



## **COBIT<sup>®</sup> 5 ASSESSOR**

### **SYLLABUS**

2013

## 1. Introduction

“The Assessor Guide: Using COBIT 5” provides the **main** guidance on performing a process capability assessment, the roles, responsibilities and competences required and the key steps required, from assessment initiation to reporting of the assessment results. “The Process Assessment Model (PAM): using COBIT 5 which is the model used by assessor to perform an assessment is used by candidate to reference the process content to be used in the assessment.

The syllabus is based on these **two guides**. Note that foundation questions based on the COBIT PAM will not be retested.

The Assessor training and certification is a ‘Practitioner-Level training and certification course’ that focuses on ‘how’ to apply the PAM and ‘how’ to analyse the results.

It is a mandatory requirement for all candidates to have passed the COBIT 5 Foundation Exam before applying for and attending this training and certificate course.

The target audience for this document:

- Exam Board
- Exam Panel
- Accredited Training Organisations

ATOs should read this document with the ‘**Curriculum**’ document which gives details on ‘**what is to be taught**’ as opposed to ‘**what is being tested/examined**’ as that document contains more details of the topics and sub topics (called training modules) that support the vanilla training material. So for example included in the curriculum will be topics like using the self-assessment approach which is NOT tested or the differences between the COBIT 4.1 and COBIT 5 PAMs.

## 2. COBIT 5 Assessor Certificate

### 2.1 Purpose

The primary **purpose of the syllabus** is to provide a basis for the accreditation of a COBIT Assessor Certificate. It documents the learning outcomes related to the use of the COBIT 5 Assessor approach and confirms whether the candidate has achieved sufficient understanding of how to apply and scope COBIT 5 process capability approach in a scenario situation. A successful practitioner candidate will be able to **become an assessor or a lead assessor and apply for full ISACA certification** if they can supply **further proof of the competences required by ISACA: (detailed competences and roles are outlined in the curriculum)**.

### 2.2 The target audience for this certification is:

- **Internal & external Auditors** who want to add process capability assessments to the scope of their audits.
- **IT auditors** who want to add process capability assessments to the scope of their audits.
- **Consultants** who want to be allowed to perform independent process assessments on behalf of their clients.

## 2.3 High Level Performance Definition of a Successful COBIT 5 Assessor candidate

Upon the successful completion of this training course, candidates will know:

- How to perform a process capability assessment using the Assessor Guide: using COBIT 5
- How to apply the Process Assessment Model (PAM) in performing a process capability assessment. Specifically:
  - To use the Process Reference Model (PRM), in particular to be able to apply the 37 processes outlined in the PRM.
  - To apply and analyse the measurement model in assessing process capability levels.
  - To apply and analyse the capability dimension using generic criteria outlined in the PAM.
- Be able to identify and assess the roles and responsibilities in the process capability assessment process.
- Be able to perform and assess the 7 steps outlined in the Assessor Guide specifically how to:
  - Initiate a process assessment.
  - Scope an assessment, using the tools provided and the PAM for the selection of the appropriate processes.
  - Plan & Brief the teams.
  - Collect & Validate the data.
  - Do a process attribute rating.
  - Report the findings of the assessment.

## 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, each defining a higher degree of competencies and skills. (Bloom et al, 1956, Taxonomy of Educational Objectives).

APMG 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 APMG 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 COBIT 5 Foundation certificate examines learning outcomes at levels 1 (knowledge) and 2 (comprehension). The COBIT 5 Assessor Certificate is positioned at Practitioner level and examines learning levels 2 (understanding) 3 (application) and 4 (analysis).

	1. Knowledge	2. Comprehension	3. Application	4. Analysis
Generic Definition from APMG Learning Outcomes Assessment Model	Know key facts, terms and concepts from the manual/guidance	Understand key concepts from the manual/guidance	Be able to apply key concepts relating to the syllabus area for a given scenario	Be able to identify, analyse and distinguish between appropriate and inappropriate use of the method/guidance for a given scenario.
COBIT 5 Learning Outcome Assessment Model	To know the facts, terms, concepts, and principles, including tools, techniques, roles and responsibilities from the COBIT 5 Framework Guidance and the COBIT Process Assessment Model (PAM).	Understand the concepts, principles, processes, features, organizational factors and roles and can explain how these are applied to justify, design and implement the COBIT 5 framework and the COBIT Process Assessment model (PAM).	Be able to apply the PAM & Assessor Guide to: <ul style="list-style-type: none"> <li>i. Perform a process capability assessment appropriately</li> <li>ii. Scope and tailor the organisational processes appropriately</li> </ul> For a given project scenario.	Be able to identify, analyse and distinguish between appropriate and inappropriate use of the method applied to the assessment of process capability of an organisation for a given project scenario.

#### 4. 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 Assessor training programme. Foundation level knowledge and understanding will not be repeated in this course, but will be used when demonstrating application and analysis learning outcomes.

Syllabus Area Code	Syllabus Area :	Foundation	Practitioner	Primary References
AI [2]	QUAL Syllabus Area (XX) Theme [1]			
Level	Topic			
	Know facts, terms and concepts relating to the <i>syllabus area</i> . [3] Specifically to recall:			
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 (topic header shown in bold)	A statement of what a candidate will be expected to know, understand or do.
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	Foundation/Practitioner	Shows at which qualification level the topic is assessed.
8	Primary Reference	The main reference supporting the topic.

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

## 5. Learning Areas For The Assessor Syllabus

Syllabus Area Code	Syllabus Area Title
RR	Roles, Responsibilities and Competences
AI	Initiate an Assessment
SC	Scope an Assessment
PB	Plan an Assessment and Brief the teams and management
DC	Data Collection
DV	Data Validation
PR	Analyse and rate the process attributes & capability levels
AR	Prepare and present assessment reports

This syllabus informs the design of the exam and provides accredited training organizations (ATO's) with a more detailed breakdown of what the exam will assess. Details on the exam structure and content follow:

### Important Points

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

### COBIT 5 Assessor Guides

The COBIT 5 Assessment programme 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 following reference guides will be used for the COBIT 5 Assessor certification:

- Assessor Guide: using COBIT 5; The syllabus will comprise project scenario questions based on this guide.
- Assessor Guide Tool Kit
- Process Assessment Model (PAM): using COBIT 5; used to access the detailed content required to do an assessment.

### Syllabus Exclusions

None

## 6. Detailed Assessor Syllabus

Syllabus Area Code		Syllabus Area:	Practitioner	Primary References
<b>RR</b>		<b>Assessor – Roles &amp; Responsibilities</b>		
Level	Topic			
Be able to understand the Key Roles, & Responsibilities in a COBIT Assessment Assignment:				
Specifically to identify:				
02	01	The different responsibilities for each of the following roles: <ul style="list-style-type: none"> <li>▪ Sponsor</li> <li>▪ Lead Assessor</li> <li>▪ Assessor</li> <li>▪ Co-ordinator</li> </ul>	✓	Chapter 3 Assessor Guide Page 21,3.3 Figure 13
02	02	The competency requirements for assessors.	✓	Chapter 3 Assessor Guide Page 22 3.5
Be able to apply key concepts relating to the Roles and Responsibilities for a given scenario				
Specifically to identify:				
03	01	The key roles and responsibilities required for the assessment assignment.	✓	Chapter 3 page 22 figure 13
03	02	An appropriate assessment team structure required to perform an assessment assignment.	✓	Chapter 3 page 22 figure 13 & chapter 4.1.2 Key Issues
Be able to identify, analyse and distinguish between appropriate and inappropriate application of the Roles & Responsibilities for a given scenario situation.				
Specifically to analyse with reasons:				
04	01	Whether the correct roles and responsibilities have been identified for the assessment assignment.	✓	Chapter 3 page 22 figure 13
04	02	Whether the correct team has been created taking into consideration: <ul style="list-style-type: none"> <li>▪ The appropriate knowledge of the COBIT Assessment Programme</li> <li>▪ The degree of independence required depending on the class of assessment.</li> </ul>	✓	Chapter 3 page 21 & 22 & chapter 4.1.2 Key Issues

Syllabus Area Code <b>AI</b>		Syllabus Area: <b>Assessment Initiation</b>	Practitioner	Primary References
Level	Topic			
Be able to understand the Assessment Classes in a COBIT Assessment Assignment:				
Specifically to understand:				
02	01	The recommended steps required to be followed.	✓	Chapter 4 page 27 4.1.3
02	02	The key differences in the 3 classes of assessment to be used in a process capability assessment <ul style="list-style-type: none"> <li>▪ Class One</li> <li>▪ Class two</li> <li>▪ Class Three</li> </ul>	✓	Chapter 1 page 8, 1.4 and Chapter 4 Figure 17 page 26
Be able to apply key concepts relating to the Assessment Initiation Phase for a given scenario.				
Specifically to identify:				
03	01	The appropriate information for a pre-assessment questionnaire.	✓	Chapter 4.1.2 page 24
03	02	The recommended steps required to be followed.	✓	Chapter 4.1.3 page 27 appendix D4 page 50
03	03	What class of assessment is appropriate for the specific problems outlined in the scenario.	✓	Chapter 4 Figure 17 page 26
Be able to identify, analyse and distinguish between appropriate and inappropriate application of the Assessment Initiation Phase for a given scenario situation.				
Specifically to analyse with reasons:				
04	01	Whether the pre-assessment questionnaire is complete in terms of providing the appropriate understanding to the assessor, sponsor and management team.	✓	Chapter 4 page 24.
04	02	Whether the recommended steps in the Assessment Initiation phase are appropriate.	✓	Chapter 4.1.3 page 27
04	03	Whether the appropriate assessment class was selected for the scenario and whether the management team and sponsor were involved in the selection decision.	✓	Chapter 4 page 25/26.

Syllabus Area Code		Syllabus Area:	Practitioner	Primary References
<b>SC</b>		<b>Scoping the Assessment</b>		
Level	Topic			
		Be able to apply key concepts relating to the Scoping Process for a given scenario.		
		Specifically to identify:		
03	01	The recommended process selection steps used to scope the assessment.	✓	Chapter 4 page 24
03	02	What processes from the PAM should be selected for the specific problems outlined in the scenario.	✓	Chapter 4 page 25 & PAM PRM Chapter 3.2, 3.3, 3.4 Scoping Tool Kit
03	03	The initial mapping of the organisation's processes to the COBIT PRM.	✓	Chapter 4 page 25 PPAM Page 11 Figure 3
		Be able to identify, analyse and distinguish between appropriate and inappropriate application of the Scoping Process for a given scenario situation.		
		Specifically to analyse with reasons:		
04	01	Whether the recommended process selection steps were used.	✓	Chapter 4 page
04	02	Whether the appropriate processes were selected for the problems outlined in the scenario and whether the management team, assessor and sponsor were involved in the selection decision.	✓	Chapter 4 page 25 and PAM PRM chapters 3.2, 3.3, 3.4
04	03	Whether the initial mappings of the organisation's process to COBIT 5 were done appropriately.	✓	Chapter 4 page 25



Syllabus Code	Area	Syllabus Area:	Practitioner	Primary References
<b>PB</b>		<b>Planning the Assessment &amp; Briefing the Teams</b>		
Level	Topic			
		Be able to apply key concepts relating to the Planning and Briefing Phase for a given scenario.		
		Specifically to identify:		
03	01	The appropriate information to be included in the assessment plan.	✓	Chapter 4.2.2 page 28 Appendix D1
03	02	The recommended steps to follow in the assessment planning phase.	✓	Chapter 4.2.3 page 28
03	03	The recommended steps to follow in the briefing phase.	✓	Chapter 4.3.3 page 29
		Be able to identify, analyse and distinguish between appropriate and inappropriate application of the Planning and Briefing Phase for a given scenario situation.		
		Specifically to analyse with reasons:		
04	01	Whether the assessment plan is completed appropriately and whether the sponsor and management team were involved in the final decision.	✓	Chapter 4.2.2 page 28 Appendix D1
04	02	Whether the planning recommended steps have been followed.	✓	Chapter 4.2.2 page 28
04	03	Whether the briefing recommended steps have been followed.	✓	Chapter 4.3.3 page 29

Syllabus Area Code		Syllabus Area:	Practitioner	Primary References
<b>DC</b>		<b>Data Collection</b>		
Level	Topic			
		Be able to understand the in a COBIT Assessment the Data Collection phase.		
		Specifically to understand:		
02	01	The primary sources of the evidence for the processes to be assessed, specifically: <ul style="list-style-type: none"> <li>▪ The process Purpose</li> <li>▪ Process Outcomes</li> <li>▪ Base Practices</li> <li>▪ Work Products</li> </ul>	✓	Chapter 2.2.2 page 12
		Be able to apply key concepts relating to the Data Collection Phase for a given scenario		
		Specifically to identify:		
03	01	The instances of process performance that is uniquely identifiable and defines what information can be gathered in a repeatable manner.	✓	Chapter 4.4.2 page 29, PAM Chapter 2 pages 11 - 14
03	02	The evidence to be collected for the selected processes based on the level 1 being assessed: <ul style="list-style-type: none"> <li>▪ Process Outcomes</li> <li>▪ Base Practices</li> <li>▪ Work Products</li> </ul>	✓	Chapter 4.4.2 page 30 ; PAM Chapter 3
03	03	The evidence to be collected for Levels 2 to 5: <ul style="list-style-type: none"> <li>▪ Generic Practices</li> <li>▪ Generic Work Products</li> </ul>	✓	Chapter 4.4.2 page 30 ; PAM Chapter 4
03	04	The Recommended steps in performing the data collection phase.	✓	Chapter 4.4.3 page 30
Level	Topic			
		Be able to identify, analyse and distinguish between appropriate and inappropriate application of the Data Collection Phase for a given scenario situation.		
		Specifically to analyse with reasons:		
04	01	Whether the instances of process performance have been identified appropriately.	✓	Chapter 4.4.2 page 29
04	02	Whether the evidence collected for Level 1 is accurate and complete.	✓	Chapter 4.4.2 Page 30 and PAM Chapter 3

Syllabus Area Code		Syllabus Area:	Practitioner	Primary References
<b>DC</b>		<b>Data Collection</b>		
04	03	Whether the evidence collected for Level's 2 to 5 is accurate and complete.	✓	Chapter 4.4.2 Page 30 and PAM Chapter 4
04	04	Whether the recommended steps for data collection have been followed.	✓	Chapter 4.4.2

Syllabus Code	Area	Syllabus Area:	Practitioner	Primary References
<b>DV</b>		<b>Data Validation</b>		
Level	Topic			
Be able to apply key concepts relating to the Data Validation Phase for a given scenario.				
Specifically to identify:				
03	01	The recommendations for reviewing and forming conclusions of the data collected by the lead assessor.	✓	Chapter 4.5.2 page 31; PAM Chapter 2 pages 11-14
03	02	The deficiencies have been addressed taking into consideration any problems with the availability of data.	✓	Chapter 4.5.2 page 31; PAM Chapter 3 appropriate process content.
03	03	The Recommended steps in performing the data validation phase.	✓	Chapter 4.5.3 page 31
Level	Topic			
Be able to identify, analyse and distinguish between appropriate and inappropriate application of the Data Validation Phase for a given scenario situation.				
Specifically to analyse with reasons:				
04	01	Whether the collected data has been reviewed for completeness and sufficiency by the lead assessor and whether the conclusions have been validated.	✓	Chapter 4.5.2 page 31
04	02	Whether the deficiencies and data collection problems identified have been appropriately addressed and reported to the sponsor.	✓	Chapter 4.5.2 page 31
04	03	Whether the recommended steps for data validation have been followed.	✓	Chapter 4.5.3 page 31

Syllabus Code	Area	Syllabus Area:	Practitioner	Primary References
<b>PR</b>		<b>Process Attribute Rating</b>		
Level	Topic			
		Be able to apply key concepts relating to the Process Attribute Rating Phase for a given scenario.		
		Specifically to identify:		
03	01	The appropriate rating for each of the processes being assessed at Level 1: <ul style="list-style-type: none"> <li>▪ N Not achieved 0 to 15% achievement</li> <li>▪ P Partially achieved &gt;15% to 50% achievement</li> <li>▪ L Largely achieved &gt;50% to 85% achievement</li> <li>▪ F Fully achieved &gt;85% to 100% achievement</li> </ul>	✓	Chapter 4.6.2 page 32
03	02	The appropriate generic content for the processes being assessed at Level 2 to 5 (based on the PAM generic content): <ul style="list-style-type: none"> <li>▪ N Not achieved 0 to 15% achievement</li> <li>▪ P Partially achieved &gt;15% to 50% achievement</li> <li>▪ L Largely achieved &gt;50% to 85% achievement</li> <li>▪ F Fully achieved &gt;85% to 100% achievement</li> </ul>	✓	PAM chapter 4 Pages 115 - 121
03	03	That the capability level is being achieved based on the ratings at 0301 and 0302.	✓	Chapter 4.6.2 page 32
03	04	The recommended steps in rating the process attribute.	✓	Chapter 4.6.3 page 32
Level	Topic			
		Be able to identify, analyse and distinguish between appropriate and inappropriate application of the Process Attribute Rating Phase for a given scenario situation.		
		Specifically to analyse with reasons:		
04	01	Whether the rating for Level 1 has been assessed correctly and the evidence that supports the ratings at 0301 is appropriate.	✓	PAM chapter 4 Pages 115 - 121
04	02	Whether the rating for Levels 2 to 5 has been assessed correctly and the evidence that supports the ratings at 0302 is appropriate.	✓	Chapter 4.6.2 page 31
04	03	Whether Capability levels achieved based on the ratings at 0301 and 0302 are correct and appropriate.	✓	Chapter 4.6.2 page 32
04	04	Whether the recommended steps in the attribute rating process are appropriate.	✓	Chapter 4.6.3 page 32

Syllabus Code	Area	Syllabus Area:	Practitioner	Primary References
<b>AR</b>		<b>Assessment Reporting</b>		
Level	Topic			
		Be able to understand the Assessment reporting phase in a COBIT Assessment Assignment.		
		Specifically to identify:		
02	01	The minimum content required for an assessment report.	✓	Chapter 4.7.2 page 33& appendix D3
		Be able to apply key concepts relating to the Assessment Reporting Phase for a given scenario.		
		Specifically to identify:		
03	01	The appropriate information using the recommended composition, for inclusion into the assessment report.	✓	Chapter 4.7.2 page 33
03	02	The recommended steps in producing an assessment report	✓	Chapter 4.7.3 page 34
Level	Topic			
		Be able to identify, analyse and distinguish between appropriate and inappropriate application of the Assessment Reporting Phase for a given scenario situation.		
		Specifically to analyse with reasons:		
04	01	Whether the report is complete and with all the recommended content, and whether the report has been provided to the sponsor.	✓	Chapter 4.7.2 page 33 D 3
04	02	Whether the reporting steps have been applied correctly.	✓	Chapter 4.7.2 page 34