COBIT® 5 IMPLEMENTATION EXAM CANDIDATE GUIDANCE

1 INTRODUCTION

1.1 The objectives of the examination are to enable you to demonstrate your understanding of the COBIT 5 Implementation Exam and how to apply the guidance in an appropriate way to a given set of circumstances, as described in a scenario. The Practitioner examination uses objective test questions which require you to choose a response to a question from a set of choices for which the correct answer is pre-determined.

1.2 The following paragraphs explain the format of the question papers, and the different types of Question asked. Some suggestions on how to approach answering the various types of question are also included.

2 STRUCTURE OF THE PAPER

The examination paper consists of three booklets.

2.1 The Scenario Booklet contains a scenario providing a description of an organization, a description of a governance initiative and the background and current issues relating to the organization. The Scenario Booklet may also include additional information for one or more of the four questions. Where additional information is to be used for a question, this is clearly stated in bold within the question header. **Additional information is only to be used for the question to which it relates**.

2.2 The Question Booklet contains four questions, each covering a different syllabus area or combination of syllabus areas. The syllabus areas covered are identified at the beginning of each question. Each of the four questions contains 20 question lines, each of which attracts 1 mark, giving a total of 80 marks. The pass mark is 40 (50%). Each of the four questions will be sub-divided into parts. Each of these 'part-questions' will identify the portion of the 20 marks allocated to it.

2.3 You are expected to answer all questions and part-questions.

2.4 The Answer Booklet contains the answer sheets on which the answers must be given. Unless it is clearly stated otherwise, there is only **one answer** to each question-line. If more than one answer is given in the answer booklet the response line will be void.

2.5 For certain subject areas, where more than one answer could be valid, questions are asked using the format 'Which of the following is MOST…'. For these questions you are required to select the answer that is the best fit, given the scenario and the requirements of the COBIT 5 Implementation Guide. If you select more than one answer, the response line will be void and no mark is awarded for the question-line.

3 *COBIT 5 IMPLEMENTATION SYLLABUS AREAS ADDRESSED*

3.1 The COBIT 5 Implementation Syllabus contains four defined syllabus areas.

3.2 Within the Practitioner Examination, there will be four questions, each testing one syllabus area. Each of the four questions will test a minimum of four syllabus topics from within the syllabus area.

Syllabus Area	
Question 1	Initiate the programme (What are the drivers – Phase 1)
Question 2	Define Problems & Opportunities (Where are we now and where do we want to be – Phases 2 & 3)
Question 3	Plan & Execute the programme (What needs to be done & how do we get there? - Phases 4 & 5)
Question 4	Realise Benefits and Review effectiveness (Did we get there and how do we keep the momentum going? Phases 6 & 7)

3.3 The question header for each part-question identifies which syllabus area(s) is/are being examined.

3.4 The full COBIT 5 Implementation syllabus is available from APMG or from an Accredited Training Organization.

4 TYPES OF QUESTION

There are five different types of question used within the paper.

4.1 **Classic Multiple Choice Questions** – ‘choose **one** from a list of possible options’. The correct response is to be selected from a list of 3 or 4 options. Note level 3 and 4 type questions require scenario input.

Answer the following question regarding the root causes of the challenges encountered when identifying the Drivers for a Governance initiative.
Which is a root cause for a lack of Senior Management buy in? A Lack of dedicated resources. B Poor perception of the credibility of the IT function. C Copying best practices, not adopting them. D Continual improvement not part of the culture.

4.1.1 **Classic multi choice type question for level 4** only is different and will contain the following structure based on Yes and No answers.

Using the Scenario, answer the following question. **The project is now at the Phase 2 'Where are we now?" stage.** **At the start of the phase, an auditor from the overseas Head Office was sent to the local office to review their current compliance position.** **As a result of the visit, the auditor made a number of recommendations:** **Recommendation 1: Action is required to re-confirm the local office business objectives and related IT goals as a result of the takeover.**	
1	The IT GRC Manager has produced a report confirming the current process capability of key processes that meet business objectives. Is this an appropriate Phase 2 activity to address recommendation 1? A No, because assessing process capability will only measure process performance (not goals). B No, because IT goals are re-confirmed when an opportunity grid to identify priority actions is produced. C Yes, because identifying process capability is required to identify IT goals. D Yes, because process capability is needed to calculate ease of implementation.

4.2 **Multiple Response** – 'choose two correct options from a list of 5 options'. This question follows exactly the same format as the 'Classic style', but more than one answer is required. It is the **only question type that requires more than one response to gain a mark**. Both responses must be correct to gain a mark. If more or fewer than 2 responses are given, then the answer will be void. Note level 3 and 4 type questions require scenario input.

Answer the following question about the root causes of the challenges encountered when identifying what needs to be done for a Governance initiative. Remember to select 2 answers to each question.	
1	Which **2** are a root cause of difficulty in understanding COBIT 5 and associated frameworks, procedures and practices? A Insufficient dedicated resources. B Not enough consideration of 'how they do things' at the organisation. C Lack of experience. D Copying best practices, not tailoring them. E Lack of business understanding of IT issues.

4.3 **Matching – '**link items in one list to items in a second list'. There is **only one correct response** to each question, but options from the second list may be used once, more than once or not at all. Note level 3 and 4 type questions require scenario input.

Using the scenario, answer the following 6 questions about the key roles and responsibilities required to support Phase 1 - What are the Drivers?

Column 1 contains activities to be performed during phase 1. For each activity in Column 1, select from Column 2 the role that is responsible to undertake the activity. Each selection from Column 2 can be used once, more than once or not at all.

	Column 1	Column 2
1	Explain how the new overseas compliance regulations will affect the business strategy of the Financial Services Organization.	A Managing Director
2	Ensure the requirements for the new overseas compliance regulations are clearly specified to identify how the Financial Services Organization systems will be impacted.	B Business Management
3	Provide an additional check of how the new overseas compliance regulations are to be supported by the Financial Services Organization.	C Technical Support Manager
4	Provide an understanding of the impact the need to align to the new overseas compliance regulations will have the Financial Services Organization.	D Audit Manager
5	Provide expert advice on the impact the IT Governance Initiative changes will have on the Financial Services Organization's IT systems to support the new overseas compliance regulations.	E IT GRC Manager
6	Identify the impact of the new overseas compliance regulations on the Financial Services Organization own country laws.	

4.4 **Assertion/Reason –** 'evaluate two statements (an assertion and a reason), to determine if either, both or neither is true and, if both are true, whether the reason explains why the assertion is true'.

If either statement is false, select the answer from options C, D or E. If both statements are true, a third step is required. You must then determine whether or not the reason is a correct explanation for the assertion. If the reason explains why the assertion is true, the answer is A. If it does not, the answer is B. This type of question is used only for Level 4 type questions.

There is **only one correct response** to each question-line, but options can be used once, more than once or not at all.

Using the Scenario answer, answer the following question about change enablement (CE) tasks performed during Phase 1.

During the initial planning phase the IT GRC Manager sat down with the Technical Support Manager and reviewed the actions that had been undertaken to implement a successful Governance Initiative.

The actions were as follows:-

- **A mapping out of the people from both organizations who are likely to have a part in the Governance initiative**
- **Obtaining details of other projects underway within the Financial Services Organization, including the Security and HR projects, from the Project Office.**

Lines 1 to 2 in the table below consist of an assertion statement and a reason statement. For each line identify the appropriate option, from options A to E, that applies. Each option can be used once, more than once or not at all.

Option	Assertion	Reason	
A	True	True	AND the reason explains the assertion
B	True	True	BUT the reason does not explain the assertion
C	True	False	
D	False	True	
E	False	False	

	Assertion		**Reason**
1	A further CE task of understanding the differences in working practices between the local and overseas Head Office should have been done during phase 1.	BECAUSE	During phase 1, the impact the initiative will have on each stakeholder group should be determined.
2	Identification of those people from both organizations who will be involved in the Governance initiative is a phase 1 CE task.	BECAUSE	The needs of stakeholders are considered during phase 1.

For example, in question 1 and 2 of the example provided on the previous page, the assertion statement is true but the answer to question 1 is a B and question 2 an A.

In question 1 the reason statement is true, however the CE task in phase 1 to determine the influence and the impact of the change initiative on each stakeholder group is not the reason for the differences in working practices. The answer is B.

In question 2 the reason statement provides an explanation for the assertion. When identifying the stakeholders, their needs also need to be considered. The reason is true and explains the assertion. The answer is therefore A.

There is **only one correct response** to each question, but options can be used once, more than once or not at all.

4.5 **Sequence matching**

This is similar to the Matching type question above but matches one column of information to another in a particular sequence. This type of question is used only for Level 2 and 3.

Answer the following 4 questions about the activities performed during Phase 4 'What needs to be done?'

The business frustration's about the lack of visibility of the compliance programme has reached the Overseas office. As a result of this, the overseas Head Office has instructed the Financial Services Organisation to quickly solve this issue relating to the poor relationships between IT and the business. The instruction has come down for IT to solve this as part of the Governance Initiative.

The IT GRC Manager is already overloaded with work and hence has asked one of his junior members of his team to take ownership of the task.

He has told the junior member that the solution to this issue will be to include information relating to the compliance programme on the Financial Services Organization's existing Intranet. Access to this Intranet is already available to the business. Due to budget constraints, there will be a limit on the amount of information that can be added to the Intranet. This work must be done in-house.

Column 1 is a list of some of the activities that need to be performed during phase 4 by the junior member to create the Intranet content. For each entry in Column 1, indicate in which order each activity should be performed.

	Column 1	**Column 2**
1	Document the list of messages to be added to the Intranet for the Overseas office to sign-off.	A First
2	Select which compliance messages should be included on the Intranet.	B Second
3	Discuss with the Overseas office to agree which compliance messages will provide the most benefit.	C Third
4	Identify which messages will provide immediate improvement to visibility of the compliance programme at an acceptable cost.	D Fourth

5 USING THE SCENARIO AND THE ADDITIONAL INFORMATION

5.1 Where you are required to refer back to details provided in the Scenario Booklet in order to answer a question, this is clearly stated in the question header.

5.2 If the question header says '**Using the Scenario …'** you will need to refer to the scenario.

Examples of the kind of information you may need to reference from a scenario include:

- the roles and responsibilities provided
- The organisational issues

5.3 If the question header says '**Using the additional information provided for this question in the *Scenario Booklet'***, you are required to refer to additional information provided in the Scenario Booklet for the question. The additional information is provided for use with that question only.

5.4 Some questions may require reference to both the scenario and additional information. In this case the question header will say '**Using the Scenario and the additional information provided for this question in the *Scenario Booklet'.***

5.5 If there is no reference to additional information or the Scenario within a question, then candidates should answer the question using only the information contained within the question**. In this case the Scenario provides the background and context to the governance initiative but not the facts required to answer the question.**

6 LEARNING LEVELS

6.1 Part-questions will vary in their level of difficulty depending on the learning objective of the test. The learning levels are:

1. Knowledge
2. Comprehension
3. Application
4. Analysis

COBIT 5 Implementation Learning Outcomes Assessment Model			
1.Knowledge	**2. Comprehension**	**3. Application**	**4. Analysis**
To know the facts, terms, concepts, and principles, including tools, techniques, roles and responsibilities from the COBIT 5 Framework.	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 using the implementation guidance.	Be able to apply the 7 phases of the implementation Life Cycle, including Challenges and Success Factors, for a given scenario.	Be able to identify, analyse and distinguish between appropriate and inappropriate use of the 7 phases of the implementation Life Cycle for a given project scenario.

Within a question, the part-questions will be assembled in order of ascending learning level. The focus of the exam is on the application and analysis learning objectives.

7 REFERENCE MATERIAL

You may reference your own copy of the Implementation Guide during the examination. If you have made hand-written annotations within any blank space in your guide, your guide can still be used. However **no additional support material** is permitted; this includes post it notes (except where used for tabulation of the sections of the manual) and stapled sheets.

8 TIME MANAGEMENT

8.1 The full Practitioner exam is 150 minutes in duration. You must manage your time in order to complete all questions. As a general guide, you may wish to spend the first 5 minutes reading the scenario information and getting familiar with the layout of the paper. If 30 minutes is then allocated for each of the 4 questions, this will allow 25 minutes tolerance for additional reading required for some questions. This suggested timing is for **guidance only**. It is expected that some questions will take longer to answer than others due to the style of the question and the question's difficulty.

8.2 Reference to your own annotated Implementation Guide is permitted during the examination. **No additional support material** is permitted; this includes post it notes (other than tabulation of the sections of the manual) and stapled sheets. You should be aware of the time constraint upon you. Whilst the manual is there for support, as in real life, the time pressure of the examination means that the questions **have not been designed** on the basis that you are required or even expected to use the manual to answer questions. Its use is optional. As a guide, you might check the manual once or twice in an examination for a specific point but any more than that is likely to be counter-productive and is not advised.

9 EDITORIAL NOTES

9.1 Throughout the Scenario Booklet and Question Booklet, lower case has been used for all references to COBIT 5 processes, defined terms and proper nouns.

9.2 **Uses of "should"**

"should" is a specific term used in guidance standards to make recommendations e.g. 'The service provider should create an SLA containing the following minimum contents':. It is used for something that is good or important or recommended. It is less strong than must and is used to test whether something should be done because it is consistent with the principles and recommended practices of COBIT 5.

9.3 **Use of 'true statements'**

When the expression **'true statements'** is used in a question, **no evaluation of whether the statements are consistent with the scenario or additional information is required.**

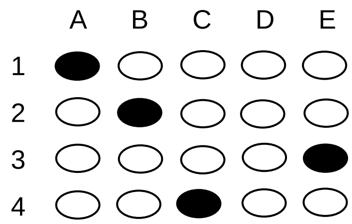
A project has recently been started to replace the existing change management process. The following question includes only **true statements** about the new change management process. Remember to select 2 answers to each question.	
1	Which **2** items are required to be included in the planning stage of the project? A Acquiring the required funding. B Approving the business case for the project. C Identifying metrics to measure the outcome. D Assessing the risk that the new change process will not cope with the volumes of changes. E Confirming the end October as the date for the installation of the process.

In example 9.3 there is no need in option E to check the scenario to see if the target date for the installation is end of October. As it is known from the question header that the statement is true, the assessment required is whether, according to COBIT, the target date for the installation of the new process should be referred to or included in the planning stage of the project.

10 USING THE ANSWER BOOKLET

The Answer Booklets will be read electronically and the results generated by computer. It is therefore essential that you follow the instructions given and mark your answers accordingly. Failure to do so may lead to delay and, in some cases, answers being void.

All answers are given by the candidate filling in 'ovals' that relate to their chosen response, e.g.



The oval must be filled in **IN PENCIL**, **NOT PEN**. If a pen is used, the answers will not be marked.

Acceptable ways to complete the answer sheets are either:

completely filling in the oval or drawing a line through the centre of the oval, ensuring that between 80-100% is filled.

Any other method, including ticks or crosses, is not acceptable and may not be marked.

If you wish to change your answer during the exam, the incorrect answer should be erased completely and the correct answer indicated. If you give more answers than required, the question will score zero.