



## COBIT 2019 in Practice: A Real World Example

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### Purpose

To follow on an earlier white paper, [Why COBIT Matters](#), with a worked example. Theory has its place, but the real value is actually transforming theory into practice.

### Quick Review of COBIT

**What it is:** a framework of governance and management objectives to be integrated into your IT policies and processes. These policies and processes can be developed from scratch to suit your organization's specific needs, or aligned to a framework for managing infrastructure such as, or managing projects such as Agile.

**What it ISN'T:** actual policies or processes.

**How is it structured:** A collection of objectives that are grouped into five domains. The first domain addresses governance objectives and is titled Evaluate, Direct and Monitor (EDM).

EDM is used by the organization's governing body (board of directors, steering committees, etc.) to evaluate options for strategies, balanced scorecards and other approaches to meeting mission and business imperatives, and realizing the organizational vision. This serves as the blueprint for senior management to fulfill their specific roles in supporting the strategies and visions set forth by the organization's governing body.

The remaining four domains contain management directives. These are:  
**Align, Plan and Organize (APO):** Comprised of fourteen objectives, which cover supporting activities for achieving a coherent strategy that enables meeting the goals, objectives and vision set forth in the EDM domain activities.

**Build, Acquire and Implement (BAI):** Eleven objectives that cover defining, acquiring and implementing IT solutions that support meeting business strategies and underlying business processes that are either in the direct or supporting business value chain(s).

**Deliver, Service and Support (DSS):** Six objectives that cover support and operational delivery of IT services (including security and service continuity.)

**Monitor, Evaluate and Assess (MEA):** Four objectives that address monitoring performance, effectiveness and efficiency of the four management domains and the governance domain.

Each objective in the management domain is further broken down into supporting or key management practices, but for clarity they will be aggregated into their respective management objective.

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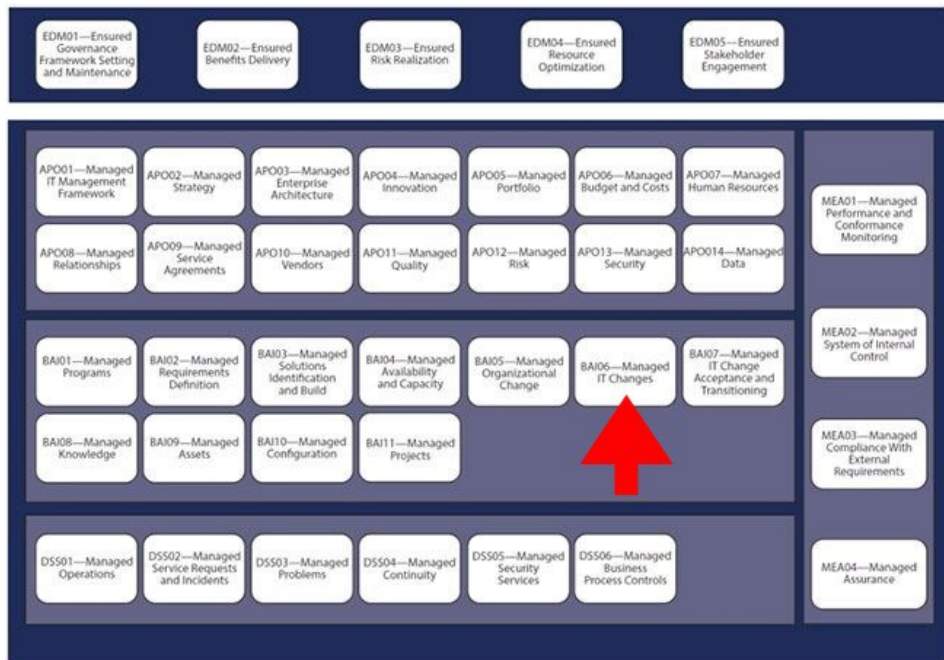
## Practical Example Scenario

Key requirements:

1. Develop a policy to support an IT change management process.
2. Ensure that the policy incorporates COBIT 2019 management objectives.
3. Layout a process workflow and identify which management objective practices will support relevant sub processes.

## Select Management Objective(s)

Identify the main management objective from the map of domains. For simplicity this example will not use any EDM objectives. *Also assumes that you have access to [COBIT 2019 Framework: Governance and Management Objectives](#).*



BAI06, Managed IT Changes, is the most applicable management objective, so that is the one that will be used.



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### Identify Practices

The management practice for managed IT changes, BAI06, has the following practices:

- BAI06.01. Evaluate, prioritize and authorize changes.
- BAI06.02. Manage emergency changes.
- BAI06.03. Track and report change status.
- BAI06.04. Close and document the changes.

### Develop Policy Statements

The following are policy statements that would support the BAI06 management objective that addresses IT change management:

#### **BAI06.01. Evaluate, prioritize and authorize changes.**

- All changes shall be assessed for dependencies with other configuration items and/or services and a determination of risk and potential conflicts be made.
- All changes classified as normal or standard shall be performed within documented maintenance windows.
- All changes classified as emergency shall require an associated incident record.
- All changes classified as standard shall require a test summary report that is approved by designated approving authorities and business process owners prior to being added to the catalog of standard changes.
- Minimal change documentation shall include an implementation plan, backout plan, post implementation validation plan and communication/escalation plan.
- All changes shall be co-approved by affected business process owners.
- All changes that meet criteria as a release shall require completed test summary reports that are signed off by designated approving authorities and affected business process owners.

#### **BAI06.02. Manage emergency changes.**

- All changes classified as emergency shall require an associated incident record.

#### **BAI06.03. Track and report change status.**

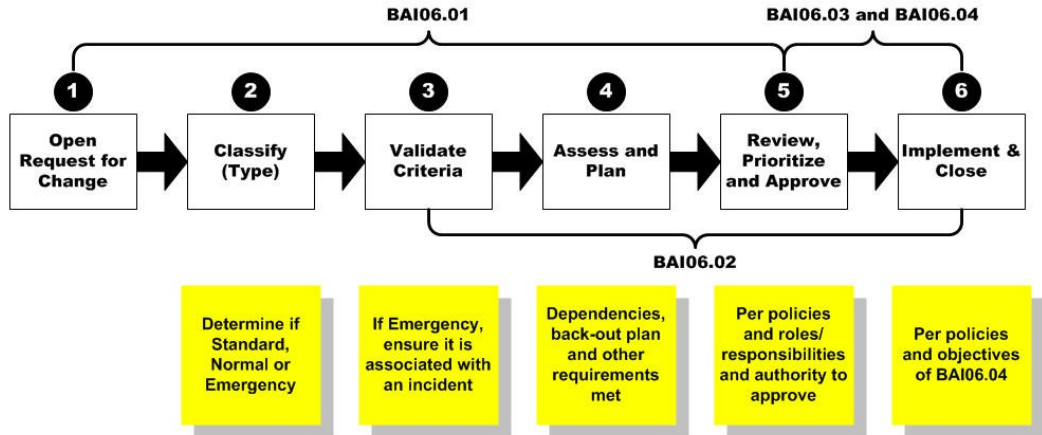
- Any change that is not successfully implemented (including those that require backing out or exceeding maintenance windows) shall require a post implementation review.

#### **BAI06.04. Close and document the changes.**

- Completed changes and releases, and their associated documentation shall be reported to the service desk, configuration manager, architecture, and continuity management/disaster recovery.
- Emergency changes shall not be closed until the associated incident has been closed.

## Insert Objectives Into Workflow and Sub Processes

The following diagram is a generic representation of an IT change management workflow. This workflow will depict milestones in the chain, which are sub processes. The BAI06 management objective practices that are relevant to a sub process (or group of sub processes) will be aligned to them.



**NOTE:** 1 through 6 are sub processes, usually in Plan-Do-Check-Act, Entry-Task-Validate-eXit, Supplier-Input-Process-Output-Customer or other structure process format.

**IMPORTANT:** Policies need to be correlated to sub processes. If a policy statement is not accounted for in any of the sub processes there will exist a misalignment between the policy and the processes that the policy is designed to govern.

## Conclusion

This paper uses a simplified example of how to use COBIT 2019 management objectives as an integral parts of a policy, and the workflow and sub processes that the policy is intended to govern.

In most cases there will be not only a specific management objective from one domain, but also governance objectives, and management objectives from multiple domains. In the latter case a management objective that is aligned to a key process area, and a supporting one, such as one from the MEA domain will be required.

For simplicity purposes the scenario in this paper only addresses a single management objective.