Your Name MARTA GUIMARÃES

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 SEPTEMBER 2016 Exam Location: PROSPERO HOUSE (EIC). LONDON

Instructor Name: SCOTT CARVER

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Answer Form
Your Name MARIA GUIMARAES

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.

1. ISO 19011 – C 7.2.
2. ISO 19011 – C 6.3.2.2
3. ISO 19011 – C 5.4.3 ANNEX B B1
4. ISO 19011 – C.5.4.3 ANNEX B B3
5. ISO 22301 – C. 4.2.1
6. ISO 22301 – C. 4.2.2.
7. ISO 22301 – C 4.3.2
8. ISO 22301 – C 5.2.
9. ISO 22301 – C. 6.2.
10. ISO 22301 – C. 5. 4. – ALSO FOR DETAIL 313 C 5.4.
11. ISO 22313. – C 7.5. –
12. ISO 22301 – C 8.2.2
13. ISO 22313 – C. 8.2.3.
14. ISO 22301 – C 8.3.1
15. ISO 22301 – C 8.4.1.
16. ISO 22313 – C. 8.4.4.3
17. ISO 22301 – C 8.4.2
18. ISO 22301 – C 7.4.
19. ISO 22301 – C 8.5
20. ISO 22313 – C. 10.2

*NOTE:
PLEASE SEE ~~ANNEXES~~ ADDICIONAL SHEETS FOR DETAIL

QUESTION:

(1) AN AUDITOR SHOULD BE KNOWLEGABLE, FAIR, OBJECTIVE IMPARCIAL, AN AUDITOR SHOULD DEMONSTRATE A PROFECIONAL BEHAVIOR AND HAVE ALL THE ABOVE SKILLS TO BEST MANAGE THE AUDIT PROCESS AND PROGRAM. THE EXTERNAL AUDITOR SHOULD ALSO HAVE KNOWLEGE OF THE REGULATIONS AND STANDARDS

(2) AN AUDIT PLAN SHOULD STATE THE METHODS BEING USED TO AUDIT SO THAT IS CLEAR TO ALL THE PROCEDURES OF THE AUDIT, SHOULD HAVE CLEAR OBJECTIVES THAT ARE REFFERENCED TO THE ORGANIZATION POLICY AND PROCEDURES AND ALL DOCUMENTATION. SHOULD ALSO HAVE ROLES AND RESPONSABILITIE CLEARLY DEFINE AS WELL AS A SCOPE.

(3) AN INTERVIEW METHOD, ~~[illegible]~~ WITH INTERESTED PARTIES CONDUCTING INTERVIEWS THAT COULD BE ON-SITE OR OVER THE PHONE, UTILIZING SPECIFIC PRE-ALLOCATED ROOMS ECT... ~~JUDGEMENT BASED SAMPLING~~ THE INTERVIEW SHOULD BE HELD IN A MANNER THAT THE INDIVIDUAL BEING INTERVIEWED IS PUT AT EASE, IS EXPLAIN THE REASON FOR THE INTERVIEW ETC...
A SAMPLING METHOD - WHERE A SAMPLE OF THE BCMS IS TAKEN FOR THE AUDIT PURPOSE IF NOT ENOUGH COULD ALWAYS BE RE-EVALUATED THE SIZED OF THE SAMPLE. EXAMPLES MIGHT BE. TAKING A PERCENTAGE CROSS SECTION OF THE DOCUMENTATION SUBJECT TO THE AUDIT.

(4) JUDGEMENT-BASED SAMPLING AND STATISTICAL SAMPLING
JUDGEMENT-BASED SAMPLING RELIES ON THE KNOWLEGDE ACQUIRED FOR EXAMPLE FROM PREVIOUS AUDIT EXPIRIENCE AND REVIEW AND CHECKING DOCS AGAINST.
STATISTICAL SAMPLING IS BASED ON CONFORMANCY OF THE COMPLETED FORMS AND PROBABILITIES →

on statistical sampling also uses a selection sample of the organization processes / documents to check consistency. Always cross reference against policy.

(5) ANY ONE THAT HAS A RELATIONSHIP WITH THE INTERESTED PARTIES RELEVANT TO THE BCMS. INTERESTED PARTIES could BE TOP MANAGEMENT, BCP TEAM.

RELEVANT NEEDS AND EXPECTATIONS ON ISO22313 C 4.2.1. WHEN THE REQUIREMENTS OF ALL INTERESTED PARTIES HAVE BEEN IDENTIFIED THE APPROPRIATE ACTIONS TO ADDRESS THEM SHOULD BE TAKEN.

(6) THE ORGANIZATION ~~...~~ SHOULD HAVE A LEGAL AND REGULATORY PROCEDURE RELEVANT TO THEIR BCM.

THE ORGANIZATION MAKES SURE that the INFORMATION AND DOCUMENTATION IS ESTABLISHED AND MAINTAINED AND ALL LEGAL AND REGULATORY REQUIREMENTS ARE INCLUDED.

* (7) BELOW

(8) Policies and procedures are put in place, ~~and~~ followed and applied.

HAVING THE APPROPRIATE RESOURCES AVAILABLE FOR RECOVERY AND TO SUPPORT THE ~~INTERESTED~~ PARTIES.

~~...~~ TO ENSURE THAT THE IMPORTANCE OF BCMS ~~AND ...~~ IS WELL communicated.

(7) It should be consider internal AND EXTERNAL INTERESTED PARTIES, LEGAL AND REGULATORIE REQUIREMENTS.

CAN BE EXCLUDED FROM SCOPE ANYTHING that DOES NOT AFFECT THE RESPONSABILITIES OF THE ORGANIZATION.

QUESTION!

(9) TOP MANAGEMT IS RESPOSIBLE TO DEVELOPE BC OBJECTIVES
THE objectivies should be consistente with the policy (301 C 5.3), mesuroblo taken into account ALL REQUIREMENTS AND SHOULD BE APPROPRIETLY monitored.
As PER ABOVE the Auditor should see if the objetives ARE in Acordance to the policy. AND ALL THE MESUREMENTS TO Monitored THEM ARE BEING TAKEN.

(10) TOP MANAGEMENT SHOULD promote and SUPPORT THE BCM POLICY through out THE ORGANIZATION. STAFF ROLES AND RESPONSABILITIES SHOULD BE DEFINED, AND INTERGRATED TO THEIR JOB DESCRIPTION APPRAISALS AND REWORD systems are IMPLEMENTED.

(11) Documents shuch as (7.5.1)
POLICY (5.3)
BC BIA (BUSINESS IMPACT ANALIZIES AND RISK ASSESMENT (8.2)
LEGAL AND REGOLATORIE REQUIREMENTS (4.2.2)
(7.5.2) Documents should be STORED ~~AND~~ in Acccessible places for the ~~B~~ interested parties that need access to have acces to them. Should be controlled ~~with~~ and reviewed (regularly and make sure the documents are created and updated with such things as version controls sate formats and appropriat an assecible software.

(12) Clearly identified processes and procedures internal and external dependencies mapped, products and services. RTOs and operational impact. Criticality of activities.

(13) Identified risk assesments
Prioritization of process and activities

(14) Examples may include. mitigation protecting prioritized activities. As a strategy mitigation is an action of reducing the impacts.

(15) Procedures should be established in order to ~~clearly~~ manage an incident and should be clearly stated in the BIA.
Procedures should be documented as per standard 8.4.1 a) to f)

(16) See other page (8)

~~Teams~~
~~Examples of procedures may included.~~
~~(17) Incident response structure (8.4.2)~~
~~warning and communication (8.4.3)~~
~~business continuity plan (8.4.4.)~~
~~(8.4.2) Organization should have structure documented a management structure for an incident with procedures responsabilities with roles and clearly defined.~~
~~(8.4.3) Procedures for warning and communication a) to f) should be established~~
~~(8.4.4) During business continuity plans should be in order during an incident.~~

16 (REFERENCEND IN back of page 2)
examples may inclued:
- incident management procedures (8.4.4.3.1)
- comunication procedure (8.4.4.3.2)
- Heath and Safety procedures (8.4.4.3.3)

(8.4.4.3.1) the organization Hes a team responsible to manage the incident effectively.

(8.4.4.3.2) There is a good communication flow during the incident to all interested parties internaly and externaly

(8.4.4.3.3) STAFF SAFETY ~~and~~ AND WELFARE should be prioritized during an incident

17 Response teams (incident management team), communication team, recovery teams. such as health and safety teams

incident management team ~~user~~ will manage the incident.
Recovery teams will access risk and impacts in their areas.
Heath and safety should be the ~~1st~~ first priority.

18 Communicaton internal and external has appropriate procedure that inclued How and when to communicate. and to whom
standard set in policy (5.3)
ALL interested parties are identified.

19 The organization should test the plans at planned intervals, procedures, the scope and the policy. The outcome of the exercise are use to address any correction or updates to the above.

20 What changes have been identified that need to be addressed and implemented and what corrective actions have been teken to implement them.