execution of pre-defined standard operating procedures and the required monitoring activities.

☐ **DSS02: Manage Assets:** Account for all IT assets and optimise the value provided by these assets.

☐ **DSS03: Manage Configuration:** Provide sufficient information about service assets to enable the service to be effectively managed, to assess the impact of changes and to deal with service incidents.

☐ **DSS04: Manage Service Requests and Incidents:** Manage IT assets through their life cycle to make sure that their use delivers value at optimal cost, they remain operational (fit for purpose) they are accounted for and physically protected, and those assets that are critical to support service capability are reliable and available. Manage software licences to ensure that the optimum number are acquired, retained and deployed in relation to required business usage, and the software installed is in compliance with license agreements.

DSS05 Manage Problems: Increase availability, improve service levels, reduce costs, and improve customer convenience and satisfaction, by reducing the number of operational problems.

☐ **DSS06: Manage Business Continuity:** Continue critical business operations and maintain availability of information at a level acceptable to the enterprise in the event of a significant disruption.

☐ **DSS07: Manage Security:** Improve the services' security level by keeping the impact and occurrence of information security incidents within the enterprise's risk appetite levels.

☐ **DSS08: Manage Business Process Controls:** Define and maintain appropriate business process controls to ensure that information related to and processed by inhouse or outsourced business processes satisfies all relevant information control requirements. Identify the relevant information control requirements and manage and operate adequate controls to ensure that information and information processing satisfy these requirements.

2-3-5- Domain 05: Monitor, Evaluate and Assure (MEA):

☐ **MEA01: Monitor and Evaluate Performance and Conformance:** Collect, validate and evaluate business, IT and process goals and metrics. Monitor that processes are performing against agreed performance and conformance goals and metrics and provide reporting that is systematic and timely.

☐ **MEA02: Monitor System of Internal Control:** Continuously monitor and evaluate the control environment, including self-assessments and independent assurance reviews. Enable management to identify management deficiencies and inefficiencies and to initiate improvement actions. Plan, organize and maintain standards for internal control assessment and assurance activities.

☐ **MEA03: Monitor and Evaluate Compliance with External Requirements:** Evaluate that IT processes and IT-supported business processes are compliant with laws, regulations and contractual requirements. Obtain assurance that the requirements have been identified and complied with and integrate IT compliance with overall enterprise compliance.