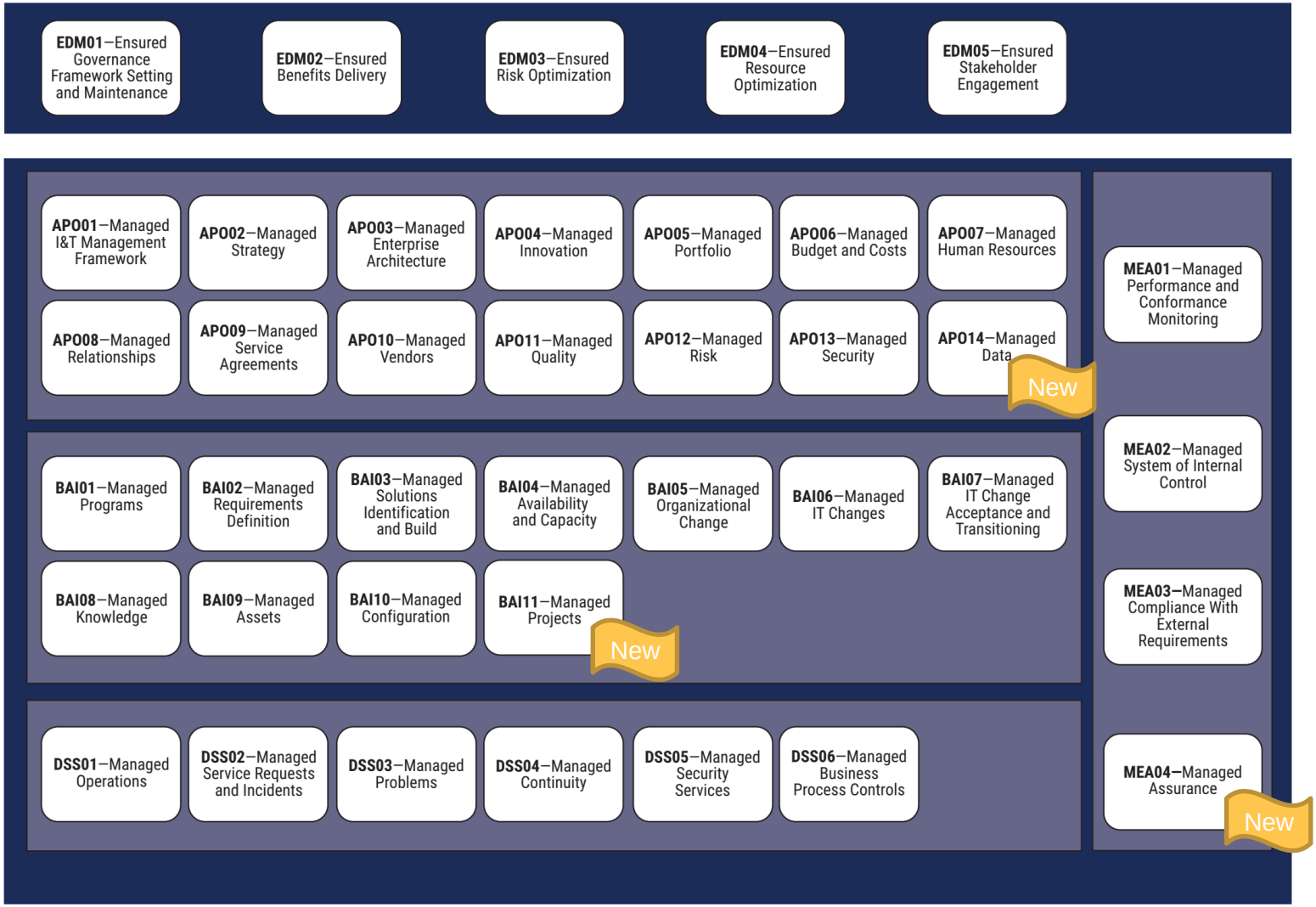
Pertemuan 6

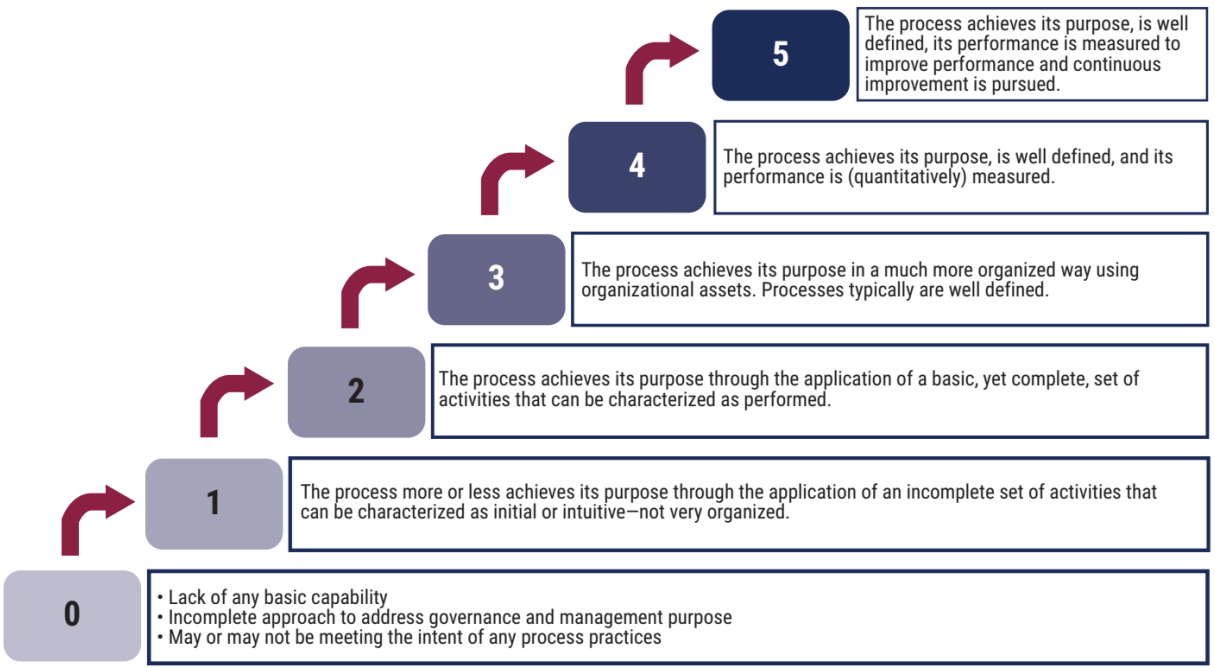
Pemanfaatan tools audit dan tata kelola IT

COBIT 2019 Core Model



Managing Performance of Processes
Process Capability Levels

Figure 6.2—Capability Levels for Processes

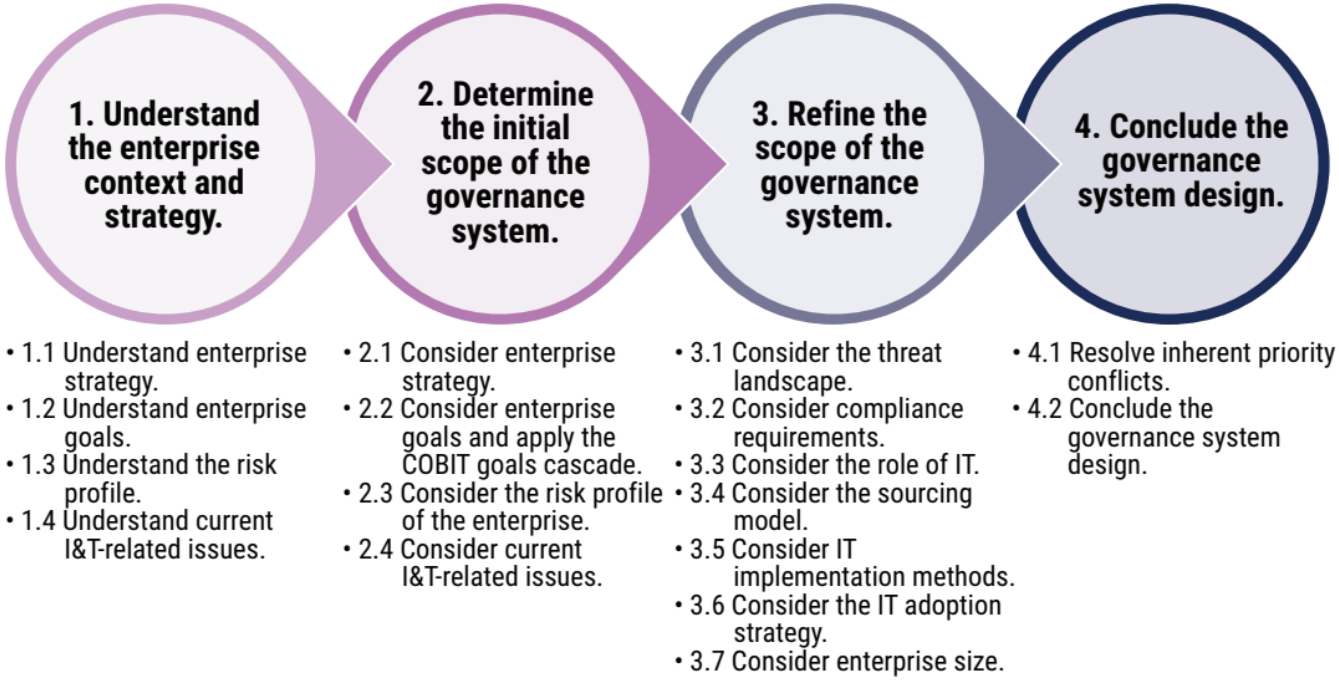


Tingkat Kapabilitas dari Proses

Tingkat	Karakteristik
0	1. Kurangnya dasar kapabilitas 2. Pendekatan yang tidak lengkap untuk manangani tujuan tata kelola dan manajemen 3. Mungkin memenuhi, mungkin tidak memenuhi maksud dari praktik proses
1	Proses kurang lebih mencapai tujuannya melalu penerapan serangkaian kegiatan yang tidak lengkap yang dapat dikategorikan sebagai awal atau intuitif – tidak terlalu terorganisir
2	Proses mencapai tujuannya melalui penerapan serangkaian kegiatan dasar yang lengkap dan kegiatannya dapat dikategorikan telah dilakukan *(performed)*
3	Proses mencapai tujuannya dengan cara yang jauh lebih terorganisir menggunakan asset organisasi. Proses biasanya didefinisikan dengan baik
4	Proses mencapai tujuannya, didefinisikan dengan baik, dan kinerjanya dapat diukur secara kuantitatif.
5	Proses mencapai tujuannya, didefinisikan dengan baik, kinerjanya diukur untuk meningkatkan kinerja dan dilakukan perbaikan berkelanjutan

Designing a Tailored Governance System
Governance System Design Workflow

Figure 7.2—Governance System Design Workflow



Designing a Tailored Governance System
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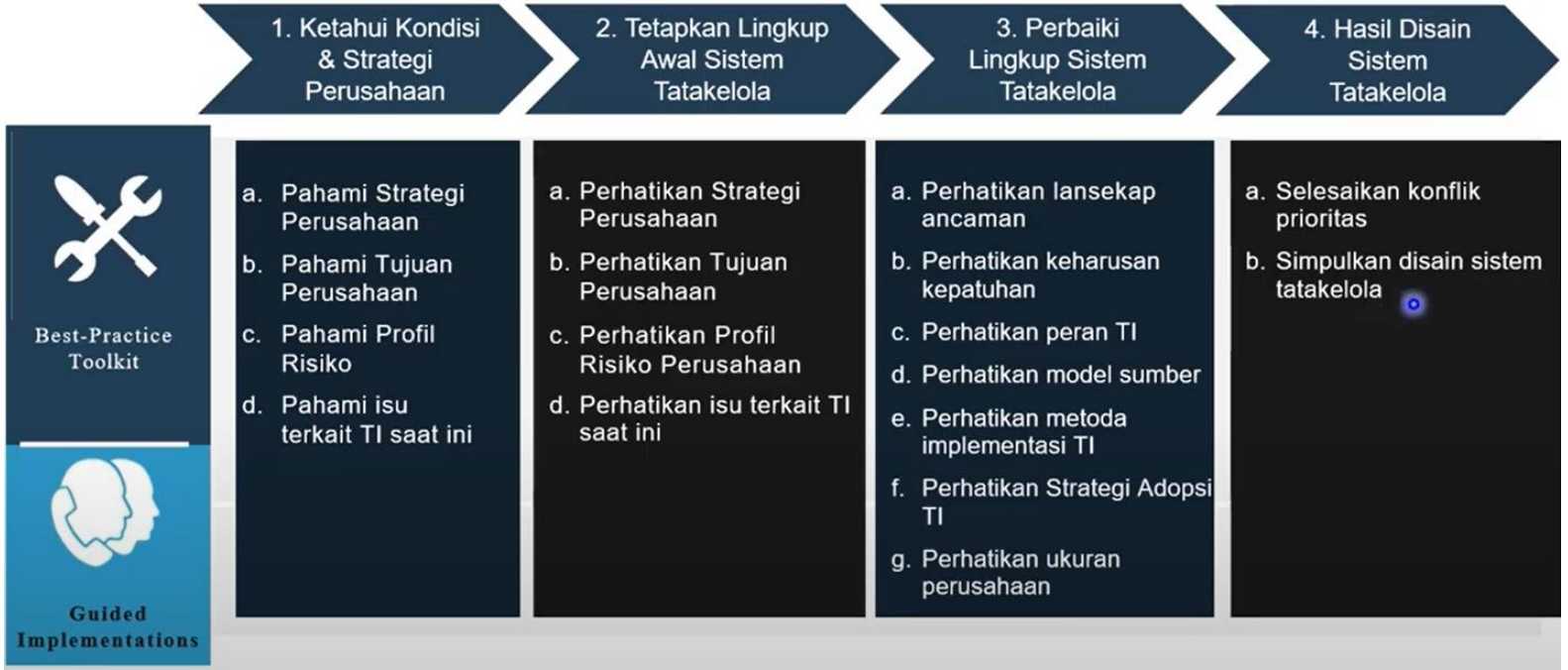


https://www.youtube.com/watch?v=GsO4Qjb1-xA

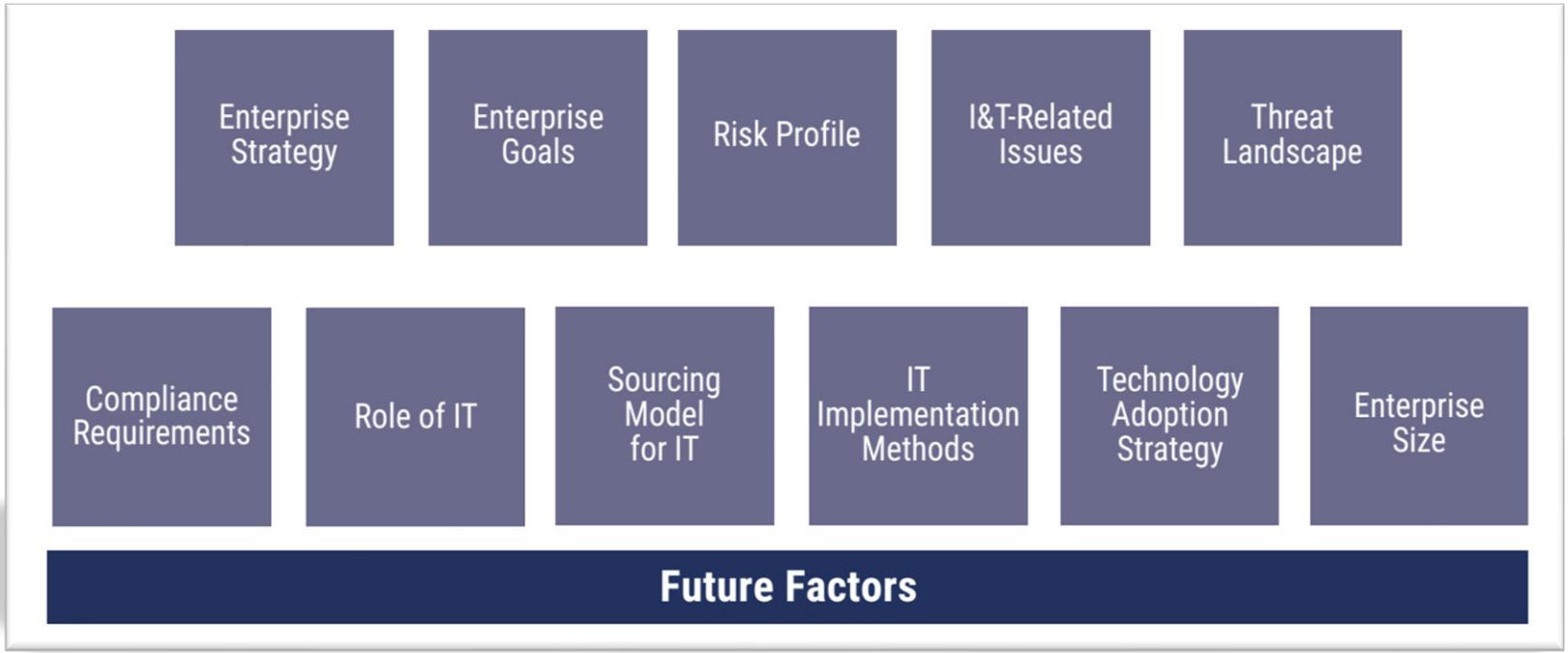
Pemanfaatan Tools

- Download COBIT 2019 Design Toolkit yang terdapat pada bagian “Modul”
- Di dalam toolkit terdapat:
  - ✓ DF1 dan DF1map s.d DF10 dan DF10map
  - ✓ Untuk DF1 sd DF4 terdapat Step 2 Summary & Dashboard 1
  - ✓ Untuk DF5 sd DF10 terdapat Step 3 Summary & Dashboard 2
  - ✓ Rekap Dari DF1 sd DF10 terdapat pada Canvas (sebagai output akhir)

Guideline untuk Design Factor
Terdapat pada bagian Modul :

“COBIT 2019 - Designing an Information and Technology Governance Solution (Translated)”

11 Design Factors



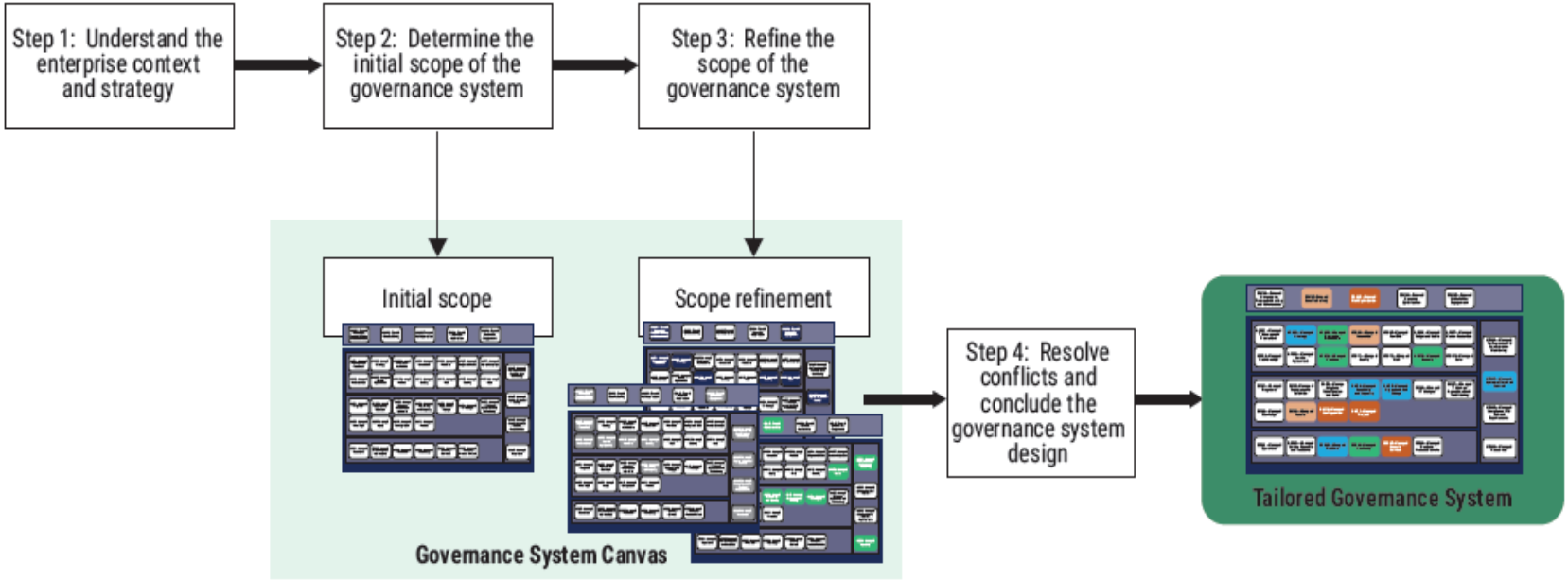
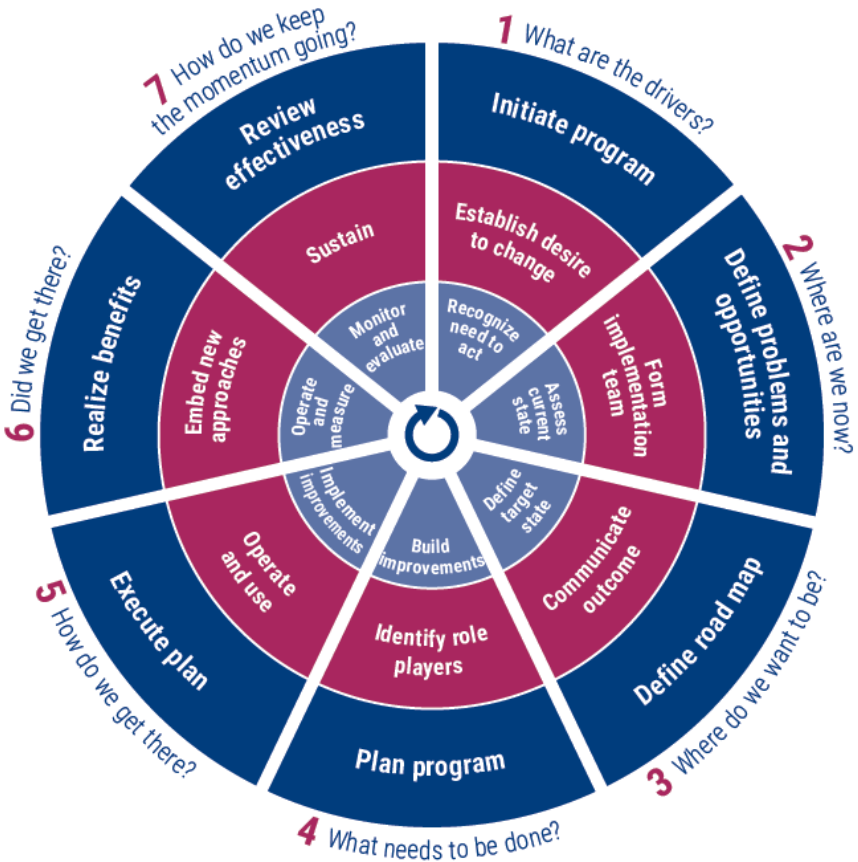

Step 1: Understand the enterprise context and strategy
Step 2: Determine the initial scope of the governance system
Step 3: Refine the scope of the governance system
Initial scope
Scope refinement
Governance System Canvas
Step 4: Resolve conflicts and conclude the governance system design
Tailored Governance System

Figure 5.1—COBIT Implementation Roadmap



- **Program management** (outer ring)
- **Change enablement** (middle ring)
- **Continual improvement life cycle** (inner ring)

DF 1 - Enterprise strategy

Figure 4.5—Enterprise Strategy Design Factor	
Strategy Archetype	**Explanation**
Growth/Acquisition	The enterprise has a focus on growing (revenues).[10]
Innovation/Differentiation	The enterprise has a focus on offering different and/or innovative products and services to their clients.[11]
Cost Leadership	The enterprise has a focus on short-term cost minimization.[12]
Client Service/Stability	The enterprise has a focus on providing stable and client-oriented service.[13]

DF 2 - Enterprise goal

Figure 4.6—Enterprise Goals Design Factor		
Reference	**Balanced Scorecard (BSC) Dimension**	**Enterprise Goal**
EG01	Financial	Portfolio of competitive products and services
EG02	Financial	Managed business risk
EG03	Financial	Compliance with external laws and regulations
EG04	Financial	Quality of financial information
EG05	Customer	Customer-oriented service culture
EG06	Customer	Business-service continuity and availability
EG07	Customer	Quality of management information
EG08	Internal	Optimization of internal business process functionality
EG09	Internal	Optimization of business process costs
EG10	Internal	Staff skills, motivation and productivity
EG11	Internal	Compliance with internal policies
EG12	Growth	Managed digital transformation programs
EG13	Growth	Product and business innovation

DF 3 - Risk profile

Figure 4.7—Risk Profile Design Factor (IT Risk Categories)	
Reference	**Risk Category**
1	IT investment decision making, portfolio definition and maintenance
2	Program and projects lifecycle management
3	IT cost and oversight
4	IT expertise, skills and behavior
5	Enterprise/IT architecture
6	IT operational infrastructure incidents
7	Unauthorized actions
8	Software adoption/usage problems
9	Hardware incidents
10	Software failures
11	Logical attacks (hacking, malware, etc.)
12	Third party/supplier incidents
13	Noncompliance
14	Geopolitical issues
15	Industrial action
16	Acts of nature
17	Technology-based innovation
18	Environmental
19	Data and information management

DF4 - I&T-Related issues

Figure 4.8—I&T-Related Issues Design Factor	
Reference	**Description**
A	Frustration between different IT entities across the organization because of a perception of low contribution to business value
B	Frustration between business departments (i.e., the IT customer) and the IT department because of failed initiatives or a perception of low contribution to business value
C	Significant IT-related incidents, such as data loss, security breaches, project failure and application errors, linked to IT
D	Service delivery problems by the IT outsourcer(s)
E	Failures to meet IT-related regulatory or contractual requirements
F	Regular audit findings or other assessment reports about poor IT performance or reported IT quality or service problems
G	Substantial hidden and rogue IT spending, that is, IT spending by user departments outside the control of the normal IT investment decision mechanisms and approved budgets
H	Duplications or overlaps between various initiatives, or other forms of wasted resources
I	Insufficient IT resources, staff with inadequate skills or staff burnout/dissatisfaction
J	IT-enabled changes or projects frequently failing to meet business needs and delivered late or over budget
K	Reluctance by board members, executives or senior management to engage with IT, or a lack of committed business sponsorship for IT
L	Complex IT operating model and/or unclear decision mechanisms for IT-related decisions
M	Excessively high cost of IT
N	Obstructed or failed implementation of new initiatives or innovations caused by the current IT architecture and systems
O	Gap between business and technical knowledge, which leads to business users and information and/or technology specialists speaking different languages
P	Regular issues with data quality and integration of data across various sources
Q	High level of end-user computing, creating (among other problems) a lack of oversight and quality control over the applications that are being developed and put in operation
R	Business departments implementing their own information solutions with little or no involvement of the enterprise IT department[16]
S	Ignorance of and/or noncompliance with privacy regulations
T	Inability to exploit new technologies or innovate using I&T

DF 5 - Threat Landscape

Figure 4.9—Threat Landscape Design Factor	
Threat Landscape	**Explanation**
Normal	The enterprise is operating under what are considered normal threat levels.
High	Due to its geopolitical situation, industry sector or particular profile, the enterprise is operating in a high-threat environment.

DF 6 - Compliance Requirements

Figure 4.10—Compliance Requirements Design Factor	
Regulatory Environment	**Explanation**
Low compliance requirements	The enterprise is subject to a minimal set of regular compliance requirements that are lower than average.
Normal compliance requirements	The enterprise is subject to a set of regular compliance requirements that are common across different industries.
High compliance requirements	The enterprise is subject to higher-than-average compliance requirements, most often related to industry sector or geopolitical conditions.

DF 7 - Role of IT

Figure 4.11—Role of IT Design Factor	
Role of IT[17]	**Explanation**
Support	IT is not crucial for the running and continuity of the business process and services, nor for their innovation.
Factory	When IT fails, there is an immediate impact on the running and continuity of the business processes and services. However, IT is not seen as a driver for innovating business processes and services.
Turnaround	IT is seen as a driver for innovating business processes and services. At this moment, however, there is not a critical dependency on IT for the current running and continuity of the business processes and services.
Strategic	IT is critical for both running and innovating the organization's business processes and services.

DF 8 - Sourcing Model for IT

Figure 4.12—Sourcing Model for IT Design Factor	
Sourcing Model	**Explanation**
Outsourcing	The enterprise calls upon the services of a third party to provide IT services.
Cloud	The enterprise maximizes the use of the cloud for providing IT services to its users.
Insourced	The enterprise provides for its own IT staff and services.
Hybrid	A mixed model is applied, combining the other three models in varying degrees.

DF 9 - IT Implementation Method

Figure 4.13—IT Implementation Methods Design Factor	
IT Implementation Method	**Explanation**
Agile	The enterprise uses Agile development working methods for its software development.
DevOps	The enterprise uses DevOps working methods for software building, deployment and operations.
Traditional	The enterprise uses a more classic approach to software development (waterfall) and separates software development from operations.
Hybrid	The enterprise uses a mix of traditional and modern IT implementation, often referred to as “bimodal IT.”

DF 10 - Technology Adoption Strategy

Figure 4.14—Technology Adoption Strategy Design Factor	
Technology Adoption Strategy	**Explanation**
First mover	The enterprise generally adopts new technologies as early as possible and tries to gain first-mover advantage.
Follower	The enterprise typically waits for new technologies to become mainstream and proven before adopting them.
Slow adopter	The enterprise is very late with adoption of new technologies.

DF 11 - Enterprise Size

Figure 4.15—Enterprise Size Design Factor	
Enterprise Size	**Explanation**
Large enterprise (Default)	Enterprise with more than 250 full-time employees (FTEs)
Small and medium enterprise	Enterprise with 50 to 250 FTEs