



Embedding the culture and systems of organizational resilience

BCM 5000 ISO 22301 Lead Auditor Exam 2016

Answer Form DAVID  
Your Name CLARKE

## 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: 23/9/16

Exam Location: Prospect House  
London.

Instructor Name: Scott Carver



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Answer Form  
Your Name

DAVID  
CLARKE

**Section 1: Multiple Choice. (1 point each)**

- |                                 |       |
|---------------------------------|-------|
| 1. A                            | 21. B |
| 2. G                            | 22. G |
| 3. F                            | 23. D |
| 4. B                            | 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. <del>B</del> B              | 34. D |
| 15. <del>D</del> <del>B</del> B | 35. D |
| 16. A                           | 36. A |
| 17. C                           | 37. A |
| 18. A                           | 38. B |
| 19. G                           | 39. C |
| 20. A                           | 40. B |

**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 C 4 (see short answer on separate Page 1)
2. 19011 C 6.3.2.2 (see short answer on separate Page 1)
3. 19011 B.1 (see short answer on separate Page 1)
4. 19011 B.3.1 (see short answer on separate Page 1)
5. 150223013 C 4.2.1 (see short answer on separate Page 2)
6. 313 C 4.2.2 (see short answer on separate Page 2)
7. 301 C 4.3.2 (see short answer on separate Page 2)
8. 301 C 5.2 (see short answer on separate Page 2)
9. 301 C 6.2 (see short answer on separate Page 2)
10. 313 C 7.2 (see short answer on separate Page 2)
11. 313 C 7.5 (see short answer on separate Page 3)
12. 301 C 8.2.2 (see short answer on separate Page 3)
13. 301 C 8.2.3 (see short answer on separate Page 3)
14. 301 C 8.3.1 (see short answer on separate Page 3)
15. 301 C 8.4.1 (see short answer on separate Page 4)
16. 301 C 8.4 (see short answer on separate Page 4)
17. 313 C 7.1.3 (see short answer on separate Page 4)
18. 301 C 7.4 (see short answer on separate Page 4)
19. 301 C 8.5 (see short answer on separate Page 5)
20. 313 C 10.2 (see short answer on separate Page 5)

1. They should be independent, Not having a conflict or interest.

They should be fair in report presentations taking in to account what they have seen and what was made available to sample.

They should perform, demonstrating honesty and integrity.

2. The audit scope ensures that both the Auditor and Auditee understands what is being audited.

The appropriate resource is allocated to ensure the audit can be successfully carried out.

Location, dates & times are agreed to ensure the auditor can perform the sampling.

3. Conduct interviews with relevant staff  
Conduct document reviews to help validation of staff understanding

4. Judgement based sampling, relies on the expertise of the audit team. Statistical is used on the audit objectives and how the area is setup.

5. Top Management

Customers want to know that products & services have appropriate BC controls

- 5 (contd) Investors want to know that appropriate controls are in place to protect their investment,
6. One method is to review awareness messages to confirm that interested parties, employees have been notified of any legal & regulatory requirements or changes to them.
7. An example is to look at the needs of interested parties and review against the scope.
8. Creating a BC policy  
Ensure that staff understand their roles & responsibilities  
Demonstrate commitment by attendance & supporting exercises.
9. Top Management are responsible for objective setting and ensuring that it is communicated and understood by relevant teams.  
Review the documented objectives to ensure they are current, meet the policy (5.3) have been reviewed or changed to align to BIA's
10. Examples are  
Checking their understanding of policy, what training they have completed, how they respond to an incident. Page 2/5

11. BC Policy, BC objectives & BC Strategy should all be accessible to all staff  
C 7.5.2 they should be reviewed and approved to ensure they are fit for purpose.
12. example I would expect to see are:  
BIA's to show recovery times, objectives and targets taking into account disruptive incidents that support the products & services.
13. I would look at the risk identified, the process followed to review and the mitigation set to ensure they align to the business priorities.
14. Review the BIA resumption requirements to ensure that the business recovers in a prioritised order.

15. example of procedures are to  
~~to~~ have a method of communicating both  
to internal & external people.  
be flexible as sometimes an unexpected  
issue can ~~occur~~ occur.  
Can help to minimize the impact of an  
~~event~~ event.
16. Incident response structure to ensure that  
Plans are activated when appropriate  
Warning & communication to monitor for Incident  
~~and to~~  
Recovery to restore the business back  
from temporary measures.
17. Teams should be established. to  
Manage communications, safety & welfare  
of staff and the recovery of IT. ~~to~~
18. I would review the communication  
given to staff and interested parties  
against ~~the~~ their communications Plan.  
This can also be a ~~review~~ review of 8.4.3.

19. I would review that the exercise are consistent with the BCMS, they have produced formal reports, completed action to improve, shared the learnings of post exercise reviews with stakeholders.

20, review actions from a previous audit have been implemented.

check the root cause analysis to see if the organisation has ensured that non-conformities in one area don't happen in another.

change from previous actions should be found in BCMS documentation.