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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 ROBERT SKELTON-SCOTT

# 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 SEP 16

Exam Location: PROSPERO HSE (ETC) LONDON

Instructor Name: SCOTT CARVER

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

1. A
2. G
3. F
4. A
5. B
6. A
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. B
20. A
21. B
22. G
23. ~~A~~ D
24. A
25. C
26. D
27. B
28. ~~[illegible]~~ 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 22301 7.2 Competence
2. ISO 19011 6.3.2.2. Preparing the audit plan
3. ISO 19011 Annex B Applying Audit methods
4. ISO 19011 Annex B.3 Sampling
5. ISO 22313 4.2 Understanding the needs/expectations...
6. ISO 22301 4.2.2 Legal + Regulatory requirements.
7. ISO 22313 4.3.2 Scope of the BCMS
8. ISO 22301 5.2 Management commitment
9. ISO 22313 5.4 Org roles, responsibilities + authorities.
10. ISO 22313 5.4 —"—
11. ISO 22313 7.5.1 Documentated information.
12. ISO 22301 8.2.2 BIA
13. ISO 22301 8.2.3 Risk assessment
14. ISO 22301 8.3.1 BC Strategy.
15. ISO 22301 7.5.2 Documented information.
16. ISO 22301 8.4.1 Establish BC..
17. ISO 22313 8.4.2 Incident Response
18. ISO 22301 7.4 Communications
19. ISO 22313 8.5.2 Exercise programme
20. ISO 22313 10.2 Continual Improvement

* Please see additional 6 (six) sheets.

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① ISO 22301 7.2 Competence

An organisation should determine the necessary competence of personnel.

Three competences that are most important may include:

- appropriate education (qualified)
- appropriate training
- appropriate experience

This will allow for a concise audit, drawing out relevant information.

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② ISO 19011 6.3.2.2.

Three components of an audit plan may include:

- audit objectives
- audit scope
- audit criteria

Setting out clearly the objectives, scope and criteria for the audit helps to restrict the audit investigation in the area requiring the audit - thereby maintaining focus in the area which will allow deeper investigation. By 'framing' the audit it also allows for greater efficiency of assets to use for the audit.

③ ISO 19011 Annex B Applying Audit Methods

Two types of audit methods that may be used are a) conducting interviews, and b) sampling.

Face to face interviews are regarded as one of the better methods as information can be drawn out from the interviewee through probing subject areas.

Sampling allows an audit team to gain information when circumstances dictate / practical or cost effective.
Although not 100% accurate, a predecided tolerance level (usually 5%) can be used.

Judgement-based sampling (B.3.2) and Statistical Sampling (B.3.3) are examples.

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④ ISO 19011 Annex B 3 Sampling

Two types are Judgement-based sampling (B.3.2) and Statistical sampling (B.3.3).

Judgement-based sampling draws on the knowledge, skills and experience of the audit team for example prior experience from conducting the audit previously. This can be used to gather the best information by using an auditor with specific technical knowledge to conduct the investigation / or specific prior knowledge/experience of the audit.

Statistical sampling can be used effectively when the outcomes are binary - ie yes/no or correct/incorrect.

Both examples of sampling can be time efficient and cause minimal disruption to ~~busi~~ normal business activity.

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(5) ISO 22313 4.2 Understanding the needs & expectations of interested parties.

Top management should include interested parties when defining the scope of the BCMS. The organisation shall consider not only the interested parties it has obligatory requirements but also those that are 'implied.' (4.2.1).

Examples of interested parties are (1) customers who will want assurance and business confidence in the continued supply of services (2) distributors who will also need assurances so their operations and business activities are not impacted by any disruptions.

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⑥ ISO 22301 4.2.2 Legal + Regulatory requirements

The organisation should ensure that documentation on legal + regulatory requirements are kept up to date. New and or variations to such documents and other requirements shall be communicated as required/necessary. Confirmation of this can be done through investigating communications (7.4) and documentation (7.5).

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⑦ ISO 22313 4.3.2. Scope of the BCMS

The auditor should review appropriateness of the scope of the BCMS by ensuring that the requirements (mission, goals, legal responsibilities risk appetite etc) are considered.
Exclusions from the scope should be correctly documented including an explanation, and be current with the organisation's policy (5.3).

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(8) ISO 22301 5.2 Management commitment

Management shall demonstrate their commitment by -

a. making sure policies and objectives are compatible with strategy

b. Resources for the BCMS are available

c. Communicating the importance of the BCMS.

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(9) ISO 22313 ~~22301~~ 5.4 Organisational roles, responsibilities and authorities.

A member of top management should have overall responsibility and accountability.
Top management are responsible and have authority for ensuring the management system conforms to International Standard.

All roles and responsibilities should be defined and documented and subject to audit.

(10) ISO 22313 5.4 Org Roles, responsibilitites & authorities

Top Management should appoint ~~xxx~~ other management with responsibilities for the BCMS.

Induction training of new recruits / arrivals at the organisation should include BCMS training.

Their roles and accountability should be reflected in recognition, appraisal and reward.

Face to face interviews can confirm knowledge and checks of communications to all staff to confirm (7.4).

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(11) ISO 22313 7.5.1 Documented information

Documents may include:

a) Policy b) BC objectives c) Internal audits.

Documents should be appropriately protected and be accessable ~~And~~ including updates.

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(12) ISO 22301 8.2.2 BIA

The Business Impact Analysis BIA should include the following criteria:

a. identify activities needed for services
b. assess their impacts over a time span
c. set priorities — resumption of activities
d. identify dependecies.

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(13) ISO 22301 8.2.3 Risk assessment

Reference for management can be made to (ISO 31000). Risks for disruption affecting processes, systems, IT, assets, people etc.

Risk registers should be stored as per (7.5) regulations.

(14) ISO 22301 8.3.1 BC Strategy.

The process is the analysis of ~~inputs~~ outputs from the ~~BIA~~ BIA. The Strategy selection will conform to priorities for -

a. protecting activities
b. resuming activities
c. and mitigating and managing impacts.

All this within established timeframes with regards to other interested parties.

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(15) ISO 22313 7.5.2 Documented information

All documentation should ~~be~~ conform to :-

- identification (title, name, date, author etc)
- acceptable/standard formats (should be the same software)
- all documents periodically reviewed.

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(16) ISO 22301 8.4.1

Three ~~SC~~ procedures that should be established and implemented may include:

a. Established communications

b. focus on impacts of event / minimise concequences

c. ~~Minimise the concequences.~~ Establish an incident responce structure

To enable this use of warning + comms as identified in (8.4.3).

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(17) ISO 22313 8.4.2 Incident Response Structure

Three teams that may respond to an event [illegible] as well as the incident response team are:-

- incident management team
- welfare team
- Communications team

The teams should be sufficiently supported and have appropriate resources (7.1).

(18) ISO 22301 7.4 Communication

The organisation will maintain procedures for all types of communication including:

- internal
- external
- comms with interested parties
- ensuring availability of comms after an event.

These can be brought out and confirmed during exercises + testing (8.5)

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(19) ISO 22313 8.5.2 Exercise programme

An organisations exercise programme should cover the following aspects :-

- technical, logistical, admin, procedural exercises
- exercise those with responsible roles
- BC arrangements (ie in work areas)
- exercise capability of technology + comms.

Evidence of this can be gained through audit witnesses during tests/exercises and followed-up with post exercise debriefs and interviews.

(20) ISO 22313 10.2 Continual Improvement

The organisation should ensure its BCMS is continually improved. This can be measured against BC Policy (5.3) and objectives, audit results, corrective actions and the use of management reviews.

Evidence of changes should be identifiable in BCMS documentation.

Evidence can be gained from previous non-conformities being upgraded and deemed conformity.

To enable continuous improvement the process should be

- identify ~~xxx~~ non-conformity (problem)
- identify root cause (how problem exists)
- identify corrective action