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THE ICOR
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
TRACY HARNES

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 SEPTEMBER 16 Exam Location: PROSPERO HOUSE 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. 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. 22301 C 9.2 - SEE SEPERATE SHEET
2. ISO 19011 C 5.3 - SEE SEPERATE SHEET
3. ISO 19011 C 5.4.3 - SEE SEPERATE SHEET
4. ISO 19011 Annex B C.B.3.1 - SEE SEPERATE SHEET
5. ISO 22313 C 4.2.1 - SEE SEPERATE SHEET
6. ISO 22301 C 4.2.2 - SEE SEPERATE SHEET
7. ISO 22301 C 4.3.1 - SEE SEPERATE SHEET
8. ISO 22313 C 5.2 - SEE SEPERATE SHEET
9. ISO 22301 C 6.2 - SEE SEPERATE SHEET
10. ISO 22313 C 7-2 - SEE SEPERATE SHEET
11. ISO 22313 C 7-5-1 - SEE SEPERATE SHEET
12. ISO 22313 C 8-2-2 - SEE SEPERATE SHEET
13. ISO 22313 C 8-2-3 - SEE SEPERATE SHEET
14. ISO 22313 C 8-3-2-1 - SEE SEPERATE SHEET
15. ISO 22301 C 8-4-4 - SEE SEPERATE SHEET
16. ISO 22301 C 8-4 - SEE SEPERATE SHEET
17. ISO 22313 C 8.4-4-3 - SEE SEPERATE SHEET
18. ISO 22301 C 5-3 - SEE SEPERATE SHEET
19. ISO 22313 C 8-5-2 - SEE SEPERATE SHEET
20. ISO 22313 C 10-2 - SEE SEPERATE SHEET

(1) EXAMPLES OF COMPETENCIES ARE TO BE OBJECTIVE,
ISO 22301 C9.2 IMPARTIAL AND COMPITENT. BE KNOWLEDGABLE AND
FAIR

(2) EXAMPLES OF TYPICAL AUDIT PLAN IS IDENTIFYING THE
SCOPE OF THE PLAN WHICH INCLUDES THE DURATION OF
THE AUDIT AND THE NUMBER OF AUDITS.
ISO 19011 C5.3 WOULD ALSO INCLUDE THE RESOURCES REQUIRED
WHICH MAY INCLUDE FINACIAL COSTS AND THE
AVAILABILITY OF TECHNICAL SUBJECT MATTER EXPERTS.
THE PLAN WOULD ALSO DETAIL THE AUDIT METHODS
TO BE USED I.E VIA FACE TO FACE INTERVIEWS,
QUESTIONNAIRES, SAMPLING AND CHECKLISTS.

(3) TWO METHODS THAT COULD BE USED IN BCMS
ARE INTERVIEWS WITH SME'S, DRILLING DOWN
ISO 19011 5.4.3 INFORMATION WITH A SERIES OF QUESTIONS.
~~AND~~ DOCUMENT REVIEWS CAN ALSO BE CONDUCTED
LOOKING AT RECORDS, DATA ANALYSIS, BUSINESS
PLANS AND SLA'S

(4) EXAMPLES OF SAMPLING TECHNIQUES ARE
STATISTICAL SAMPLING (B.3.3) BASED ON
ISO 19011 Annex B B.3.1 A SAMPLE SELECTION LOOKING A POSSIBLY
CRITICAL PLANS FIRST THE CASCADING OUT TO
OTHER PLANS IF REQUIRED, USED IN LARGER COMPANIES
JUDGEMENT BASED SAMPLING LOOKING A
PREVIOUS AUDITS FOR AREA'S FLAGGED PREVIOUSLY
AS KEY RISKS. ESPECIALLY IF THERE IS A LARGE
~~[illegible]~~ DEGREE OF CHANGES IN THE ORGANISATION
I.E STAFF TURNOVER, CHANGE IN IT SYSTEMS

5 TOP MANAGEMENT, THE BCP TEAM AND INCIDENT/ EMERGENCY PERSONNEL SHOULD BE INCLUDED.

EXAMPLES OF INTERESTED PARTIES WOULD BE

ISO 22313 4-2-1 ALL STAKEHOLDERS INCLUDING CUSTOMERS AND SENIOR MANAGEMENT, REGULATORS ETC

EXPECTATIONS OF INTERESTED PARTIES WOULD BE ~~WHAT~~ THEIR REQUIREMENTS ARE AND WOULD NEED TO BE COMMUNICATED APPROPRIATELY.

THIS COULD INCLUDE TIME SCALES, SLA'S ~~ETC~~.

6 AN AUDITOR WOULD FOR EXAMPLE LOOK AT THE LEGAL AND REGULATORY PROCEDURES.

EXAMPLES TO DEMONSTRATE THIS WOULD BE VIA

ISO 22301 C4.2.2 NEW POLICIES, ANY CHANGES TO LEGAL / REGULATORY

ISO 22313 4.2.2 DETAILS ARE COMMICATED EFFECTIVELY AND KEPT UP TO DATE WITH ~~THE~~ PROGRAM.

7 EXAMPLES OF REVIEW COULD INCLUDE INTERNAL/ EXTERNAL COMMUNICATION. LOOKING AT CRITICAL

ISO 22301 C.4.3.1 PROCESSES, FUNCTIONS AND GEOGRAPHICAL LOCATIONS

ISO 22301 C4.3.2 EXCLUDED FROM SCOPE SHOULD BE DOCUMENTED AND THIS SHOULD ALSO INCUDE THE REASON FOR THE EXCLUSION.

8 ISO 22313 5.2 EXAMPLES OF TOP MANAGEMENT COMMITMENT COULD INCLUDE

- APPOINTING APPROPRIATE PERONNEL TO BE RESPONSIBLE
- ESTABLISHING CLEAR BCM ROLES AND RESPONSIBILITIES
- COMMUNICATING TO THE COMPANY HIGHLIGHTING THE IMPORTANCE OF ADHERING TO THE BC POLICY AND PROCEDURES

9

ISO 22301 C6.2

SENIOR MANAGEMENT ARE RESPONSIBLE FOR BC OBJECTIVES AND THIS REQUIRES THAT THEY ARE EMBEDDED AND COMMUNICATED EFFECTIVELY WITHIN THE COMPANY.

AS AN AUDITOR THESE ARE MEASURABLE BY PERSONAL DEVELOPMENT PROGRAMMES, TRAINING AND MENTORING

10

ISO 22313 C7.2

EXAMPLES OF DAY-TO-DAY RESPONSIBILITIES ARE UNDERSTOOD ARE CONFIRMED VIA AN INTERVIEW PROCESS, LOOKING AT THEIR TRAINING PLAN AND KNOWLEDGE BASE

11

ISO 22313 C7.5.1

EXAMPLES OF BCMS DOCUMENTS COULD INCLUDE DUE DILLEGENCE REPORTS, POST EXERCISE RESULTS BUSINESS CONTINUITY POLICY.

ISO 22313 C7.5.3

THESE DOCUMENTS SHOULD BE STORED SECURELY WITH BACK UP CAPABILITY AND CAN ONLY BE ACCESSED BY AUTHORISED STAFF.

ISO 22301 7.5.3

THE DOCUMENTS SHOULD HAVE VERSION CONTROLS, DISTRIBUTION LISTS AND THE RETENTION PERIOD

12

ISO 22313 C8.2.2

EXPECTED RECOVERY TIME OBJECTIVES TO BE INCLUDED AND THE IMPACT OF THESE SERVICES NOT BEING AROUND.

INTERNAL AND EXTERNAL DEPENDENCIES HAVE BEEN CLEARLY IDENTIFIED.

(13) ISO 22313 C8-2-3 DOCUMENTATION TO BE REVIEWED COULD INCLUDE BIA'S, STRATEGY STATEMENTS, FIRE PROTECTION REPORTS, GENERATOR / ELECTRICAL RESILIENCE

(14) ISO 22313 C8-3-2-1 THE PROCESS COULD INCLUDE OVERSIGHT OF INCIDENT PREPAREDNESS AND ABILITY TO RESPOND AND RECOVER.

FINANCIAL PROCEDURES TO SUPPORT THE PROCESS DURING AN INCIDENT

APPROPRIATE TEAMS INPLACE WITH RESOURCES

(15) ISO 22301 C8-4-4 PROCEDURES SHOULD BE DOCUMENT TO MANAGE A DISRUPTIVE INCIDENT AND INCLUDE ROLES ANDRESPONSIBILITES. SHOWHOW CRITICAL ACTIVITIES WILL BE RECOVERED WITHIN TIMEFRAMES. INCLUE INTERACTION WITH THE MEDIA AND A PROCESS FOR STANDING DOWN ONCE THE INCIDENT IS CONCLUDED

(16) ISO 22301 8.4 EXAMPLES OF BUSINESS CONTINUIY PROCEDURES ARE COMMUNICATION PROCEPURES, INCIDENT RESPONSE PROCEDURES AND RESUMPTION PROCEDURES

(17) ISO 22313 8.4.3 TEAMS THAT MAY BE INCLUDED ARE SAFETY TEAM, SALVAGE TEAMS, COMMUNICATION TEAMS AND INCIDENT RESPONSE TEAMS

(18)

ISO 22301 C5·3

ENSURE THAT THE POLICY INCLUDES ALL INTERESTED PARTIES FOR COMMUNICATION ALSO REVIEW INLINE WITH ISO 22313 8.4.4.3.2 RE COMMUNICATION PROCEDURES

ISO 22313 8·4·4·3 2

WITH A PROCESS FOR IDENDIFYING COMMUNICATION TO ALL PARTIES SETTING OUT PRIORITISING AND ALLOCATING PERSONS TO EVERY STAKEHOLDER WITHIN THE REQUIREMENTS

(19).

ISO 22313 C 8·5·2

EXAMPLES INCLUDE EXERCISE STAFF WITH RESPONSIBILITIES CONSISTANT WITH THE BUSINESS CONTINUITY PROCEDURES TAKING INTO ACCOUNT REGULATIONS EXERCISE INCIDENT MANAGEMENT COMMAND CENTRES AND TEST WORK AREA RECOVERY LOCATIONS.

SHOULD HAVE A SCHEDULE OF EXERICES AND FREQUENCY OF THESE TESTS.

COULD ALSO INCLUDE THIRD PARTY PROVIDERS, CRITICAL SUPPLIERS IF APPRORIATE

(20)

ISO 22313 10·2

EXAMPLES OF IMPROVEMENT COULD INCLUDE CHANGES MADE AND IMPLEMENTED TO BCMS, MANAGEMENT REVIEW AND DATES FOR CORRECTIVE COMPLETION ACHIEVED IN A TIMELY MANNER. LESSONS LEARNT DOCUMENTS, COMPLETED AND ACTIONED.