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### IT Governance Study Synopsis

This study is designed to assess the IT governance structures of an organization based on the COBIT IT Governance Framework. The organization that will be studied is the city of San Marcos, TX. Interview will be conducted with employees of the City of San Marcos. The interviews will be summarized to make generalizations about the IT governance structures employed by the City of San Marcos.

Document analysis will be conducted on materials used to document the IT governance structures within the City of San Marcos. No private documents will be used or retained by the study.

Below is a table showing the sections of COBIT that will be used, the objective for each section, the methods that will be employed, the questions that will be asked, and a list of possible documents that can be studied.

**Table:**

CobIT Framework	Method	Evidence
<b>Plan and Organize (PO)</b>		
<p>PO1 - Define a Strategic IT Plan</p> <p>Objective:</p> <p>PO1:</p> <ul style="list-style-type: none"><li>• Determine if a Strategic IT Plan exists</li><li>• Determine implementation of Strategic IT Plan</li></ul>	<ul style="list-style-type: none"><li>• Interview</li><li>• Document Analysis</li></ul>	<p>Interview Questions:</p> <ol style="list-style-type: none"><li>1. Do you know what is meant by the term strategic IT plan?<ul style="list-style-type: none"><li>○ The long term plan for IT in relation to the organizations goals and objectives.</li></ul></li><li>2. Do you have a strategic IT plan?<ul style="list-style-type: none"><li>○ Please describe:</li></ul></li><li>3. Is your strategic IT plan documented?<ul style="list-style-type: none"><li>○ Please describe:</li></ul></li><li>4. Who develops your strategic IT plan?<ul style="list-style-type: none"><li>○ Please describe:</li></ul></li><li>5. Are there any metrics used to evaluate your strategic IT plan?<ul style="list-style-type: none"><li>○ Please describe:</li></ul></li><li>6. Are there any metrics used to better the performance of your strategic IT plan?<ul style="list-style-type: none"><li>○ Please describe:</li></ul></li></ol> <p>Relevant Documentation to Analyze:</p> <ul style="list-style-type: none"><li>• A written strategic IT plan</li><li>• A business plan outline in which IT is integrated</li><li>• An IT portfolio showing IT project plans</li><li>• IT project planning meeting memos and notes</li><li>• Business continuity plan</li><li>• Any document (either outline or detailed) that shows the overall plan for IT.</li></ul>

CobIT Framework	Method	Evidence
<p>PO10 - Manage Projects</p> <p>Objective:</p> <p>PO10:</p> <ul style="list-style-type: none"> <li>• Determine if a project management technique exists</li> <li>• Determine implementation of project management technique</li> </ul>	<ul style="list-style-type: none"> <li>• Interview</li> <li>• Document Analysis</li> </ul>	<p>Interview Questions:</p> <ol style="list-style-type: none"> <li>1. Are you able to list or do you have a document that lists current IT projects? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> <li>2. Do you know what it will take to complete your current IT projects?</li> <li>3. Are IT projects evaluated prior to completion?</li> <li>4. Are reports prepared for senior management on the progress of uncompleted IT projects?</li> <li>5. Are there any metrics used to evaluate uncompleted IT project? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> <li>6. Are the metrics used to better manage IT projects? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> <li>7. Are metrics gathered and then used to make the management process better? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> </ol> <p>Relevant Documentation to Analyze:</p> <ul style="list-style-type: none"> <li>• IT management framework in department manual</li> <li>• IT project list</li> <li>• Reports to senior staff on the progress of IT projects</li> <li>• Meeting notes and memos regarding IT management</li> <li>• Any other documents that outline or report the management of IT projects</li> </ul>

CobIT Framework	Method	Evidence
<b>Acquire and Implement (AI)</b>		
<p>AI4 - Enable Operation and Use</p> <p>Objective:</p> <p>AI4:</p> <ul style="list-style-type: none"> <li>Determine if the organization provides for the operation and use of IT resources</li> <li>Determine implementation of operation and use</li> </ul>	<ul style="list-style-type: none"> <li>Interview</li> <li>Document Analysis</li> </ul>	<p>Interview Questions:</p> <ol style="list-style-type: none"> <li>Is there any training offered over the organization IT systems? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Does IT or management provide documentation of proper use of IT resources? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Is there a framework that outlines the operation of IT resources? <ul style="list-style-type: none"> <li>Please explain:</li> </ul> </li> <li>Is there a framework that outlines the use of IT resources? <ul style="list-style-type: none"> <li>Please explain:</li> </ul> </li> <li>Are there any metrics used to determine the effectiveness of the operation and use of IT resources? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Are metrics used to make operation and use of IT resources better? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Are metrics used to make the operation and use processes better? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> </ol> <p>Relevant Documentation to Analyze:</p> <ul style="list-style-type: none"> <li>Operations manuals</li> <li>User feedback surveys</li> <li>Helpdesk functions</li> <li>Meeting notes and memos regarding operation and use of IT resources</li> <li>Documentation of and operation / use framework for IT resources <ul style="list-style-type: none"> <li>Eg: flowchart</li> <li>Legal, Adopted, or internally developed framework</li> </ul> </li> </ul>

CobIT Framework	Method	Evidence
<p>AI6 - Manage Changes</p> <p>Objective:</p> <p>AI6:</p> <ul style="list-style-type: none"> <li>• Determine if change is managed</li> <li>• Determine implementation of change management</li> </ul>	<ul style="list-style-type: none"> <li>• Interview</li> <li>• Document Analysis</li> </ul>	<p>Interview Questions:</p> <ol style="list-style-type: none"> <li>1. Does an individual or group assess the changes to software or hardware prior to implementation? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> <li>2. Is a change management process outlined and defined? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> <li>3. Are there any metrics gathered to determine the effectiveness of the change management process? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> <li>4. Are metrics used to make the changed management processes better? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> </ol> <p>Relevant Documentation to Analyze:</p> <ul style="list-style-type: none"> <li>• System change management documentation</li> <li>• Change management outline in a manual</li> <li>• Meeting notes or memos regarding the evaluation of changes to the organizations IT resources</li> </ul>

CobIT Framework	Method	Evidence
<b>Deliver and Support (DS)</b>		
<p>DS1 - Define and Manage Service Levels</p> <p>Objective:</p> <p>DS1:</p> <ul style="list-style-type: none"> <li>Determine if service levels are defined and managed</li> <li>Determine implementation of service level definition</li> </ul>	<ul style="list-style-type: none"> <li>Interview</li> <li>Document Analysis</li> </ul>	<p>Interview Questions:</p> <ol style="list-style-type: none"> <li>Does someone set service levels prior to the start of an IT project? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Do you use service level agreements either with your clients, with contractors, or within your organization? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Is there a framework for managing service levels? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Are service levels ever discussed or set prior to the implementation of a contract or interdepartmental project? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Is there a committee or management that evaluates service levels prior to implementation, during implementation, or post implementation of an IT project? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Are there metrics used to measure service levels in IT projects? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Is analysis of service levels used to make service level evaluation better? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> </ol> <p>Relevant Documentation to Analyze:</p> <ul style="list-style-type: none"> <li>Service Level Agreements within the organization or in contracts</li> <li>Service level framework in a manual</li> <li>Service level analysis documentation</li> <li>Business continuity plan</li> <li>Meeting notes or memos covering service level management</li> </ul>

CobIT Framework	Method	Evidence
<p>DS7 - Educate and Train Users</p> <p>Objective:</p> <p>DS7:</p> <ul style="list-style-type: none"> <li>Determine if users are trained and educated about IT resources</li> </ul> <p>Determine implementation of user education and training</p>	<ul style="list-style-type: none"> <li>Interview</li> <li>Document Analysis</li> </ul>	<p>Interview Questions:</p> <ol style="list-style-type: none"> <li>Is any training provided to new or existing employees regarding the use of IT resources? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Is there a group that plans IT training for the organization (does not have to be internal)? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Is there a group that implements IT training for the organization (does not have to be internal)? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Must any employee maintain a continuing education requirement in IT related areas? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Are there any metrics used to evaluate the effectiveness of a training program? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Is there an overall training evaluation used to improve the training process? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> </ol> <p>Relevant Documentation to Analyze:</p> <ul style="list-style-type: none"> <li>Training manuals</li> <li>Automated training</li> <li>CPE certificate (or documentation of CPE credits)</li> <li>New employee handbook</li> </ul>

CobIT Framework	Method	Evidence
<p>DS13 – Manage Operations</p> <p>Objective:</p> <ul style="list-style-type: none"> <li>• Determine if Operations are Managed</li> <li>• Determine implementation of Operations Management</li> </ul>	<ul style="list-style-type: none"> <li>• Interview</li> <li>• Document Analysis</li> </ul>	<ol style="list-style-type: none"> <li>1. Do policies and procedures exist for the day to day operations of the IT Department?</li> <li>2. Are these policies and procedures developed by an individual or a group?</li> <li>3. If policies and procedures are developed by a group, does this group contain non-IT personnel?</li> <li>4. If policies and procedures are developed by a group, does the group contain any non-IT members from senior management?</li> <li>5. Are policies and procedures reviewed periodically for relevance?</li> <li>6. Are there any metrics generated that are used in managing operations within the IT department?</li> <li>7. Are these metrics used to increase the operations of the IT department?</li> </ol>



CobIT Framework	Method	Evidence
<b>Monitor and Evaluate (ME)</b>		
<p>ME1 - Monitor and Evaluate IT Performance</p> <p>Objective:</p> <p>ME1:</p> <ul style="list-style-type: none"> <li>Determine if IT performance is monitored and evaluated</li> <li>Determine implementation of IT performance monitoring and evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Interview</li> <li>Document Analysis</li> </ul>	<p>Interview Questions:</p> <ol style="list-style-type: none"> <li>Is there an individual that evaluates the performance of IT? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Is there a framework for evaluating IT performance? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Is there a group that evaluates IT based on a defined framework? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Is senior management ever notified of the evaluation of IT? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Does senior management ever offer their evaluation of IT? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Are there metrics used to evaluate IT performance? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> <li>Is there a process where evaluation of IT performance is used to increase overall IT performance? <ul style="list-style-type: none"> <li>Please describe:</li> </ul> </li> </ol> <p>Relevant Documentation to Analyze:</p> <ul style="list-style-type: none"> <li>IT performance evaluation framework</li> <li>Meeting notes or memos regarding IT evaluation</li> <li>Documentation of IT optimization processes and procedures</li> <li>Meeting notes and memos to senior management regarding IT evaluations</li> <li>Meeting notes and memos from senior management regarding IT evaluations</li> <li>User surveys</li> <li>Any documentation of the IT evaluation process</li> </ul>

CobIT Framework	Method	Evidence
<p>ME4 - Provide IT Governance</p> <p>Objective:</p> <p>ME4:</p> <ul style="list-style-type: none"> <li>• Determine if the organization provides IT governance</li> <li>• Determine implementation of IT Governance</li> </ul>	<ul style="list-style-type: none"> <li>• Interview</li> <li>• Document Analysis</li> </ul>	<p>Interview Questions:</p> <ol style="list-style-type: none"> <li>1. Has your organization adopted or created an IT governance framework? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> <li>2. Does your organization implement the IT governance framework? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> <li>3. Is there a group that evaluates IT governance? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> <li>4. Does senior management reinforce IT governance within the organization? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> <li>5. Are there any metrics used to evaluate the use of the IT governance framework? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> <li>6. Is there a process that evaluates IT governance within your organization in order to better implement IT governance? <ul style="list-style-type: none"> <li>○ Please describe:</li> </ul> </li> </ol> <p>Relevant Documentation to Analyze:</p> <ul style="list-style-type: none"> <li>• Organization IT governance framework</li> <li>• IT governance implementation process</li> <li>• Meeting notes or memos showing the integration of IT governance by senior management</li> <li>• IT governance evaluation documentation</li> <li>• Any documentation outlining the IT governance framework and the subsequent implementation of the framework.</li> </ul>