BCM 5000 ISO 22301 Lead Auditor Exam 2016
Answer Form
Your Name Darren Wilson

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**
Missed Questions:

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Date of Exam: 23rd Sep 2016 Exam Location: Prospero House (ETC) London

Instructor Name: Scott Carver

BCM 5000 ISO 22301 Lead Auditor Exam 2016
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Section 1: Multiple Choice. (1 point each)

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

1. 19011 clause 5.4.4
2. 19011 clause 6.3.2.2
3. 19011 Annex B.1
4. 19011 Annex B.3
5. 22313 clause 4.2.1
6. 22301 clause 4.2.2
7. 22301 clause 4.3
8. 22301 clause 5.2
9. 22301 clause 6.2
10. 22301 clause 7.3
11. 22313 clause 7.5.4
12. 22313 clause 8.2.2
13. 22313 clause 8.2.3
14. 22301 clause 8.3.1
15. 22301 clause 8.4.1
16. 22313 clause 8.4.4.3
17. 22313 clause 8.4.2
18. 22301 clause 7.4
19. 22301 clause 8.5
20. 22313 clause 10.2

See additional sheets for detailed answers

22301 Lead Auditor Exam

Darren Wilson

See sheet 5

1) 19011 5.4.4 ~~;~~ ~~;~~ Auditors should be independent, free from conflict of interest and competent. ~~Objectivity & impartiality are~~ Independence is important as ensures audit findings are objective and represent the true position. Free from conflict of interest ensures auditors are not biased by other issues. ~~Conflicts of interest~~, competence is important to ensure audit objectives can be met and activity executed to plan.

2) 19011 6.3.2.2 Examples of audit plan components include:

- Audit scope + objectives - This is required to communicate to interested parties what the audit is reviewing and testing.
- Audit activity plan - This details how and when the audit will be executed.
- Audit team roles + responsibilities - This details who will complete the audit and what activity will be completed by each team member.

3) 19011 Annex B.1 - Examples of audit methods are:

- Documentation review - This method would be used to assess if the BCMS has been appropriately documented in line with 22301 requirements and would involve the auditor reviewing + assessing relevant documents.

- Conducting interviews - The auditor can use this method to question individuals and assess their understanding of BCMS requirements and their roles + responsibilities.

4) Examples of Sampling techniques - 19011 Annex B.3

- Judgement - based sampling - Audits use their knowledge, skill + experience to identify specific parts of the BCMS for review.

- Statistical sampling - The audit will review a specified proportion of the relevant part of the BCMS and use this as representative of the activity, e.g. review 10% of BCP's.

5) 22313; 4.2.1
Top management should be included in the process of determining the needs and expectations of interested parties. Examples of interested parties include:

- Customers - An example of customer requirements would include service availability levels and times.

- Regulator - An example of regulator expectations would include compliance with specified standards.

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6) 22301 ; 4·2·2 ; An organisation should have a procedure to identify, assess and communicate to interested parties relevant legal + regulatory requirements. An auditor should check for the existence of process and evidence of execution, this could include - evidence of updating of legal/requirement requirements relevant to organisation, execution of process and reporting to top management and communications (e-mail, training courses etc...) to relevant parties.

7) 22301 ; 4·3 ; An auditor should consider whether the scope of the bcms is appropriate against identified interested parties needs / expectations and legal / reg requirements. Any exclusions from scope should not affect the organisations ability to and responsibilities to provide continuity of operations and service that meet the bcms requirements identified from legal / reg requirements, or BIA or risk assessment activity.

22301; 5.2;

8) Top management can show commitment to the BCMS through:

- Establishing and communicating a business continuity policy.
- Ensuring BCMS objectives and plans are established.
- Establishing roles and responsibilities for business continuity management; including appointment of 1 or more persons to be responsible for the BCMS.

22301; 6.2:

9) Top management are responsible for ensuring BC objectives are set and communicated. An auditor should review the stated BC objectives and ensure they are consistent with the BC policy, consider the min level of service acceptable to the organisation, are measurable, considered all relevant requirement and that they are regularly monitored and updated.

10) 22301; 7.3; People working within an organisation, including staff, contractors and suppliers, should be aware of the BCP policy and their roles and responsibilities. An auditor can review this through interviews with diff interested parties to assess understanding Standing / awareness, questionnaires, review of training and awareness materials / programmes which have been run.

22301 Lead Auditor exam

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11) 22313; 7.5; Examples of required Bcms documents include a Business continuity policy, BIA and risk assessment process and incident management procedures. All Bcms documents should be stored securely, allowing access to relevant interested parties and in line with defined policy criteria/process. Documents must be stored, maintained and protected in a way which is appropriate for an organisation to manage + run its Bcms, with a documented procedure defining appropriate controls.

12) 22313; 8.2.2; An organisation should complete a business impact analysis (BIA) which identifies the organisations key product + services, determines the relative priorities and timeframes for recovery and the dependencies for this. Criteria for assessing relative priority of products/services should include financial, reputational, employee/business and legal/reg impact of loss over time. Products and services should be prioritised according to impact assessment and identified RTO's (Recovery Time objectives)

13) 22313; 8.2.3; An organisation should have a documented risk management process which enables risks to be systematically identified, assessed, managed and treated in line with the organisations risk appetite. Documents for an auditor to review would include risk policy / framework, risk assessments, risk reports and action plans.

14) 22301; 8.3.1 Business continuity strategies should be determined based on the outputs of BIA and risk assessment- activity ~~output~~. Strategies should consider the need to protect prioritised activities, maintain / recovery dependencies & mitigate identified threats.

15) See ~~next~~ page

16) ~~22301; 8.4.3; organisations should have~~ Procedures ~~which enable~~ the ~~declaration~~ of an incident, ~~communicating internally~~ and with interested external parties and ~~recording information~~ and data during ~~an incident~~.

22313 8.4.4.3

16) An organisation should have:

- Incident management procedures - Detail how incidents will be managed and organisations response
- Communication procedures - Detail internal & external comms procedures.
- Safety & welfare procedures - ~~responsible for~~ Details Safety & welfare ~~procedures~~ for staff & other interested parties

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15) 22301; 8.4.1; ~~Procedures~~ Procedures must ~~establish~~ ~~communication~~ ~~Protocols~~, be specific as to action being taken, flexible to respond to changing circumstances, impact focused, be based on stated assumptions and effective ~~aimed~~ at minimising incident consequences through mitigation strategies.

16) see sheet 5

17) 22313; 8.4.2; Examples of teams involved in responding to an incident may include

- Incident management team – responsible for organising and managing organisations response.
- Communications team – responsible for internal + external comms.
- welfare team – responsible for ensuring welfare + safety of staff and other interested parties.

18) 22301; ~~8.4.3~~ 7.4; The organisation should have ~~these~~ a documented communications plan which identifies what, to communicate, when to communicate and with who. This should be consisted with the ~~work~~ needs of the identified interested parties and in line with the ~~the~~ policy requirements.

19) 22301 ; 8.5 ; An organisation exercising program should be consistent with stated BCMS scope and objectives, based on relevant scenarios which have clear aims and objectives, and over time validate all business continuity arrangements. An auditor ~~could~~ may review BC policy, exercising schedule and post-exercise reports to establish whether the program is adequate.

20) 22313 ; 10.2 ; ways an auditor can evaluate continuous improvement include:

- Non-Conformance - Actions taken to address previously identified non-conformities.
- Management review - evidence of management review of the BCMS.
- BC policy - evidence of update and improvements to the organisations BC policy.

The continuous improvement process considers non-conformance (current state), root cause (present process + controls) + Corrective action (changes to make).

ZZ301 Lead Auditor

Additional sheet 5/5

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1) 19011; 5.4.4; Auditors should be independent, free from conflict of interest and competent.

Independence - Ensures auditors are objective + unbiased - true ↑ fair position.

conflict of interest - Ensures auditors are not biased by other factors.

competent - Ensures auditors can achieve objectives and activity is executed to plan.

ZZ313; 8.4.4.3

16) An organisations isc procedures should include:

- incident management procedures - Detail how the organisation will manage incidents and its response.
- communication procedures - Detail how the organisation will manage internal + external comms with interested parties
- Safety + welfare procedures - Detail how staff and interested party safety + welfare will be managed, including life safety issues.