Shane Gindra

BCM 5000 ISO 22301 Lead Auditor Exam 2016
Answer Form
Your Name Shane Gindra

The International Consortium For Organizational Resilience
Embedding the culture and systems of organizational resilience

Section 1: Multiple Choice. (1 point each)

1. a
2. g
3. f
4. a.
5. b
6. c
7. d
8. h
9. a
10. a
11. a
12. c
13. f
14. b
15. b.
16. a
17. c
18. a
19. g.
20. a
21. b.
22. g.
23. d.
24. a.
25. c
26. d
27. b
28. f
29. a
30. c
31. c
32. a
33. b.
34. d.
35. d.
36. a
37. a
38. b
39. c
40. b.

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Section 2: Short Answer (3 points each). Do NOT copy and paste clauses from any of the standards. Answer in your own words.

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Please see attached papers numbered 1 – 14 for Shane Gindra to all answers.

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1. According to ISO 22313 Clause 7.2. Competence it identifies several competencies + skill sets that may be required for different roles within the organisation. Examples of these are
   a) ~~set~~ Managing BCMS
   b) understanding + Conducting BIA's.
   c) risk assessment.

In order to effectively carry out the role of both internal or external auditor ISO 22313 Clause 9.2. also mentions that personnell from within the organisation or externally may be selected to do this role and that they should be competent and be able to deliver this both impartially + objectively. Therefore this clause indicates that knowledge of the subject ~~being~~ audited as well as auditing skills would be important.

2. ISO 19011 clause 5.1 sets out a number of components required for an typical Audit plan these include some of the following examples.
   a). Objectives of the Audit. - this is required in order to establish at the end of the audit as to the extent that the audit objectives have been met. It also identifies what will be audited and can therefore be measured at the end ~~It~~ ~~will also assist in identifying whether~~ These should also be in ~~b) audit Criteria -~~ line with & support any organisation management system policy & objectives.

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b). Audit Criteria. - this is to establish what management standards, any legal + contractual requirments & all other requirements to which the organisation is committed.

d). Audit Methods - this will explain what methods will be used to conduct the audit. This will depend on the defined audit objectives Scope + criteria.

3. ISO 19011 ~~clause~~ Annex B lists a number of audit methods examples of this are.

a). Interviews - ISO 19011 B7. Conducting interviews. These will be held with a range of individuals from varying levels of the organisation either face to face or by other means that perform activities/tasks that fall within the scope of the audit. & normally conducted during working hours.

b). Document Reviews - ISO 19011 B2 Conducting Document review. - The documents that are selected for review should be within the scope of the audit. & needs to provide evidence that it supports the audit objectives.
~~It will also assist in identifying consistency with the ser~~

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4. ISO 19011 Annex B3 provide details of different sampling techniques. examples are

a). Judgement based sampling ISO 19011 Annex B3.2.
The purpose of this technique is to draw on the skills of the auditor, their knowledge + experience to enable them to ~~effectively assess the effectiv~~ assess & examine appropriate material within a limited time scale. ~~to~~ enable the audit objectives to be met.

b). Statistical Sampling ISO 19011 Annex B3.3.
The purpose of this method is to draw on a percentage of the audit material to assess the probability that the audited objectives are being met. ~~This method needs to be sati~~ The auditor needs to satisfy themselves in advance as to what percentage would be an acceptable risk to determine the likelihood of successfully meeting / judging the audit objectives.

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5. ISO 22301 clause 5.1 & 5.2. indicates that top management should demonstrate leadership + commitment to the BCMS & that they need to ensure that they ~~establish~~ have sufficient resources & establish roles + responsibilities for the BCMS. In line with this ~~the~~ ISO 22313 clause 4.2 Figure 4 also shows that top management + all other employees who have a role to play in BCMS should contribute to the identification of interested parties.

Examples of interested parties are

a). Citizens – The needs + expectations of these could be a need to understand the legal + regulatory requirements that affect their rights

b). Shareholders – Needs of shareholders could be an understanding of the risks to the organisation

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6. All legal + regulatory requirements should be noted or referenced within the scope of the BCMS as required under ISO 33201 Clause 4.3.2. Further to this ISO22301 clause 4.22. requires that the organisation identify ~~and~~ establish + maintain a procedure to which the organisation subscribe + to communicate any changes of these to any affected employees. The organisation can evidence that this is kept up to date + is exhaustive by maintaining these records + keeping them in accordance with the Document control procedures in line with ISO 22301 clause 7.5.3. This can then be further evidenced by examining how the organisation examined + documented its own organisational understanding as set out in ISO 22301 Clause 4.1 & 4.2.2. In addition the scope ~~[illegible]~~ determined by the organisation as stipulated in ISO 22301 Clause 4.3.1. needs to be documented and includes internal + external issues + understanding the needs & expectations of interested parties.
Further to this the BIA's ~~would~~ should make reference to any legal + regulatory requirements as noted in ISO 22301 Clause 8.2.1.

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7. The Auditor would evaluate whether internal + external issues have been considered as well as ~~those of the internal~~ the needs + expectations ~~too~~ of interested parties as noted in ISO 22301 Clause 4.3. In addition this would need to managed in accordance with the document control procedures set out in ISO 22301 7.5. Items that can be safely excluded from the scope needs to be clearly documented + explained and should not affect the organisations ability or responsibility to provide continuity of it's business operations. that meet the BCMS requirements. which are identified within the BIA, RA and any legal or regulatory requirements.

8. Top Management Commitment can be established by means of the Policy (ISO 22301 clause 5.3.)

This can also be seen by management committing appropriate resources to support the BCMS (ISO 22301 clause 5.2.)

& by ensuring that roles + responsibilities are assigned (ISO 22301 clause 5.4).

Q 8 contd on next page.

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8. Contd. The exercising + Training element would also be able to provide evidence of Top Management Commitment (ISO 22301 Clause 8.5). as this would detail the organisations willingness to improve its BCMS

9. ISO 22301 Clause 6.2. details that Top management are responsible for ensuring the BC objectives are established + ~~communicated~~ communicated to all relevant levels of the organisation.

As an auditor I would evaluate this by examining the procedures the organisation has set up in Accordance ISO 22301 Clause 9.1 & ISO 22313 Clause 9.1.1. These evaluations undertaken by the organisation would also need to comply with the records information control procedures (ISO 22301 clause 7.5.3.

10. ~~This~~ a Peoples understanding of their responsibilities can be determined in a number of ways examples are

a). Interviews (ISO 19011 37) also ~~clause~~ ISO 22301 Clause 7.3 notes that staff should be aware of this

Q10 Contd. on next page.

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10 Contd) b) Examining job descriptions as the roles + responsibilities should be assigned to relevant role within the organisation (ISO 22301 clause 5.4)

11). ISO 22301 Clause 7.5. ~~provides details of what documents should be stored for the BCMS examples include~~ : mentions that documents ~~a)~~ pertaining to this Standard (ISO 22301) & any documents required by the organisation to ensure the effectiveness of its BCMS

ISO 22313 Clause 7.5.1. identifies a list of these documents examples include:

a). The Scope of the BCMS

b) The BC Policy

c). Customer contacts and any SLA's

The ~~do~~ organisation needs to determine any appropriate storage & control methods to enable them to protect them from being compromised, altered through ~~mistakes~~ mishandled use or deleted as noted in ISO 22301 Clause 7.5.3. + ISO 22313 Clause. 7.5.3.

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12. That an appropriate BIA + RA is undertaken in accordance with ~~the~~ ISO 22301 Clause ~~8.4.1.8~~ 8.2. ~~in accordance~~ & that said BIA's + RA's are recorded & maintained in a formal manner.

13. There are a number of documents that need to be considered this ~~could~~ should include ~~some~~ of the following examples.

~~Scope.~~ ~~Policy~~ -

a) Scope - (ISO 22301 Clause 4.3.1.)
This would consider internal + external issues that may affect the organisation + identify any needs + expectations of interested parties (ISO 22301 Clause 4.2.)

b) The Policy. (ISO 22313 clause 5.3.)
This defines the objectives of the organisation & its obligations to make sure that it is appropriate. This include a commitment to improve the BCMS.

c) The BIA's. (ISO 22301 Clause 8.2.2)
This identifies the activities + their criticality to the organisation + also assists in identifying any risks associated with the activity including interdependencies etc.

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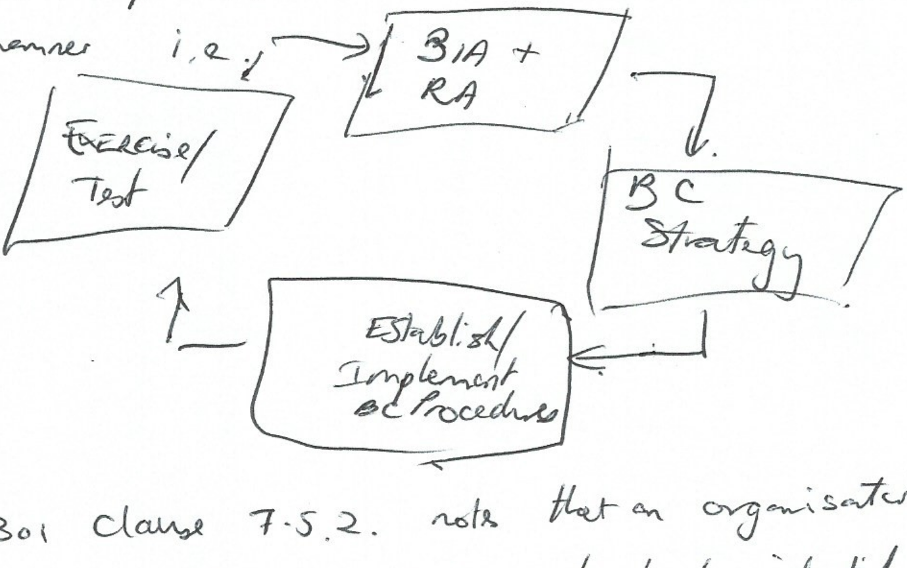
14. The BC Strategy is derived by conducting a business Impact Analysis on the organisation & each of it services/products it provides. Thus enabling it to establish its priorities & then establish appropriate actions to protect these, this is also assisted by completing a Risk Analysis for each of these activities to determine the risk exposure to the organisation. Once the BIA & RA have been undertaken then the strategies available should be considered and implemented but also there is then a need to review these strategies to identify any potential additional risks that may have been introduced.

The process can be based on a cyclical manner i.e.,



15. ISO 22301 Clause 7.5.2. notes that an organisation needs to ensure that appropriate methods to identify & describe the document and in what format it should be kept. The BC Procedures should take into account the following

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~~15~~ Contd). a) an incident response structure ISO 22301

clause 8.4.2.

b). Communication methods ISO 22301 Clause

8.4.3.

c) BC plans. ISO 22301 Clause 8.4.4.

d) Recovery ISO 22301 Clause 8.4.5.

e). Exercising + testing Clause 8.5.

16.) These BC Procedures would include

a) a response structure (ISO 22301 Clause 8.4.2)

This ~~str~~ should be set out in a way to enable the organisation to effectively manage an incident by providing clear & concise roles + responsibilities within a command structure that will enable it to get back to normality. It should also clearly identify when + how an incident needs to be reported and how to activate the appropriate level of response.

b). Communication (ISO 22301 Clause 8.4.3)

This enables the organisation to identify ~~the~~ ~~incident~~ monitor an incident and establishes clear guidelines on who, when & where information is shared with interested parties & how this information will be shared. It also ~~that~~ provides a structured approach to communicate with all stakeholders during and after an incident as needed

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16 Contd). Recovery (ISO 22313 clause 8.4.5)

This documents provide the organisation with detail on how to ~~exe~~ restore the organisation to normality after an incident

17. ~~The types~~ ISO 22313 Clause 8.3.2.~~4~~.

identifies resources that ~~would~~ could be required examples of these include.

a) IT - Any IT specialists would be required to enable an organisation resume the loss of IT infrastructure such as software applications or hardware

b). Transport. - staff transportation from + to sites may be needed to either facilitate new areas to work in or to assist in the recovery of affected sites.

c). Communication - An important element of any incident is the ability to communicate with all interested parties. This Team could greatly assist in ensuring that arrangements are maintained during a disruptive event.

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18. Communication is covered in a number of clauses under ISO 22301.

clause 4.2 Interested parties needs are to be considered + therefore would fall into this category

clause 5.2. management have a commitment to ensure that this is undertaken.

clause 7.4 Communications requires an effective communication + consultation procedure.

clause 8.4.3 Warning + Communication requires procedures to be implemented & maintained for the organisation.

19) I would review the commitment the organisation has by means of the ~~clause 10.2~~. ISO 22301 Clause 10.2 for continual Improvement this can be reviewed by looking at the exercise frequency. The document control procedure (ISO 22301 clause 7.5. The actions taken to address any risks in accordance with ISO 22301 Clause 6.1 I also review the performance & Evaluation according to clause 9.

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20). Continual Improvement can be determined by looking at the Policy which sets out the commitment by the org. (ISO 22301 clause 5.3) Any actions that the organisation may have taken by addressing any lessons that they have learnt from exercising + testing their plans (ISO22301 clause 8.5) Through their own Internal Audits + (ISO 22301 clause 9.2) and management reviews (ISO22313 Clause 9.3)

Your Name
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The Examination contains a total of 60 questions. These questions are designed to evaluate your knowledge of BCM as well as your knowledge of ISO 22301, 22313, 17022 and 19011. The exam consists of two sections: 40 multiple choice and 20 short answer questions.

Multiple choice questions are valued at 1 point and the short answer questions at 3 points for a total of 100 points. The minimum passing score required to become an ANSI accredited BCMS Auditor is 80% or 80 points total and a minimum of 80% on each of the two sections. One free exam retake is available via ICOR's online exam system.

You will have *4 hours* to complete this examination. You may use all of your course materials.

Use this answer form to record your answers. Do not write the question, just answer the question. Do not copy and paste content from the standard. Use your own words and reference the clause number.

Student Information

Exam Score: **Pass / Fail**
Missed Questions:

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Date of Exam: 7th April 2017 Exam Location: Ashorne Hill, Coventry, Uk.

Instructor Name: Scott Carver