The International Consortium For Organizational Resilience

Embedding the culture and systems of organizational resilience

BCM 5000 ISO 22301 Lead Auditor Exam 2016
Answer Form
Your Name
JAMIE HALES.

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:

Name: (as you want it on your certificate) JAMIE HALES

Address: (where you want the certificate mailed) 160 QUEENVICTORIA STREET LONDON EC4V 4LA.

Company Name: Bnymellon.

Email (work): JAMIE.HALES@BNYMELLON.COM.

Email (home): N/A.

Date of Exam: 23/9/2016

Exam Location: PROSPERO HOUSE (ETC) LONDON.

Instructor Name: Scott CARVER

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Section 1: Multiple Choice. (1 point each)

1. A
2. G
3. F
4. B
5. B
6. C
7. B
8. H
9. A
10. D
11. A
12. C
13. F
14. B
15. D
16. A
17. B
18. B
19. E
20. D
21. B
22. G
23. D
24. A.
25. C
26. B
27. B
28. G
29. A
30. C
31. ~~B~~ C
32. A
33. B
34. D
35. D
36. A
37. B
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.

1. ~~22301~~ 19011 – 4 – SEE SHEET
2. ~~22301~~ 19011 – 5.1 – SEE SHEET
3. ~~22301~~ 19011 – 4 = SEE SHEET
4. 22301 – 9.2 = SEE SHEET.
5. 22313 – 4.2.1 = SEE SHEET
6. 22301 – 4.2.2 = SEE SHEET
7. 22301 – 4.3 2 = SEE SHEET
8. 22301 – 5.2 = SEE SHEET.
9. 22301 – 6.2 = SEE SHEET
10. 22313 – 7.2 = SEE SHEET.
11. 22313 – 7.5.1 = SEE SHEET.
12. 22301 – 8.3.1 = SEE SHEET.
13. 22301 – 8.2.3 = SEE SHEET
14. 22313 – 8.3.1.1 = SEE SHEET.
15. 22301 – 8.1.c = SEE SHEET.
16. 22313 – 8.4.3.2 = SEE SHEET
17. 22313 – 8.3 = SEE SHEET
18. 22301 – 7.4 = SEE SHEET
19. 22301 – 8.5 = SEE SHEET.
20. 22313 – 10.2 = SEE SHEET.

JAMIE HALES SHEET 1.

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① THE THREE COMPETENCES I WOULD EXPECT TO SEE WOULD BE OBJECTIVE, IMPARTIAL + FAIR. AND CONFIDENTIALITY.

② THE THREE COMPONENTS THAT SHOULD MAKE UP THE AUDIT PLAN SHOULD BE SCOPE, METHODOLGIES, ~~[illegible]~~ AUDIT CRITERIA.
OBJECTIVES

④ THE TWO ~~[illegible]~~ SAMPLING - METHOD I WOULD USE IS DATA SAMPLING + INTERVIEWING

* DATA SAMPLING COULD BE REVIEWS OF EXCERCISES TO ENSURE THEY ALIGN WITH WHATS STATED IN THE POLICY.

* INTERVIEWS COULD BE UNDERTAKEN WITH STAFF TO REVIEW KNOWLEDGE OF THE BCMS PROGRAME.

③ SUBJECTIVE ~~OBJECTIVE~~ + EVIDENCED ~~[illegible]~~ AUDIT METHODS COULD BE USED TO REVEIW DATA CAPTURED DURING AN AUDIT.

⑤ THE TOP LEVEL MANAGEMENT + THOSE WHO ESTABLISH POLICIES FOR THE ~~[illegible]~~ BCMS INCLUDING OBJECTIVES.

* REGULATORS, THEY WOULD EXPECT TO SEE AND REVIEW ANY REPORTING OR AUDITS FROM THE BCMS.

* SHARE HOLDERS, THEY WOULD LIKE TO FEEL MORE CONFIDENT THAT THE BUSINESS COULD CONTINUE DURING ANY DISRUPTION.

⑥ THE LEGAL REQUIREMENTS + REGULATIONS SHOULD BE DOCUMENTED AND KEPT UP TO DATE AND COMMUNICATED TO ALL INVOLVED EMPLOYEES + INTERESTED PARTIES, CHECK + REVIEW INFORMATION AS REQUIRED + ALSO INTERVIEW STAFF AS REQUIRED.

⑦ THE SCOPE OF THE POLICY SHOULD BE REVIEWED TO ENSURE IT ALIGNS WITH THE CORPORATE GOALS AND COULD ALSO BE CHECKED AGAINST THE POLICY ~~[illegible]~~ IN 22301 - 5.3, ANYTHING REQUIRED TO BE EXCLUDED FROM SCOPE SHOULD NOT IMPACT THE ABILITY TO PROVIDE BUSINESS CONTINUITY + MEET THE BCMS REQUIREMENTS.

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(8) THREE EXAMPLES OF MANAGEMENT COMMITMENT TO THE BCMS WOULD BE

* ENSURING THAT POLICES AND OBJECTIVES ALIGN WITH THE ORGANISATION AND THEIR STRATEGIC DIRECTION.

* COMMUNICATING THE IMPORTANCE OF THE BCMS TO STAFF + INTERESTED PARTIES + THE IMPORTANCE OF CONFORMING TO BCMS REQUIREMENTS.

* PROMOTING CONTINUAL IMPROVEMENT OF THE BCMS PROGRAME

(9) TOP MANAGEMENT SHOULD BE RESPONSIBLE TO DEVELOP THE BC OBJECTIVES. THIS REQUIRES THAT ALL OBJECTIVES + ARE ESTABLISHED AND COMMUNICATED TO RELEVANT PARTIES AT ALL LEVELS.

(10) THE STAFF SHOULD BE ABLE TO EXPLAIN THEIR ROLE + RESPONSIBILITY THEY HAVE TO THE SUCCESS OF THE BCMS BY DEMONSTRATING AWARENESS, KNOWLEDGE, UNDERSTANDING, SKILLS AND EXPERIENCE TO UNDERTAKE THESE ROLES.

(11) THREE EXAMPLES OF BCMS DOCUMENTATION WOULD BE.

* SCOPE OF THE BCMS + ANY EXCLUSIONS.
* BUSINESS CONTINUITY OBJECTIVES.
* POST-EXCERCISE REPORTS.

THESE DOCUMENTS SHOULD BE STORED IN A SUITABLE LOCATION. WITH ACCESS CONTROLS INPLACE TO MAINTAIN + PROTECT THE DOCUMENTS IN AN APPROPRIATE MANNER BUT WITH SUFFICIENT ACCESS TO IMPLEMENT + OPERATE THE BCMS AS REQUIRED.

(12) I WOULD EXPECT THE CRITERIA TO BE FOLLOWED WOULD BE SET OUT BY THE BUSINESS CONTINUITY STRATEGY DEVELOPED FROM THE OUTPUT OF THE BIA'S AND THE RISK ASSESSMENT.

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(13) THE AUDITOR SHOULD REVIEW THE DOCUMENTATION CREATED + DOCUMENTED DURING THE RISK ASSESSMENT PROCESS WHICH IDENTIFIES, ANALYSES AND EVALUATES ANY POTENTIAL DISRUPTIONS OR IMPACTS TO THE ORGANISATION.

(14) TO DETERMINE + SELECT THE BUSINESS CONTINUITY STRATEGIES, IT SHOULD BE ABOUT IDENTIFYING THE ACTIONS REQUIRED TO ADDRESS THE OUTPUT FROM THE BIA'S + RISK ASSESSMENTS IN A WAY THAT MEETS THE OBJECTIVES OF THE ORGANISATION. THE PROCESS WOULD BE TO REVIEW THE OUTPUT FROM THE BIA ANALYSIS AND THE REVIEW OF THE RISK ASSESSMENTS.

(15) THE PROCESS DOCUMENTATION SHOULD BE KEPT UNDER CONTROL BUT AVAILABLE TO THE CONTINUITY STAFF AND READY FOR ACTION TO MITIGATE ANY DISRUPTIONS AS THEY OCCUR.

(16) THE THREE BUSINESS CONTINUITY PROCEDURES REQUIRED TO MANAGE AN EVENT ARE

* THE INCIDENT IS CONTINUALLY MANAGED.
* COMMUNICATION IS PROVIDED BETWEEN RESPONSE TEAMS.
* RECORDING OF VITAL INFORMATION DURING THE INCIDENT.

THE ABOVE ITEMS ARE ALL VERY IMPORTANT COMPONENTS OF THE PROCESS WHICH MAKES UP THE RECOVERY PROCESS AND ALLOWS THE INCIDENT TO BE RESOLVED IN THE SHORTEST TIME.

(17) THE FOLLOWING THREE TEAMS WOULD RESPOND IN AN INCIDENT OR EVENT.

* THOSE WITH AUTHORITY TO INVOKE
* APPROPRIATE SPOKES PEOPLE
* RESPONSE TEAMS.

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(18) DURING AN AUDIT, AN AUDITOR COULD REVIEW DOCUMENTATION + PROCEDURES ON HOW THE ORGANISATION COMMUNICATES ON THE FOLLOWING ASPECTS.

* ON WHAT IT WILL COMMUNICATE.
* WHEN IT WILL COMMUNICATE.
* WITH WHOM IT WILL COMMUNICATE.

(19) THE AUDITOR WOULD EVALUATE THE FOLLOWING AFTER EXERCISING.

* IF THE ORGANISATIONS SCOPE IS CONSISTENT WITH BCMS'S OBJECTIVES.
* IF THE EXERCISES IS BASED ON APPROPRIATE SCENARIO'S
* IF THE EXERCISES PRODUCE POST EXERCISE REPORTS WITH RECOMMENDATIONS WHICH PROMOTE CONTINUOUS IMPROVEMENTS.

(20) THE AUDITOR SHOULD BE ABLE TO IDENTIFY CONTINUOUS IMPROVEMENTS BY

* IDENTIFYING ANY NON-CONFORMANCE ITEMS.
* DOCUMENTATION OF CORRECTIVE PROCESSES
* CHANGES TO BUSINESS CONTINUITY POLICY AS THE BCMS EVOLVES.