



Embedding the culture and systems of organizational resilience

BCM 5000 ISO 22301 Lead Auditor Exam 2016

Answer Form

Your Name *Tom MANN*

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) *TOM MANN*

Address: (where you want the certificate mailed) *Nationwide House, Pipers Way, Swindon, UK, SN38 1NW*

Company Name: *Nationwide Building Society*

Email (work): *tom.mann@nationwide.co.uk*

Email (home):

Date of Exam: *23/9/16*

Exam Location: *Prospers House (etc)
London*

Instructor Name: *Scott Carver*



Embedding the culture and systems of organizational resilience

BCM 5000 ISO 22301 Lead Auditor Exam 2016

Answer Form

Your Name

TOM
Mann

Section 1: Multiple Choice. (1 point each)

- | | |
|-------|-------|
| 1. A | 21. B |
| 2. G | 22. H |
| 3. F | 23. D |
| 4. A | 24. A |
| 5. B | 25. C |
| 6. A | 26. D |
| 7. D | 27. B |
| 8. H | 28. G |
| 9. A | 29. B |
| 10. D | 30. C |
| 11. A | 31. B |
| 12. C | 32. A |
| 13. F | 33. B |
| 14. B | 34. D |
| 15. B | 35. D |
| 16. A | 36. A |
| 17. C | 37. A |
| 18. A | 38. B |
| 19. B | 39. D |
| 20. A | 40. B |



Embedding the culture and systems of organizational resilience

BCM 5000 ISO 22301 Lead Auditor Exam 2016

Answer Form

Your Name

TOM
Mann

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 9.2 See other sheet.
2. 19011 6.3.2.2 See other sheet.
3. 19011 B.3 See other sheet.
4. 19011 B.3 See other sheet.
5. 22313 4.2.1 See other sheet.
6. 22301 4.2.2 See other sheet.
7. 22301 4.3.2 See other sheet.
8. ~~22301~~ 5.2 See other sheet.
9. 22301 6.2 See other sheet.
10. 22301 7.3 See other sheet.
11. 22301 7.5.3 See other sheet.
12. 22301 8.2.2 See other sheet.
13. 22301 8.3.2 See other sheet.
14. 22301 8.3.1 See other sheet.
15. 22313 8.4.4.2 See other sheet.
16. 22313 8.4.4.3 See other sheet.
17. 22313 8.4.2 See other sheet.
18. 22301 7.4 See other sheet.
19. 22301 8.5 See other sheet.
20. 22313 10.2 See other sheet.

1. It is important for an auditor to be competent, objective and impartial in order for them to be able to establish if an organisation's BCMS requirements and ISO 22301 requirements are conformed with.
2. An audit plan should ~~should~~ have objectives which detail what the audit is aiming to achieve, a scope determining which processes and functional/organisational areas are being audited and the timing of the audit to ensure those required are present. All of these elements of the plan are important to the audit achieving its stated objective(s).
3. Judgement based sampling could be utilised. For example, understanding risk areas that were identified previously. Statistical sampling could also be utilised. For example, reviewing a percentage of an organisation's BIA's.
4. Judgement based sampling could be used to gather information effectively as it utilises the experience, knowledge and skills of the auditor or audit team. Statistical sampling could be used utilised to gather information about an organisation's Business Continuity Plans.
5. Anyone in the organisation who has identified an interested party who is relevant to the BCMS. Customers need to know how the products/services they receive could be impacted. Regulators need to know if a regulatory breach has or could occurred).
6. Determine if the organisation has a process to identify its regulatory and legal requirements. Inclusion of the latest regulatory and legal requirements in documentation would be evidence of it being up to date.

7. As Listed in 22301 4.3.2 a-e. Examples include the identification of the products and services to be included in the scope and the requirements of interested parties. Areas which will not impact the organisation's ability to provide business and operational continuity can be excluded.

8. As Listed in 22313 5.2. Examples include the establishing of a Business Continuity Policy, being engaged in exercises and tests and ensuring that the BCMS is audited.

9. Top management are responsible for developing BC objectives. This requires the organisation to determine responsibilities, resources, evaluation of results, as examples.

One method of an auditor evaluating BC objectives would be ~~to~~ to establish if they are consistent with an organisation BC policy.

10. This could be done via methods such as interviews or questionnaires, understanding things such as ~~the~~ the implications when BCMS requirements are not conformed with and ~~as~~ if an individual is aware of their role in the event of a disruption.

11. Examples of BCMS documents include a policy, a BIA and a BCP. These should be stored in a place that is accessible and available to those who require them.

12. The organisation should identify its products and services and the activities which support these, assess how not performing these activities will impact them and set timeframes to resume these at agreed levels.

13. An audit should review the scope of the risk assessment. They could also establish if the person conducting the assessment was competent to conduct and audit according to ISO 22301.
14. A BIA process will determine which BC strategies should be selected. Strategies include the protection of prioritized activities and incident management.
15. Business continuity procedures should have their purpose, scope and objectives documented and defined. They should be understood by the person/people who will use the plan in the event of a disruption.
16. Three types of procedures that could be established are:
- Incident Management
 - Communications
 - Safety and Welfare
17. Three types of team who could respond/Manage a disruption are:
- Incident Management team
 - Communications team
 - Welfare team.
18. Is listed in ISO 22301 7.4. Examples include:
- Internal communication
 - Communication with interested parties
 - Customer communication
 - communication with the media.
 - ensuring communication means are maintained.
- Page 3 of 4

19. An auditor would evaluate an exercise program by establishing it is ~~consistent~~ consistent with the objectives and scope ~~content~~ of the BCMS. Minimizes operational disruption, produces reports following exercises.
See ISO 22301 8.5 ~~to~~ a-g for full list.

20. Auditor could evaluate improvement by ~~notifying~~ establishing if nonconformities are identified, if root cause analysis takes place and if corrective actions are implemented.