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

BCM 5000 ISO 22301 Lead Auditor Exam Answer Form

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**
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BCM 5000 ISO 22301 Lead Auditor Exam 2016
Answer Form
Your Name ANGELA McGRADY

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. G
29. A
30. C
31. C
32. A
33. A
34. D
35. D
36. A
37. A
38. B
39. C
40. B

Your Name ANGELA McGRADY

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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.

1. 22301 c9.2 - See separate sheet, page 1
2. 22301 c9.2 - see separate sheet, page 1
3. 19011 Annex B - see separate sheet, page 1
4. 19011 Annex B - see separate sheet, page 1
5. 22313 c4.2.1 - See separate sheet, page 1
6. 22313 c4.2.2 - See separate sheet, page 2
7. 22301 c 4.3.2 - See separate sheet, page 2
8. 22301 c 5.2 - See separate sheet, page 2
9. 22301 c 6.2 - See separate sheet, page 2
10. 22301 c 7.2 and 7.3 - see seperate sheet, page 3
11. 22313 c. 7.5 - see separate sheet, page 3
12. 22301 c 8.2.2 - see separate sheet, page 3
13. 22313 c 7.5.1 and 8.2.3 - see separate sheet, page 3
14. 22301 c 8.3.1 - see separate sheet, page 4
15. 22301 c 8.4.1 - see separate sheet, page 4
16. 22301 c 8.4 - see separate sheet, page 4
17. 22313 c 8.4.2 - see separate sheet, page 4
18. 22301 7.4 and 8.4.3 - see separate sheet, page 5
19. 22301 8.5 - see separate sheet, page 5
20. 22301 10.2 - see separate sheet, page 5

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1. 22301 c9.2 Auditors should be competent, impartial and objective. This is important as it means that the organisation can consider the audit results to be credible and unbiased.

2. 22301 c9.2 3 components of a typical audit plan include:
   - The scope of the audit
   - The methodology to be applied in the audit
   - Audit responsibilities.

   The scope is important as it defines the boundaries of what is to be audited. The methodology ensures that the audit can be repeated and data collected is appropriate. The responsibilities ensure that each audit team member and the organisation being audited are clear on the part they play in the audit and meet its objectives.

3. 19011 Annex B Two methods that could be utilised in a BCMS audit are interviews and document reviews. Interviews would be conducted with all levels of line management from top to bottom to understand what their understanding of the BCMS is and their roles + responsibilities. Document reviews would be used to verify BIA + Risk Assessment data, and procedures, against 22301 criteria

4. 19011 Annex B Judgement based sampling relies upon the experience and knowledge of the audit team and is best used where statistical evidence is not appropriate such as in the understanding of an organisation's processes and regulations. Statistical sampling gives hard factual evidence and can be best used when for example attribute based sampling can be considered appropriate with either a pass or fail outcome.

5. 22313 4.2.1 Top management and those who manage business continuity should be included. Two interested parties include:
   - Customers, who are interested in the ability of the organisation to provide continuity of service at all times.
   - Insurers, who are interested in whether the organisation has plans in place to do all that can be considered reasonable to reduce the impact of a disruptive incident and return to normal operations as quickly as possible.

6. 22313c4.2.2 The organisation should document all relevont legal statutes and regulations in its ~~BCMS~~ policy, and that the BCMS operates within these requirements. The organisation can demonstrate this list is exhaustive + up to date through an incident response structure which complies with health + safety regulations, through RTOs which demonstrate compliance with any regulatory driven timeframes, risk assessments, and operating requirements, eg. relating to specific requirements for hazardous materials.

7. 22301 c.4.3.2 To determine appropriateness of BCMS scope, review which parts of the organisation are in scope, the organisation's objectives + legal and regulatory responsibilities, the activities, services and products in the BCMS scope + interested parties needs.
Any products, services and activities that do not affect continuity of operations or legal obligations can be excluded from scope.

8. 22301 c5.2 Top management should demonstrate commitment to BCMS by:
- Ensuring that the BCMS becomes embedded into business as usual operations
- Establishing a business continuity policy
- Providing the necessary resources required to support the BCMS.

9. 22301 c6.2 Top management are responsible for the development of ~~of~~ the BC objectives, which requires communication of these objectives to the relevant levels of the organisation, ensuring they are in line with the BC policy, identify the minimum level of products + services, and are monitored and reviewed.
To evaluate the suitability of the BC objectives the auditor should look for evidence of responsibilities, resources, what will be done and by when, and how the organisation evaluates itself against the objectives.

10. 22301 7.2 Competence of individuals should be confirmed through training records, education & qualification (if required) and experience.

22301 7.3 Those with responsibilities to the BCMS should demonstrate an awareness the the BC policy, what part they play in the BCMS and their role during incidents, and be able to demonstrate participation in exercises. This can be established through interviews with individuals.

11. 22313 c.7.5 Three examples of BCMS documents are:

- BC policy
- Business Impact Analysis
- Exercise schedule

Documents should be stored in a manner ~~to~~ that ensures they cannot be modified without authorised access, but should be accessible to the appropriate people in a suitable format and with the most up to date version. Storage should comply with any data protection and document retention legislation or requirements.

12. 22301 c 8.2.2 When establishing the priority of activities and service levels the organisation should:

- identify which activities support provision of products and services as defined in the policy
- assess the impact of these activities not being performed
- prioritise the resumption of the activities to a minimum level based on the required timescales
- identify the resources required to support these activities and any other dependencies or interested parties.

13. 22313 7.5.1 and 8.2.3 The risk assessment process and risk assessment results should be reviewed to demonstrate that they identify, analyse and evaluate risks to the organisation's critical activities, providing as assessment of probability and likelihood and the determination of risk treatment strategies in line with BC objectives

14. 22301 c8.3.1 BC strategies should be determined and selected based upon the outputs of the Business Impact Analysis and Risk Assessment. They should protect critical activities, continue, resume or recover these activities and their associated resources, whilst mitigating and managing any resultant impacts.

15. 22301 c8.4.1 Procedures in BC plans should be specific as to what steps need to be taken, flexible in response, focussed on impact, and effective in keeping consequences to a minimum in terms of the disruption caused by the incident.

16. 22301 c8.4 3 business continuity procedures used to manage a disruptive incident are:
- incident response structure, which documents the invocation of a response, the resources to support the management of the incident.
- Warning and communication, which documents a process for receiving + responding to communications from interested parties, the means of communication to be used during an incident, and the procedure for logging incident information, actions and decisions.
- Business continuity plans, which document roles and responsibilities during an incident, how the organisation will recover critical activities, and the process for standing down.

17. 22313 8.4.2 3 teams who might respond to a disruptive incident are:
- incident response team to assess the extent + impact
- communications team to liaise with interested parties and the media
- welfare team to provide for those affected by the incident.

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18. 22301 7.4+8.4.3 The organisation shall put in place procedures to communicate internally and externally with interested parties and to receive and respond to these parties. It shall have a means of communicating during an incident, and be able to detect + monitor the incident + record details, actions and decisions, and it should be able to facilitate communication with responding organisations through a common structure. It should demonstrate the above to the auditor.

19. 22301 8.5 An organisation will demonstrate an effective exercise programme if it is deemed to be:
- consistent with BCMS scope and objectives
- planned to minimize disruption to operations and demonstrates clear aims and objectives
- reviewed and evaluated in post-exercise reports with appropriate recommendations and actions that provide continual improvement
- conducted at planned intervals or when significant change occurs.

The auditor may request to see exercise objectives, schedules + reports.

20. 22313 10.2 Three ways to evaluate continual improvement are:
- To identify non-conformances in the present condition
- To identify the root cause within the processes and controls
- To identify what changes are required and to implement them through corrective actions which are then validated to be effective.