

# **COBIT**<sup>®</sup> 5 Foundation

## **Syllabus**

## 1. Introduction

The COBIT 5 'Business Framework for the Governance and Management of Enterprise IT' introduces the candidate to the five basic principles which are covered in detail and includes extensive guidance on enablers for governance and management of enterprise IT. Also included is the COBIT Process Assessment Model (PAM) using COBIT 5. This is an expansion of Chapter 8 of the guide and reflects key pieces of foundation knowledge. Extracts from the Enabling process guide are also being tested; however whilst we encourage ATO's to use this guide in their training material, the purpose of this guide is as a reference guide for the revised COBIT 5 processes and it is not possible to test much of this as most of the examinable concepts are in the framework and have already been included in the syllabus.

## 2. Foundation Certificate

### 2.1 Purpose of the COBIT 5 Foundation Certificate

The purpose of the Foundation certificate is to confirm that a candidate has sufficient knowledge and understanding of the COBIT 5 guidance to be able to understand the enterprise Governance and Management of Enterprise IT, create awareness with their business executives and senior IT Management; assess the current state of their Enterprise IT with the objective of scoping what aspects of COBIT 5 would be appropriate to implement. The Foundation level training and certificate is also a pre-requisite for the following training and certificate courses:

- COBIT 5 Implementation Training & certificate
- COBIT 5 Assessor Training & certification

### 2.2 Target Audience for the COBIT 5 Foundation Level training and Certificate

Business Management, Chief Executives, IT /IS Auditors, Internal Auditors, Information Security and IT Practitioners; Consultants, IT/IS Management looking to gain an insight into the Enterprise Governance of IT and looking to be certified as a COBIT Implementer or Assessor.

### 2.3 High Level Performance Definition of a Successful Foundation Candidate (Learning Outcomes)

The candidate should understand the key principles and terminology within COBIT 5. Specifically the candidate should **know and understand**:

- The COBIT 5 Product Architecture
- The IT management issues and challenges that affect enterprises
- The 5 Key Principles of COBIT 5 for the governance and management of Enterprise IT
- How COBIT 5 enables IT to be governed and managed in a holistic manner for the entire enterprise
- How the COBIT 5 processes and the Process Reference Model (PRM) help guide the creation of the 5 Principles and the 7 Governance and Management Enablers
- The basic concepts for the Implementation of COBIT 5
- The components and purpose of the Enabling Process Guide

- The basic concepts of a RACI and how they are used in COBIT 5
- The basic concepts of the new Process Assessment Model
- The COBIT 5 guides and how they interrelate

### 3. Learning Outcomes Assessment Model

A classification widely used when designing assessments for certification and education is the Bloom's Taxonomy of Educational Objectives. This classifies learning objectives into six ascending learning levels/categories, each defining a higher degree of competencies and skills (Bloom et al, 1956, Taxonomy of Educational Objectives).

PEOPLECERT have incorporated this into a Learning Outcomes Assessment Model which is used to provide a simple and systematic means for assessing and classifying the learning outcomes for PEOPLECERT qualifications.

This structured approach helps to ensure:

- A clear delineation in learning level content between different qualification levels
- Learning outcomes are documented consistently across different areas of the guidance
- Exam questions and papers are consistent and are created to a similar level of difficulty

The Foundation exam focuses on the following **two (2)** levels/categories (1: knowledge and 2: comprehension) in the cognitive domain of Bloom's taxonomy<sup>1</sup>:

- **Knowledge**
- **Comprehension**

#### 3.1 Entry Criteria/Training Requirements

For this examination, there are no formal entry criteria or training requirements.

#### 3.2 Assessment Approach

The assessment approach used by PEOPLECERT focuses on the **six basic** categories of Knowledge, Comprehension, Application, Analysis, Evaluation and Creation. At the Foundation level, the applicable categories (knowledge and comprehension) are applied to individual skills.

**Knowledge** is defined as recalling previously learned material, from facts to theories and represents the lowest level of learning outcomes in the cognitive domain. Such learning outcomes are turned in assessment objectives that include knowing and recalling such as:

- Common and/or basic terms, definitions, concepts and principles
- Specific compliance requirements and facts
- Processes, procedures and assessment methods

**Comprehension** is the lowest level of understanding and entails the ability to grasp the meaning of the material taught, including some elements of interpretation, translation or estimation during the process.

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<sup>1</sup> The Bloom's taxonomy defines **six (6)** levels of learning in the **cognitive** domain (know, comprehend, apply, analyze, evaluate, create), which are both sequential and cumulative and move from the simple to the complex. In order to achieve the 6th level of learning, it must be ensured that the previous five levels have been mastered.

Such learning outcomes and in turn assessment objectives go beyond simply recalling information and may include:

- Understanding facts, concepts and principles
- Interpreting material (i.e. charts, graphs, text)
- Justifying a process, procedure and assessment method

The assessment incorporates the above learning outcomes as it uses assessment objectives that cater for the above cognitive domain categories.

### 3.3 Examination Format

The following table details the examination format:

Delivery	Computer (web) or Paper based
<b>Type</b>	<b>50 Multiple choice questions</b> <i>Single response, one of four possible answers</i> <i>Each question is awarded one (1) mark</i>
<b>Duration</b>	<b>40 minutes</b> <i>For non-native speakers or candidates with a disability, an additional 10 minutes of extra time is allowed.</i>
<b>Pass Mark</b>	<b>50% (20 or more marks)</b>
<b>Invigilator / Supervisor / Proctor</b>	<b>Yes</b> <i>Physical or Online Proctoring</i>
<b>Open Book</b>	<b>No</b> <i>No materials are allowed in the examination room</i>
<b>Prerequisites</b>	<b>None</b>
<b>Distinction</b>	<b>N/A</b>
<b>Certification validity</b>	<b>Perpetual</b>

The tests are derived from a regularly updated question test bank (QTB) based on the test specification detailed below. Questions are used interchangeably among test sets. The overall difficulty level of each test is the same with any other test. A candidate is never assigned the same test in the case of multiple examination attempts.

## 4. Syllabus

### 4.1 Syllabus Areas

The syllabus is presented by syllabus areas. This is the unit of learning which may relate to a chapter from the manual/guidance or several concepts commonly grouped together in a training course module. The following syllabus areas are identified.

Syllabus Area Code	Syllabus Area Title
<b>PR</b>	<b>The COBIT 5 Principles</b>
<b>EN</b>	<b>The COBIT 5 Enablers</b>
<b>IM</b>	<b>Introduction to COBIT 5 Implementation</b>
<b>PC</b>	<b>Process Capability Assessment Model</b>

### 4.2 Syllabus Presentation

For each syllabus area learning outcomes for each learning level are identified. Each learning outcome is then supported by a description of the requirements that a candidate is expected to meet to

demonstrate that the learning outcome has been achieved at the qualification level indicated. These are shown as syllabus topics.

All **Foundation** level requirements must be met before a candidate can move onto the Implementation and Assessor training and certificate program. Foundation level knowledge and understanding will not be repeated in more advanced courses but can be used when demonstrating application and analysis learning outcomes.

Each of the syllabus areas is presented in a similar format as follows:

Syllabus Area Code PR [2]		Syllabus Area: QUAL Syllabus Area (XX) Theme [1]	FND	Primary References
Level	Topic			
		<b>Know facts, terms and concepts relating to the syllabus area. [3]</b> <b>Specifically to recall:</b>		
01 [4]	01 [5]	[6]	[7]	[8]
01	02			

**Key to the Syllabus Area table**

[1]	Syllabus Area	Unit of learning, e.g. chapter of the reference guide or course module.
[2]	Syllabus Area Code	A unique 2 character code identifying the syllabus area.
[3]	Learning Outcome	A statement of what a candidate will be expected to know, understand or do.
	<i>(topic header shown in bold)</i>	
[4]	Level	Classification of the learning outcome against the APMG OTE Learning Outcomes Assessment Model.
[5]	Topic Reference	Number of the topic within the learning level.
[6]	Topic Description	Description of what is required of the candidate to demonstrate that a learning outcome has been achieved at the qualification level indicated
[7]	FND	Shows at which qualification level the topic is assessed.
[8]	Primary Reference	The main reference supporting the topic.

**4.2 Important Points**

The following points about the use of the syllabus should be noted.

**COBIT 5 Guide References**

The COBIT 5 guide references provided should be considered to be indicative rather than comprehensive, i.e. there may be other valid references within the guidance. The main reference guides for the COBIT 5 Foundation certificate are:

- COBIT 5 - 'A Business Framework for the Governance and Management of Enterprise IT'. Most references to chapters, figures and appendices shown in the reference column below are sourced from this guide
- The 'COBIT Process Assessment Model (PAM) – using COBIT 5'
- Extracts from the Enabling Process Guide

**4.3 Syllabus Exclusions**

None.

**4.4 Detailed Syllabus**

The following table presents the detailed syllabus for the COBIT® 5 Foundation certification:

Syllabus Area Code PR		Syllabus Area: The COBIT 5 Principles	FN D	Primary References
<b>Know facts and terms relating to the five Principles of COBIT 5. Specifically to recall:</b>				
01	01	The names and Key aspects of the five key Principles for governance and management of IT <ul style="list-style-type: none"> <li>• Principle 1 – Meeting Stakeholder Needs</li> <li>• Principle 2 – Covering the Enterprise End-to-End</li> <li>• Principle 3 – Applying a Single Integrated Framework</li> <li>• Principle 4 – Enabling a Holistic Approach</li> <li>• Principle 5 – Separating Governance from Management</li> </ul>	✓	Figure 2 Principles model page 13 executive summary
01	02	The names and descriptions of the seven categories of Enablers that influence how the governance and management of IT works: <ul style="list-style-type: none"> <li>• Enabler 1 – Principles, Policies and Frameworks</li> <li>• Enabler 2 – Processes</li> <li>• Enabler 3 – Organizational Structures</li> <li>• Enabler 4 – Culture, Ethics and Behavior</li> <li>• Enabler 5 – Information</li> <li>• Enabler 6 – Services, Infrastructure and Applications</li> <li>• Enabler 7 – People, Skills and Competencies.</li> </ul>	✓	Figure 12 Chapter 5 Page 27
01	03	The Process Reference Model Governance Domain, specifically, the names of the five process in the Governance Domain.	✓	Chapter 6 Figure 16 Governance/management interactions page 33
01	04	The process Reference Model Management Domain, specifically: <ol style="list-style-type: none"> <li>1. The names of the processes in APO ( Align, Plan Organize)</li> <li>2. The names of the processes in BAI ( Build, Acquire and Implement)</li> <li>3. The names of the processes in DSS (Deliver, Service and Support)</li> <li>4. The names of the processes in MEA (Monitor, Evaluate and Assess)</li> </ol>	✓	Chapter 6 Figure 16 Governance/management interactions page 33
01	05	The four questions to ask when establishing how to manage the enabler performance: <ul style="list-style-type: none"> <li>• Are stakeholder needs addressed?</li> <li>• Are enabler goals achieved?</li> <li>• Is the enabler life cycle managed?</li> <li>• Are good practices applied?</li> </ul>	✓	Chapter 5 page 28 to 29 Figure 13 The generic enabler model
<b>Understand the concepts relating to the structure and format of the framework, the drivers and business benefits of using the COBIT 5 framework. Specifically to identify:</b>				
<b>Principle 1 – Meeting Stakeholder Needs</b>				
02	01	How the Governance Objective of Value Creation meets stakeholder needs using: <ul style="list-style-type: none"> <li>• Benefits realization</li> <li>• Risk optimization</li> <li>• Resource optimization</li> </ul>	✓	Chapter 2 page 17 Figure 3
02	02	The types of Stakeholder drivers and where they fit into the COBIT 5 goals cascade mechanism.	✓	Chapter 2 pages 17 to 18 Figures 4
02	03	The importance of Stakeholder needs and where they fit in the COBIT 5 goals cascade mechanism, in particular: <ol style="list-style-type: none"> <li>1. The importance of transforming stakeholder needs into an enterprise’s actionable strategy</li> <li>2. How stakeholder needs cascade to enterprise goals</li> <li>3. The relationship to the balance score card.</li> </ol>	✓	Chapter 2 page 17 to 19 and Figure 5

Syllabus Area Code PR		Syllabus Area: The COBIT 5 Principles	FN D	Primary References
02	04	The relationships of the enterprise goals to the 3 main governance objectives: <ol style="list-style-type: none"> <li>1. The (p) Primary and (S) secondary relationship to Benefits realization</li> <li>2. The (P) Primary and (S) secondary relationship to Risk Optimization</li> <li>3. The (P) Primary and (S) secondary relationship to Resource Optimization.</li> </ol>	✓	Chapter 2 page 17 to 19 and Figure 5
02	05	How Enterprise Goals cascade to IT-related Goals within the COBIT 5 goals cascade mechanism, specifically: <ul style="list-style-type: none"> <li>• The relationship of IT-related goals to IT-related outcomes.</li> </ul>	✓	Chapter 2 page 18 to 19 Figure 6 & Appendix C
02	06	How IT-related Goals cascade to Enabler Goals within the COBIT 5 goals cascade mechanism, specifically: <ol style="list-style-type: none"> <li>1. What is an enabler goal</li> <li>2. How IT-related Goals support IT-related processes.</li> </ol>	✓	Chapter 2 page 18 to 19 Appendix C
02	07	The purpose of the Goals Cascade mechanism.	✓	Chapter 2 2 Page 17 2nd paragraph
<b>Principle 2 – Covering the Enterprise End-to-end</b>			✓	Chapter 3 Pages 23 to 24
02	08	The key components of a Governance System	✓	Chapter 3 Figure 8 page 23
02	09	How Key roles and activities interrelate: <ol style="list-style-type: none"> <li>1. Role of the stakeholders and their activities, accountabilities and responsibilities</li> <li>2. Role of the Governing Body and their responsibilities</li> <li>3. Role of Management and their activities and responsibilities</li> <li>4. The role of Operations and their activities and responsibilities</li> </ol>	✓	Chapter 3 Figure 9 page 24 see also chapter 5 for the difference in governance and management.
<b>Principle 3 – Applying a single Integrated Framework.</b>				
02	10	The purpose of the COBIT 5 Integrator model and how it integrates and aligns with existing ISACA guidance, new guidance and other standards and frameworks.	✓	Chapter 4 Figure 10 page 25
02	11	The reasons why COBIT 5 is an integrated Framework	✓	Chapter 4 Figure 10 Page 25
<b>Principle 4 Enabling a Holistic Approach</b>				
02	12	The importance of the key components of the enabler dimension: <ol style="list-style-type: none"> <li>1. Stakeholder dimension</li> <li>2. The Goals Dimension</li> <li>3. The Life Cycle Dimension</li> <li>4. The Good Practices dimension</li> </ol>	✓	Chapter 5 page 28 to 29 Figure 13 The generic enabler model
02	13	The purpose of measurement indicators in the achievement of Goals. <ul style="list-style-type: none"> <li>• Lag indicators</li> <li>• Lead indicators</li> </ul>	✓	Chapter 5 page 29 Figure 13 The generic enabler model
<b>Principle 5 – Separating Governance from Management</b>				
02	14	The definition and responsibilities of Governance and Management	✓	Chapter 6 Figure 14 Governance/management interactions page 31
02	15	The interactions between governance and management	✓	Chapter 6 Figure 15 Governance/management interactions page 32

Syllabus Area Code EN		Syllabus Area: The COBIT 5 Enablers	FN D	Primary References
		<b>Know facts and terms relating to the COBIT 5 Enablers. Specifically to recall:</b>		

Syllabus Area Code EN		Syllabus Area: The COBIT 5 Enablers	FN D	Primary References
01	01	The definition of a Process.	✓	Appendix G page 69
<p><b>Understand that COBIT enables IT to be governed and managed in a holistic manner for the entire enterprise.</b>  <b>Specifically to identify:</b>  <b>Enabler 1 - Principles, Policies and Frameworks</b></p>				
02	01	The purpose of principles, policies and frameworks in the enabling model.	✓	Appendix G pages 67
02	02	The differences between Policies and Principles	✓	Appendix G page 67
02	03	The characteristics of good policies.	✓	Appendix G pages 67
02	04	The purpose of the Policy life cycle.	✓	Appendix G page 68
02	05	The <b>good practice</b> requirements for policies, principles and frameworks, specifically: <ul style="list-style-type: none"> <li>• Their scope</li> <li>• Consequences of failing to comply with the policy</li> <li>• The means of handling exceptions</li> <li>• How they will be monitored.</li> </ul>	✓	Appendix G Figure 28 pages 67 & 68
02	06	The links and relationships between the Principles, policies and frameworks Enabler and other enablers, specifically: <ul style="list-style-type: none"> <li>• Principles, policies and frameworks reflect the cultures, ethics and values of the enterprise</li> <li>• Processes are the most important vehicle for executing policies</li> <li>• Organizational structures can define and implement policies</li> <li>• Policies are part of information.</li> </ul>	✓	Appendix G Figure 28 pages 67 & 68
<b>Enabler 2 Processes</b>				
02	07	Examples of Internal and External stakeholders	✓	Appendix G Figure 29 pages 69 to 74
02	08	The key characteristics of the process goal categories: <ol style="list-style-type: none"> <li>1. Intrinsic goals</li> <li>2. Contextual goals</li> <li>3. Accessibility &amp; Security goals.</li> </ol>	✓	Appendix G Figure 29 pages 69 to 74
02	09	The activities in the process life cycle.	✓	Appendix G page 70
02	10	The differences in the Process Reference Model between Process Practices, Process Activities, Inputs and Outputs (Work products).	✓	Appendix G Figure 31 PRM and pages 70
02	11	The Relationships between the Processes enabler and other enablers, specifically: <ul style="list-style-type: none"> <li>• Processes need information as one form of input</li> <li>• Processes need Organizational structure</li> <li>• Processes produce and require services, infrastructure and applications</li> <li>• Processes are dependent on other processes</li> <li>• Processes need policies and procedures to ensure consistent implementation.</li> </ul>	✓	Appendix G page 71
<b>Enabler 3 Organizational Structures</b>				
02	12	The Good Practices of an organizational structure, specifically: <ul style="list-style-type: none"> <li>• Operating principles</li> <li>• Span of control</li> <li>• Level of authority</li> <li>• Delegation of responsibility</li> <li>• Escalation procedures</li> <li>• Decision making</li> </ul>	✓	Appendix G Figure 32 pages 75 to 77



Syllabus Area Code EN		Syllabus Area: The COBIT 5 Enablers	FN D	Primary References
02	13	<p>The responsibilities and characteristics of the following roles in an organization:</p> <ul style="list-style-type: none"> <li>• Board</li> <li>• CEO</li> <li>• CFO</li> <li>• COO</li> <li>• CRO</li> <li>• CIO</li> <li>• CISO</li> <li>• Business Executive</li> <li>• Business Process Owner</li> <li>• Strategy (IT Executive) Committee</li> <li>• (Project and Program) Steering Committees</li> <li>• Architecture Board</li> <li>• Enterprise Risk Committee</li> <li>• Audit</li> <li>• Head of Architecture</li> <li>• Head of IT Operations</li> <li>• Head of IT Administration</li> <li>• Program and Project Management Office (PMO)</li> <li>• Value Management Office (VMO)</li> <li>• Service Manager</li> <li>• Information Security Manager</li> <li>• Business Continuity Manager</li> <li>• Privacy Officer</li> </ul>	✓	Appendix G Figure 33 pages 76 & 77
<b>Enabler 4 Culture, Ethics and Behavior</b>				
02	14	The good practices for creating, encouraging and maintaining desired behavior throughout the enterprise.	✓	Appendix G Figure 34 pages 79 to 80
02	15	<p>The relationship of Goals for culture, ethics and behavior to:</p> <ul style="list-style-type: none"> <li>• Organizational ethics</li> <li>• Individual ethics</li> <li>• Individual behaviors</li> </ul>	✓	Appendix G Figure 34 pages 79 to 80
02	16	<p>The links and relationships of the Culture, ethics and behavior enabler and to the other enablers, specifically:</p> <ul style="list-style-type: none"> <li>• Processes</li> <li>• Organizational structures</li> <li>• Principles, Policies and frameworks</li> </ul>	✓	Appendix G Page 80
<b>Enabler 5 Information</b>				
02	17	The importance of the information quality categories and dimensions of the COBIT 5 Information enablers.	✓	Appendix F Page 63
02	18	The five steps of the Information Cycle, and how they interrelate and apply to the Information enablers.	✓	Appendix G Page 81 Figure 35
02	19	The possible uses of the Information Model.	✓	Appendix G Page 84
<b>Enabler 6 Services, Infrastructure and Applications</b>				
02	20	The five architecture principles that govern the implementation and use of IT-related resources.	✓	Appendix G Page 85 Figure 37
02	21	<p>The relationship of the Services, Infrastructure and Applications Enabler to the other enablers, specifically:</p> <ul style="list-style-type: none"> <li>• Information</li> <li>• Culture, ethics and behavior</li> <li>• Processes, specifically the inputs and outputs</li> </ul>	✓	Appendix G Page 86
<b>Enabler 7 People, Skills and Competencies</b>				
02	22	<p>The good practices of skills and competencies, specifically:</p> <ul style="list-style-type: none"> <li>• Defining skill requirements for each role</li> <li>• Mapping skill categories to the COBIT 5 process domains (e.g. EDM, APO etc.</li> <li>• Using other external sources good practices</li> </ul>	✓	Appendix G Page 86 Figure 39 page 88
02	23	<p>The skill categories, related to the following COBIT Process Domains:</p> <ul style="list-style-type: none"> <li>• EDM ( Evaluate, Direct and Monitor)</li> <li>• APO (Align, Organize and Plan)</li> <li>• BAI (Build, Acquire and Implement)</li> <li>• DSS (Deliver, Service and Support)</li> <li>• MEA (Monitor, Evaluate and Assess)</li> </ul>	✓	Appendix G Page 88 Figure 39
<b>Enabler Process Guide Content</b>				

Syllabus Area Code EN		Syllabus Area: The COBIT 5 Enablers	FN D	Primary References
02	24	The components and purpose of the Process Reference Guide including:- <ul style="list-style-type: none"> <li>• Process identification and its components</li> <li>• Process description</li> <li>• Process purpose statement</li> <li>• Goals cascade information</li> <li>• Process goals and metrics</li> </ul> Overview of process practices	✓	EN Guide Chapter 5 page 25
02	25	The components and purpose of the Process Reference Guide including:- Roles within a RACI chart and their differences	✓	EN Guide Chapter 5 page 25

Syllabus Area Code IM		Syllabus Area: An Introduction to COBIT 5 Implementation	FN D	Primary References
		<b>To know facts, terms and concepts relating to the Implementation of COBIT 5, specifically to recall:</b>		
01	01	The three interrelated components of the life cycle model. <ul style="list-style-type: none"> <li>• Management of the program</li> <li>• Change enablement specifically addressing behavior and cultural aspects and</li> <li>• Core continual improvement life cycle.</li> </ul>	✓	Chapter 7 Figure 17 Page 37
		<b>Understand the guidance that ISACA offers on implementing COBIT 5, the use of the continual improvement life cycle' in enabling change in an enterprise. Specifically to identify:</b>		
02	01	The enterprise specific <b>internal and external environment</b> factors as they apply to change management: <ul style="list-style-type: none"> <li>• Ethics and culture</li> <li>• Applicable laws, regulations and policies</li> <li>• Mission, vision and values</li> <li>• Governance policies and practices</li> <li>• Business plans and strategic intentions</li> <li>• Operating Model</li> <li>• Management style</li> <li>• Risk appetite</li> <li>• Capabilities and available resources</li> <li>• Industry practices</li> </ul>	✓	Chapter 7 Page 35 & 36
02	02	The Importance of <b>Pain Points and Trigger events</b> that require improved governance and management of enterprise IT, specifically: <ul style="list-style-type: none"> <li>• Typical pain points:                             <ul style="list-style-type: none"> <li>○ Business frustration with failed IT initiatives resulting in increased costs &amp; low business return on investment</li> <li>○ Outsourcing service delivery problems</li> <li>○ Duplicate projects</li> <li>○ Continuous poor audit findings</li> <li>○ Board members and senior management reluctant to engage with IT</li> </ul> </li> <li>• Typical Trigger Events:                             <ul style="list-style-type: none"> <li>○ Mergers, acquisitions and divestments</li> <li>○ New regulatory or compliance requirements</li> <li>○ A shift in the market demand for the company's products</li> <li>○ Significant technology change</li> </ul> </li> </ul>	✓	Chapter 7 Page 36 & 37
02	03	The importance of the business case to a program initiative leveraging COBIT 5.	✓	Chapter 7 Page 38
02	04	The characteristics of a good business case and what it should typically include, specifically: <ul style="list-style-type: none"> <li>• The business benefits that will be realized</li> <li>• The business changes required</li> <li>• The investments needed</li> <li>• The on-going IT operating costs</li> <li>• Constraints and dependencies derived from the risk assessment</li> <li>• Roles, responsibilities and accountabilities relative to other initiative</li> <li>• How the investment will be monitored</li> </ul>	✓	Chapter 7 Page 38 & 39

Syllabus Area Code IM		Syllabus Area: An Introduction to COBIT 5 Implementation	FN D	Primary References
02	05	The purpose of each of the three interrelated components of the life cycle.	✓	Chapter 7 page 37
02	06	The relationship between the three rings of the implementation life cycle for phases 1, 2 and 3: <ul style="list-style-type: none"> <li>• What are the drivers?</li> <li>• Where are we now? And</li> <li>• Where do we want to be?</li> </ul>	✓	Chapter 7 page 37 & 38
02	07	The relationship between the three rings of the implementation life cycle for phases 4, 5, 6 & 7: <ul style="list-style-type: none"> <li>• What needs to be done?</li> <li>• How do we get there?</li> <li>• Did we get there? And</li> <li>• How do we keep the momentum going?</li> </ul>	✓	Chapter 7 page 37 & 38

Syllabus Area Code PC		Syllabus Area: Process Capability Model (The Process Assessment Model) {PAM}	FN D	Primary References
<b>To know facts, terms and concepts relating to the Process Capability Model. Specifically to recall:</b>				
01	01	The six Capability Levels based on ISO 15504: <ul style="list-style-type: none"> <li>• Level 0 – Incomplete Process</li> <li>• Level 1 – Performed process</li> <li>• Level 2 – Managed process</li> <li>• Level 3 - Established Process</li> <li>• Level 4 - Predictable Process</li> <li>• Level 5 – Optimized Process</li> </ul>	✓	COBIT 5 Chapter 8 Figure 19 page 42
01	02	The nine Attributes based on ISO 15504: <ul style="list-style-type: none"> <li>• PA 1.1 Process performance</li> <li>• PA 2.1 Performance management</li> <li>• PA 2.2 Work product management</li> <li>• PA 3.1 Process definition</li> <li>• PA 3.2 Process deployment</li> <li>• PA 4.1 Process measurement</li> <li>• PA 4.2 Process control</li> <li>• PA 5.1 Process innovation</li> <li>• PA 5.2 Process optimization</li> </ul>	✓	Chapter 8 Figure 19 page 42
01	03	The Rating Scale based on ISO 15504: <ul style="list-style-type: none"> <li>• N Not achieved 0 to 15 % achievement There is little or no evidence of achievement of the defined attribute in the assessed process.</li> <li>• P Partially achieved &gt; 15 % to 50 % achievement There is some evidence of an approach to and some achievement of, the defined attribute in the assessed process. Some aspects of achievement of the attribute may be unpredictable.</li> <li>• L Largely achieved &gt; 50 % to 85% achievement There is evidence of a systematic approach to, and significant achievement of, the defined attribute in the assessed process. Some weakness related to this attribute may exist in the assessed process.</li> <li>• F Fully achieved &gt; 85 % to 100 % achievement There is evidence of a complete and systematic approach to and full achievement of, the defined attribute in the assessed process. No significant weaknesses related to this attribute exist in the assessed process.</li> </ul>	✓	Chapter 8 page 45 and PAM 2.5
01	04	The definition of the following ISO 15504 terms: <ol style="list-style-type: none"> <li>1. A Process Purpose</li> <li>2. A Process Outcome</li> <li>3. A Base Practice</li> <li>4. A Work Product</li> </ol>	✓	COBIT 5 PAM 1.7
<b>To understand the Process Capability Model and the basic ISO 15504 concepts. Specifically to identify:</b>				

Syllabus Area Code PC		Syllabus Area: Process Capability Model (The Process Assessment Model) {PAM}	FN D	Primary References
02	01	The Purposes for carrying out a Process Capability Assessment specifically to recognize the following objectives: <ul style="list-style-type: none"> <li>• Enable management to benchmark process capability</li> <li>• Enable high-level ‘as is’ and ‘to be’ health checks</li> <li>• To provide gap analysis and improvement planning information</li> <li>• To provide management with assessment ratings to measure and monitor current capabilities</li> </ul>	✓	COBIT 5 Chapter 8 page 45
02	02	The Scope of the COBIT assessment program, specifically the purpose of the 3 guides: <ol style="list-style-type: none"> <li>5. The Process Assessment Model (PAM) using COBIT 4.1 and COBIT 5</li> <li>6. The Assessor Guide – using COBIT 5 and COBIT 4.1</li> <li>7. The Self-Assessment Guide – using COBIT 4.1 and COBIT 5</li> </ol>	✓	COBIT 5 PAM COBIT 5 PAM 1.5 pages 7 and 8.
02	03	The purpose of a Process Reference Model as defined by ISO 15504	✓	COBIT 5 PAM Chapter 1.7 Appendix 2.4
02	04	The Assessment Indicators and the differences between the two dimensions outlined in the ISO 15504 approach: <ul style="list-style-type: none"> <li>• The Process capability attribute indicators which apply to levels 1 to 5 and</li> <li>• The Process performance indicators (base Practices and work products) which are specific for each process and are used to determine whether a process is at capability level 1</li> </ul>	✓	COBIT 5 PAM 2.4
02	05	The benefits of the COBIT Capability Assessment approach.	✓	COBIT 5 Chapter 8 page 44
02	06	How the rating scales are used in an assessment <ul style="list-style-type: none"> <li>• To achieve a pass for a certain level, a process must be rated L – Largely or F – Fully at that level, and be rated F-Fully on the lower levels.</li> <li>• To be able to move onto another capability level all Process Attributes must be F – fully for that process (if not achieved, the organization needs to improve that particular process attribute to have a F rating before moving on)</li> </ul>	✓	Chapter 8 Page 45 & COBIT 5 PAM 2.5

### 5. Recommended Reading

- ISACA (2012). *COBIT 5 - A Business Framework for the Governance and Management of Enterprise IT*. ISACA, Illinois. (ISBN-13: 9781604202373)
- ISACA (2013). *COBIT - Process Assessment Model (PAM): Using COBIT 5*. ISACA, Illinois. (ISBN-13: 9781604202717)
- ISACA (2012). *COBIT 5 – Enabling Processes*. ISACA, Illinois. (ISBN-13: 9781604202397)
- COBIT® 5 Toolkit – Available online

### 6. Glossary

TERM	DEFINITION
accountability of governance	Governance ensures that enterprise objectives are achieved by evaluating stakeholder needs, conditions and options; setting direction through prioritization and decision making; and monitoring performance, compliance and progress against plans. In most enterprises, governance is the responsibility of the board of directors, under the leadership of the chairperson.
accountable party (RACI)	The individual, group or entity that is ultimately responsible for a subject matter, process or scope In a RACI chart, answers the question: Who accounts for the success of the task?
activity	In COBIT, the main action taken to operate the process. Guidance to achieve management practices for successful governance and management of enterprise
alignment	A state where the enablers of governance and management of enterprise IT support the goals and strategies of the enterprise

TERM	DEFINITION
application architecture	Description of the logical grouping of capabilities that manage the objects necessary to process information and support the enterprise's objectives
architecture board	A group of stakeholders and experts who are accountable for guidance on enterprise architecture related matters and decisions, and for setting architectural policies and standards
authentication	The act of verifying the identity of a user and the user's eligibility to access computerized information
baseline architecture	The existing description of the fundamental underlying design of the components of the business system before entering a cycle of architecture review and redesign
benefits realization	One of the objectives of governance. The bringing about of new benefits for the enterprise, the maintenance and extension of existing forms of benefits, and the elimination of those initiatives and assets that are not creating sufficient value
business continuity	Preventing, mitigating and recovering from disruption.
business goal	The translation of the enterprise's mission from a statement of intention into performance targets and results
Business process control	The translation of the enterprise's mission from a statement to the policies, procedures, practices and organizational structures designed to provide reasonable assurance that a business process will achieve its objectives of intention into performance targets and results
Chargeback	The redistribution of expenditures to the units within a company that gave rise to them
COBIT	Formerly known as Control Objectives for Information and related Technology (COBIT);
competence	The ability to perform a specific task, action or function successfully
consulted party (RACI)	Refers to those people whose opinions are sought on an activity (two-way communication)
control	The means of managing risk, including policies, procedures, guidelines, practices or organizational structures, which can be of an administrative, technical, management or legal nature. Also used as a synonym for safeguard or countermeasure
culture	A pattern of behaviors, beliefs, assumptions, attitudes and ways of doing things
driver	External and internal factors that initiate and affect how an enterprise or individuals act or change
enterprise governance	A set of responsibilities and practices exercised by the board and executive management with the goal of providing strategic direction, ensuring that objectives are achieved, ascertaining that risk is managed appropriately and verifying that the enterprise's resources are used responsibly. It could also mean a governance view focusing on the overall enterprise; the highest-level view of governance to which all others must align.
full economic life cycle	A period of time during which material business benefits are expected to arise from, and/or during which material expenditures (including investments, running and retirement costs) are expected to be incurred by, an investment program
good practice	A proven activity or process that has been successfully used by multiple enterprises and has been shown to produce reliable results
governance	The framework, principles and policies, structures, processes and practices, information, skills, culture, ethics, and behavior to set direction and monitor compliance and

TERM	DEFINITION
	performance of the enterprise aligned with the overall purpose and defined objectives. Governance defines accountability, responsibility and decision making (among other elements).
<b>governance enabler</b>	Something (tangible or intangible) that assists in the realization of effective governance
<b>governance framework</b>	A framework is a basic conceptual structure used to solve or address complex issues; an enabler of governance; a set of concepts, assumptions and practices that define how something can be approached or understood, the relationships amongst the entities involved, the roles of those involved, and the boundaries (what is and is not included in the governance system).
<b>governance/management practice</b>	For each COBIT process, the governance and management practices provide a complete set of high-level requirements for effective and practical governance and management of enterprise IT. They are statements of actions from governance bodies and management.
<b>governance of enterprise IT</b>	An asset that, like other important business assets, is essential to an enterprise's business. It can exist in many forms: printed or written on paper, stored electronically, transmitted by post or electronically, shown on films, or spoken in conversation
<b>information</b>	An asset that, like other important business assets, is essential to an enterprise's business. It can exist in many forms: printed or written on paper, stored electronically, transmitted by post or electronically, shown on films, or spoken in conversation
<b>Informed</b>	In a RACI chart (Responsible, Accountable, Consulted, Informed), Informed refers to those people who are kept up to date on the progress of an activity (one-way communication)
<b>inputs and outputs</b>	The process work products/artefacts considered necessary to support operation of the process
<b>investment portfolio</b>	The collection of investments being considered and/or being made
<b>IT application</b>	Electronic functionality that constitutes parts of business processes undertaken by, or with the assistance of, IT
<b>IT goal</b>	A statement describing a desired outcome of enterprise IT in support of enterprise goals. An outcome can be an artefact, a significant change of a state or a significant capability improvement
<b>IT service</b>	The day-to-day provision to customers of IT infrastructure and applications and support for their use. Examples include service desk, equipment supply and moves, and security authorizations
<b>management</b>	Entails the judicious use of means (resources, people, processes, practices, etc.) to achieve an identified end
<b>model</b>	A way to describe a given set of components and how those components relate to each other to describe the main workings of an object, system, or concept
<b>objective</b>	Statement of a desired outcome
<b>organizational structure</b>	An enabler of governance and of management. Includes the enterprise and its structures, hierarchies and dependencies
<b>owner</b>	Individual or group that holds or possesses the rights of and the responsibilities for an enterprise, entity or asset, e.g., process owner, system owner
<b>policy</b>	Overall intention and direction as formally expressed by management
<b>principle</b>	An enabler of governance and of management. Comprises

TERM	DEFINITION
	the values and fundamental assumptions held by the enterprise, the beliefs that guide and put boundaries around the enterprise's decision making, communication within and outside the enterprise, and stewardship - caring for assets owned by another
<b>process</b>	Generally, a collection of activities influenced by the enterprise's policies and procedures that takes inputs from a number of sources, (including other processes), manipulates the inputs and produces outputs
<b>process goal</b>	A statement describing the desired outcome of a process. An outcome can be an artefact, a significant change of a state or a significant capability improvement of other processes
<b>program and project management office (PMO)</b>	The function responsible for supporting program and project managers, and gathering, assessing and reporting information about the conduct of their programs and constituent projects
<b>quality</b>	Being fit for purpose (achieving intended value)
<b>resource</b>	Any enterprise asset that can help the organization achieve its objectives
<b>Resource optimization</b>	One of the governance objectives. Involves effective, efficient and responsible use of all resources - human, financial, equipment, facilities, etc.
<b>responsible party (RACI)</b>	Refers to the person who must ensure that activities are completed successfully In a RACI chart, answers the question: Who is getting the task done? Roles taking the main operational stake in fulfilling the activity listed and creating the intended outcome
<b>risk</b>	The combination of the probability of an event and its consequence (ISO/IEC 73)
<b>risk appetite</b>	The amount of risk, on a broad level, that an entity is willing to accept in pursuit of its mission
<b>risk management</b>	One of the governance objectives. Entails recognizing risk; assessing the impact and likelihood of that risk; and developing strategies, such as avoiding the risk, reducing the negative effect of the risk and/or transferring the risk, to manage it within the context of the enterprise's risk appetite
<b>service catalogue</b>	Structured information on all IT services available to customers
<b>skill</b>	The learned capacity to achieve predetermined results
<b>stakeholder</b>	Anyone who has a responsibility for, an expectation from or some other interest in the enterprise - e.g., shareholders, users, government, suppliers, customers and the public
<b>system of internal control</b>	The policies, standards, plans and procedures, and organizational structures designed to provide reasonable assurance that enterprise objectives will be achieved and undesired events will be prevented or detected and corrected
<b>value creation</b>	The main governance objective of an enterprise, achieved when the three underlying objectives (benefits realization, risk optimization and resource optimization) are all balanced

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e-mail: [info@peoplecert.org](mailto:info@peoplecert.org), [www.peoplecert.org](http://www.peoplecert.org)