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 September 2016 Exam Location: Prospero House

Instructor Name: Scott Carver London

BCM 5000 ISO 22301 Lead Auditor Exam 2016
Answer Form
Your Name MARK COOTE

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. d
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. 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.

19011 clause 4 (See attached sheet)

1. ~~22313 clause 4.2 (see separate answer sheet)~~
2. 19011 clause 5.1 (See separate sheet)
3. 19011 Clause 5.4.3 (see separate sheet)
4. 19011 clause Appendix B.3
5. 22313 clause 4.2.1 (see separate answer sheet)
6. 22301 clause 4.2.2. (see separate answer sheet)
7. 22301 clause 4.3.1 (see separate sheet)
8. 22313 clause 5.2 (see separate sheet)
9. 22301 clause 6.2. (see separate sheet)
10. 22301 clause 7.2 (see separate sheet)
11. 22301 clause 7.5.3 (see separate sheet)
12. 22313 clause 8.2.2. (see separate sheet)
13. 22301 clause 8.2.3 (See separate sheet)
14. 22301 clause 8.3.1 (see attached sheet)
15. 22301 clause 8.4.4. (See separate sheet)
16. 22313 clause 8.4 (see separate sheet)
17. ~~22301 clause 8.4.2~~. 22313 clause 8.4.2 (see separate sheet)
18. 22301 clause 7.4 (See separate sheet)
19. 313 clause 8.5.2 (See separate sheet)
20. 22313 clause 10.2 (See separate sheet)

MARK COOTE

Q1. The competencies required for an auditor include

- Integrity - this is important to ensure that work is performed with honesty and responsibility.
- Confidentiality - Using discretion and ensuring the protection of information obtained.
- Independence to provide impartiality and objectivity

Q2. Three components of a typical audit plan would be

① The objectives for the audit. This is required to establish the conduct ~~aspect of the audit. The objectives~~ and planning of the audit. Further detail on objectives for the audit can be found in ISO 19011 clause 5.2.

② The audit criteria would be used to establish the reference against which conformity is determined. Further detail is available in ISO 19011 clause 5.4.2.

③ Audit methods are used to establish how the audit will be conducted. Examples include conducting interviews, observation of work performed and completing checklists. Additional information is available in ISO 19011 Appendix B.

Q3. Examples of audit methods include conducting documentation reviews with the auditee and conducting ~~[illegible]~~ interviews.

- Documentation reviews would be used to validate and evidence that documented processes are in place are available and are subject to review and change control procedures. Documentation should be correct, current, consistent and complete.
- Conducting interviews would be used to validate a person's knowledge and competence. ~~and to establish~~

Q4. Examples include

- Judgement based sampling

This method ~~precede~~ is relevant on the experience of the auditor (refers to clause 7 of ISO 19011 for greater information) and involves the auditor making a judgement ~~on the~~ of the sample group to assess the effectiveness of the process under review. Further detail is available in ISO 19011 (Appendix B 3.2)

- Statistical Sampling

This method can be used to ~~assess~~ to assess a sample percentage group and to extrapolate ~~an~~ likely result. ~~Some~~ The auditor should consider the size of the sample group and the level of risk that the auditor is willing to accept. Further detail can be found on ISO 19011 (Appendix B. 3.3)

Q5. Examples of those who should be involved are top management, the business continuity team and those who have a relationship with interested parties. ~~Examples~~
Examples of interested parties may include regulators who have an interest in ensuring appropriate legislation and requirements are followed, customers are another interested party who will have an expectation for the continuation of service provided by the organisation.

Q6. The organisation should have a process which identifies and assesses it's legal and regulatory requirements. This process should be subject to review and change managed to ensure the list remains current and ~~complete~~ comprehensive.

Q7. The context of the organisation, the interests of relevant parties and legal and statutory requirements.

Any exclusions that do not affect the organisation's ability and responsibilites to provide continuity can be safely excluded.

Q8. Examples include: ① Integrating BCMS processes into established review procedures

② Ensuring sufficient resources and budget is available

③ Actively engaging in exercising and testing.

Q 9. Top management has responsibility to establish BC objectives. Top management is required to communicate these objectives and ensure that they are: consistent with policy, be measurable and can be monitored and updated as appropriate.

An auditor should evaluate whether the objectives are consistent with policy, take account of the minimum level of service acceptable and can be measured.

Q 10. Examples for an auditor to confirm this include:

① ~~Exa~~ Interviews with staff to check understanding and competence.

② Review of training records to confirm attendance

Q. 11. Examples include: ① Policy document

② Incident Response plans

③ Business Impact Analysis documentation

Documentation should be kept securely with adequate protection and be available for use as required.

Control of the documentation should be in line with the organisation's document control ~~policy ensuring that the process takes account of documentation~~ policies for distribution, storage, retention; change control and access.

Q.12. That Recovery Time Objectives and impacts have been appropriately captured and assessed in the BIA process. I would also expect to see agreement of these priorities from top level management.

Q13. The auditor would require to see documentation evidencing the risk assessment process. This documentation should ~~cover~~ demonstrate that - ① Risks ~~of~~ disruption ~~to~~ to prioritised activities have been identified
② Risks have been assessed, evaluated and treatments identified.

Q14. Strategies should be determined and selected utilising the data and results from the BIA and Risk Assessment processes to protect prioritised activities.

Q15. The procedures should be documented in line with the organisation's established procedure ~~framework~~ and take account of the needs of the staff who will use them.

Q16. Procedures to be established include
① Incident response structure – which will prepare for and respond to disruptive events.

② Warning and Communications – which will ~~address~~ communicate with internal & external parties ~~plan~~.

③ ~~Safety & Welfare~~ –

③ Incident Communications – Monitoring of potential threats and ongoing monitoring of the incident.

Q17. Teams may include Communications teams, Salvage teams and Human Resources teams.

Q.18 The organisation should have determined the need for both internal and external communications ~~not~~ which set out what, with who and when to communicate. This may be evidenced in a range of documents including the Policy, Scope and Incident response processes.

Q.19. I would expect ~~the~~ to see evidence that the programme exercises all elements ~~of the~~ covered in the policy. That there is an agreed schedule of exercises, and that exercises cover testing technical, logistical, people, technology required to support recovery.

Q20. Continual improvement can be evidenced by

① Reviewing the BCMS documentation to ~~review~~ ~~change~~s ~~arising from~~ previous corrective actions identified. have been fixed.

② The BCMS has been subject to review and evaluation which has identified gaps, deficiencies, changes to Scope and Policy. (ISO clause 5.3) (4.3.2)

③ Changes to the BCMS have been considered and items have been agreed for implementation.