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
OLIVER GORDON

# 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 SEPT 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. B
4. A
5. B
6. C
7. D
8. H
9. A
10. B
11. A
12. C
13. F
14. B
15. B
16. A
17. C
18. A
19. E
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, C4
1. [illegible], [illegible], [illegible] (See Page 1)
2. [illegible], [illegible] (See Page 1) 19011, C 5.3.3
3. 19011, ANNEX B (See Page 1)
4. 19011, ANNEX B (See Page 2)
5. 22313, C 4.2.1 (See Page 2)
6. 22313, C 5.3 (See Page 3)
7. 22301, C 4.3.2 (See Page 3)
8. 22301, C 5.2 (See Page 3)
9. 22301, C.6.2 (See Page 4)
10. 22313, C 5.4 (See Page 4)
11. 22313, C 7.5.1 (See Page 4)
12. 22313, C 8.2 (See Page 5)
13. 22313, C 8.2.3 (See Page 5)
14. 22301, C 8.3 (See Page 5)
15. 22313, C 8.4.4 (See Page 6)
16. 22301, C 8.4.3 (See Page 6)
17. 22301, C.8.3.2 (See Page 7)
18. 22301, C 7.4 (See Page 7)
19. 22313, C 9.1.[illegible] (See Page 7)
20. 22313, C 10.2 (See Page 7)

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1) AUDITORS (INTERNAL AND EXTERNAL) SHOULD BE COMPETENT IN THE SUBJECT; OBJECTIVE; AND DELIVER FACT BASED OUTCOMES.

2) ELEMENTS OF AN AUDIT PLAN MAY INCLUDE:
- SCOPE
- LEGAL / REGULATORY ENVIRON
- RESULTS OF PREVIOUS AUDITS / TESTING

EACH OF THE ABOVE IS IMPORTANT FOR THE FOLLOWING REASONS:
- SCOPE
  - WITHOUT A DEFINED SCOPE, THE ORGANISATION CANNOT BE EFFECTIVELY MEASURED.
- LEGAL / REGULATORY ENVIRON
  - ANY 'IMPOSED' CRITERIA MUST BE KNOWN, SUCH THAT ADHERANCE CAN BE MEASURED.
- RESULTS OF PREVIOUS AUDITS / TESTING
  - USED TO DEMONSTRATE CONTINUOUS IMPROVEMENT AND COMMITMENT TO THE BCMS.

3) TWO EXAMPLES OF AUDIT METHOD'S INCLUDE:
- DOCUMENT REVIEWS
- STATISTICAL SAMPLING

DOCUMENT REVIEWS ARE USED TO ENSURE THAT THE DOCUMENTS ARE 'LIVE'. FOR EXAMPLE REVIEWED AND CURRENT.

STATISTICAL SAMPLING ALLOWS FOR A SAMPLE SELECTION OF REVIEWS. THIS MAY BE USED ACROSS A PLAN ESTATE WHERE LARGE NUMBERS OF PLANS EXISTS FOR EXAMPLE.

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4) TWO EXAMPLES OF SAMPLING MAY INCLUDE:
- JUDGEMENT BASED
- STATISTICAL BASED

JUDGEMENT BASED SAMPLING IS KNOWLEDGE BASED, AND GENERALLY USED TO MEASURE PROGRESS | IMPROVEMENT | CHANGE THAT CANNOT EASILY | OTHERWISE BE CONCLUDED VIA STATISTICAL SAMPLING.

STATISTICAL SAMPLING IS FACT BASED (YES | NO) AND USES A SUB-SET OF DATA TO ARRIVE AT A CONCLUSION. FOR EXAMPLE, THE ACCURATE COMPLETION OF TEMPLATES.

5) AS THOSE WHOM DETERMINE THE POLICY, 'TOP MANAGEMENT' SHOULD BE INCLUDED IN DETERMINING THE NEEDS AND EXPECTATIONS OF INTERESTED PARTIES. INTERESTED PARTIES MAY INCLUDE CUSTOMERS AND SUPPLIERS.

- CUSTOMERS: THIS GROUP WILL WANT TO KNOW THAT THIER PRODUCT (eg SAVINGS) ARE SAFE, AS WELL AS SERVICE AVAILABILITY.

- SUPPLIERS: THIS GROUP WILL BE KEEN TO KNOW THAT THE ORGANISATION IS FINACIALLY VIABLE (SUPPLY CHAIN RISK) FOR EXAMPLE.

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6) AS AN AUDITOR, I WOULD EXPECT TO SEE ANY LEGAL/REGULATORY REQUIREMENTS SET OUT WITHIN THE POLICY. MAINTENANCE OF THIS MAY BE DEMONSTRATED THROUGH REGULAR REVIEW AND/OR FOLLOWING ANY SIGNIFICANT CHANGE TO THE INTERNAL OR EXTERNAL LANDSCAPE FOR EXAMPLE.

7) AN AUDITOR SHOULD SEEK ASSURANCE THAT THE SCOPE HAS COVERED THE ORGANISATIONS OBJECTIVES; INTERESTED PARTIES AND PRODUCTS/SERVICES FOR EXAMPLE. EXCLUSIONS MAY INCLUDE THOSE THINGS THAT WON'T AFFECT THE ORGANISATIONS ABILITY TO CONTINUE BUSINESS AS DETERMINED BY THE BIA/RISK ASSESSMENT OR LEGAL/REGULATORY REQUIREMENTS

8) EXAMPLES OF TOP MANAGEMENT COMMITMENT TO THE BCMS INCLUDE:

- PROVISION OF RESOURCES
- PROMOTING CONTINUOUS IMPROVEMENT
- COMMUNICATING THE IMPORTANCE OF THE BCMS

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9) TOP MANAGEMENT ARE RESPONSIBLE FOR THE DEVELOPMENT OF THE BC OBJECTIVES. THE OBJECTIVES MUST ALIGN WITH THE POLICY, HAVE OWNERSHIP AND BE MEASURABLE FOR EXAMPLE.

AS AN AUDITOR, I WOULD EVALUATE THE BC OBJECTIVES AGAINST THE POLICY.

10) ~~RESP~~ UNDERSTANDING OF RESPONSIBILITES CAN FOR EXAMPLE BE DETERMINED THROUGH AWARENESS PROGRAMMES, INCLUSION OF RESPONSIBILITIES IN APPRAISALS. ALL RESPONSIBILITES SHOULD BE DEFINED IN THE POLICY. CONVERSATIONS CAN ESTABLISH UNDERSTANDING.

11) EXAMPLES OF DOCUMENTS WITHIN A BCMS INCLUDE:

- BC POLICY
- BIA
- STRATEGY

DOCUMENTATION SHOULD BE CONTROLLED TO ENSURE ACCIDENTAL MODIFICATION OR DELETION FOR EXAMPLE CANNOT OCCUR. THIS CONTROL IS ACHIEVED BY HAVING A DOCUMENT CONTROL SYSTEM.

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12) A FORMAL BIA AND RISK ASSESSMENT TO UNDERSTAND THE IMPACT OF NOT CONDUCTING THE IN-SCOPE ACTIVITIES. THIS MAY INCLUDE THE AGREEMENT TO RESTORE ACTIVITIES/SERVICES TO A REDUCED POSITION (NBCO)

13) ~~TH~~ EVIDENCE MAY INCLUDE THE DOCUMENTED OUTCOME OF THE RISK ASSESSMENT PROCESS, COVERING:

- RISK IDENTIFICATION
- RISK EVALUATION
- RISK TREATMENT

THIS SHOULD BE REFERENCED BACK TO THE POLICY TO ENSURE APPROPRIATE COVERAGE.

14) BC STRATEGIES SHOULD BE DETERMINED BASED ON THE OUTCOME OF THE BIA AND RISK ASSESSMENT. THE SELECTED STRATEGY MUST INCLUDE THE TIMEFRAME FOR THE RESUMPTION OF THE ACTIVITY.

15) PROCEDURES SHOULD BE DOCUMENTED TO ENABLE AN APPROPRIATE RESPONSE TO AN INCIDENT. THEY SHOULD BE DOCUMENTED CLEARLY, WITH PURPOSE, ACTIVATION CRITERIA AND RESOURCE REQUIREMENTS FOR EXAMPLE. ALL SHOULD LINK BACK TO THE BIA AND BC STRATEGY SELECTED.

16) THREE EXAMPLES INCLUDE:
- INCIDENT DETECTION
  - AN INCIDENT DETECTION PROCEDURE MUST BE IN PLACE TO DETERMINE WHETER AN INCIDENT HAS OCCURED.
- ALERTING
  - PROCEDURE OF HOW, WHEN AND TO WHOM TO ALERT ABOUT THE INCIDENT. ~~AND~~
- COMMUNICATION
  - PROCEDURE FOR THE MANAGEMENT OF INBOUND/ OUTBOUND COMMUNICATIONS, INCLUDING WRITTEN COMMS.

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17) THREE TEAMS THAT MAY BE RESPONSIBLE FOR RESPONDING TO AN INCIDENT ~~MAY~~ AS DETERMINED WITHIN THE BC STRATEGY MAY INCLUDE:

- ICT : PROVISION OF IT/DATA
- FACILITIES : PROVISION OF ACCOMMODATION
- COMMUNICATIONS : REPUTATION MANAGEMENT.

18) HAVING SET OUT WHAT WILL BE COMMUNICATED, WHEN AND TO WHOM, THE COMMUNICATION PROCEDURES WILL BE DEVELOPED. USING THE BC POLICY AND BIA, AS AN AUDITOR I WOULD VALIDATE THERE IS SUITABLE CROSS-OVER AND DEPTH IN COVERAGE.

19) SEEK EVIDENCE THAT TESTS/EXERCISES ALIGN TO THE BC OBJECTIVES, AND THAT THE RELEVANT STAKEHOLDERS (INTERNAL/EXTERNAL) HAVE BEEN INVOLVED. FURTHER, THAT ACTIONS IDENTIFIED HAVE BEEN ADDRESSED.

20) CONTINUAL IMPROVEMENT BY

- IDENTIFYING GAPS
- IDENTIFYING EXISTING CONTROLS
- DETERMINING CORRECTIVE ACTIONS.

THE ABOVE REPENTS POSSIBLE IDENTIFICATION OF CONTROL FAILURE (NON-CONFORMANCE) AND REMEDIATION PLAN. THIS MANIFESTS ITSELF THROUGH TESTING AND EXERCISING, DOCUMENT UPDATES AND PROCESS CHANGE FOR EXAMPLE.