

Cobit Audit Questionnaire: P01 Define a Strategic IT Plan

INSTRUCTIONS:

Please respond to each question by placing an "X" in the "Yes", "No" or "N/A" column and by providing the information requested. Use the "Tab" key to move between items. Use the "Supporting information" field for explanatory comments regarding how a particular objective is met. This information, together with your attached documentation, will provide the evidence required to establish compliance with each given objective. Please note that there is also room provided for further comment at the end of the questionnaire. Any comments entered in this section should reference the item being explained (e.g. RE: Item 1.1.1).

Copies of all related documentation are required. Please record the filename and specific section/paragraph reference for each document in the appropriate space for each question.

Questionnaire completed by:

Contact number for follow-up questions:

Date Completed:

PO1.1 IT Value Management

Number	Question	Yes	No	N/A
PO1.1.1	Is there a process in place to determine which IT services and projects are commissioned based upon a solid business case analysis? <i>If you answered "No" to this question, skip to P01.2, Business-IT Alignment</i> Supporting information: Supporting documentation:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.1.2	Does the process distinguish between mandatory, sustaining and discretionary investments in IT? Supporting information: Supporting documentation:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.1.3	Are the costs, timeliness and functionality of all IT services monitored in such a way as to provide early warning for any deviations from plan? Supporting information: Supporting documentation:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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Number	Question	Yes	No	N/A
PO1.1.4	Are there equitable and enforceable Service Level Agreements (SLA) in place? Supporting information: Sample SLAs:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.1.5	Is the responsibility and accountability for achieving the benefits and controlling costs clearly assigned? Supporting information: Supporting documentation:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.1.6	Is the business case review and evaluation process fair, transparent, repeatable and comparable, using a standardized practice that includes financial worth, the risk of not delivering a capability and the risk of not realizing the expected benefits? Supporting information: Supporting documentation:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PO1.2 Business-IT Alignment

Number	Question	Yes	No	N/A
PO1.2.1	Is there a strategic planning process in place that is designed to ensure that IT services are aligned and integrated with organizational goals and objectives? <i>If you answered "No" to this question, skip to P01.3, Assessment of Current Capability and Performance</i> Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.2.2	Is the process bi-directional, including input from both major stakeholder and IT perspectives? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.2.3	Does this process occur at the executive cabinet level? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.2.4	Does the process allow for sufficient mediation between organization an IT imperatives and produce mutually agreed priorities? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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PO1.3 Assessment of Current Capability and Performance

Number	Question	Yes	No	N/A
PO1.3.1	Are there processes in place to assess and capability and performance of IT services and solutions? <i>If you answered "No" to this question, skip to P01.4, IT Strategic Plan</i> Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.3.2	Is the assessment process used to establish baseline data against which future requirements can be compared? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.3.3	Is performance defined in such a way as to determine IT contribution to organizational objectives, functionality, stability, complexity, costs, strengths and weaknesses? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PO1.4 IT Strategic Plan

Number	Question	Yes	No	N/A
PO1.4.1	Is there a process in place to develop an IT strategic plan that defines how IT goals will contribute to the enterprise's strategic objectives and related costs and risks? <i>If you answered "No" to this question, skip to P01.5, IT Tactical Plans</i> <i>If you answered "Yes" to this question, please include a copy of the IT strategic plan.</i> Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.4.2	Does the plan define how IT will support IT-enabled programs, IT services and IT assets? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.4.3	Does the plan define: <ul style="list-style-type: none"> • How IT will meet the objectives? • The measurements to be used? • The procedures for formal sign-off from stakeholders? Supporting Information:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
PO1.4.4	Does the plan cover budget, funding sources, sourcing strategy, acquisition strategy, and legal and regulatory requirements? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.4.5	At what level in the organization are changes to the IT strategic plan authorized?			
PO1.4.6	What period of time is covered by the IT strategic plan?			
PO1.4.7	Please describe the process and interval for updating the IT strategic plan:			



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Number	Question	Yes	No	N/A
PO1.4.8	Is the plan sufficiently detailed to allow for the definition of tactical IT plans? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PO1.5 IT Tactical Plans

Number	Question	Yes	No	N/A
PO1.5.1	Is there a process in place to develop a portfolio of tactical IT plans that are derived from the IT strategic plan? <i>If you answered "No" to this question, skip to P01.6, Portfolio Management</i> <i>If you answered "Yes" to this question, please include sample copies of your IT tactical plans.</i> Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.5.2	Do the plans address all IT-enabled programs, IT services and IT assets? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.5.3	Do the plans describe the required IT initiatives and resource requirements? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.5.4	Do the plans describe how the use of resources and achievement of benefits will be monitored and managed? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.5.5	What period of time do the IT tactical plans cover?			
PO1.5.6	Are the plans sufficiently detailed to allow for the creation of IT project plans? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.5.7	Are the plans actively managed through analysis of project and service portfolios? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PO1.6 IT Portfolio Management

Number	Question	Yes	No	N/A
PO1.6.1	Is there a process in place by which the portfolio of IT-enabled programs and services is managed? <i>If you answered "No" to this question, you have completed Cobit Process P01, Define a Strategic Plan</i> <i>If you answered "Yes" to this question, please include a sample of your IT service portfolio.</i> Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.6.2	Who participates in the process?			



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PO1.6.3	Does the process identify, define, evaluate, prioritize and manage IT programs based upon the requirements to achieve specific organizational goals and objectives? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.6.4	Does the process clarify desired organizational outcomes and ensure that program objectives support those outcomes? Supporting information:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.6.5	Does the process: <ul style="list-style-type: none"> • Assign clear accountability? • Define projects associated with appropriate programs? • Allocate resources and funding? • Delegate authority? • Commission required projects? Supporting Information:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
PO1.6.6	Does the process address organization processes and workflow and attempt to use value-added capabilities by leveraging the use of applications and technologies through business process reengineering?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PO1.6.7	Does the process serve to determine both the internal and external resource requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional Information for the Audit Team: General Information

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