PECB

BEYOND
RECOGNITION

Exam Preparation Guide

ISO 22301 Lead Auditor

PECB

The objective of the "PECB Certified ISO 22301 Lead Auditor" exam is to ensure that the candidate has the necessary competence to: perform a business continuity management system (BCMS) audit in compliance with the ISO 22301 standard requirements; manage an audit team by applying widely recognized audit principles, procedures, and techniques; and, lastly, plan and carry out internal and external audits as per the guidelines of ISO 19011 and in compliance with the ISO/IEC 17021-1 certification processes.

The ISO 22301 Lead Auditor exam is intended for:

- Auditors seeking to perform and lead business continuity management system (BCMS) audits
- Managers or consultants seeking to master the business continuity management system audit process
- Individuals responsible to maintain conformity with the BCMS requirements in an organization
- Members of business continuity team
- Internal auditors
- Individuals tasked with improving their organization's business continuity effectiveness
- Technical experts seeking to prepare for a business continuity management system audit
- Expert advisors in business continuity management

The exam covers the following competency domains:

- **Domain 1:** Fundamental principles and concepts of a business continuity management system (BCMS)
- **Domain 2:** Business continuity management system (BCMS)
- **Domain 3:** Fundamental audit concepts and principles
- **Domain 4:** Preparing an ISO 22301 audit
- **Domain 5:** Conducting an ISO 22301 audit
- **Domain 6:** Closing an ISO 22301 audit
- **Domain 7:** Managing an ISO 22301 audit program

PECB

The content of the exam is divided as follows:

Domain 1: Fundamental principles and concepts of a business continuity management system (BCMS)
Main objective: Ensure that the candidate understands and is able to interpret ISO 22301 principles and concepts

Competencies	Knowledge statements
1. Ability to explain what ISO does and the key principles in standard development 2. Ability to distinguish between various ISO management system standards 3. Ability to explain what an integrated management system is and how it can help an organization 4. Ability to evaluate the applicability of ISO 22301 requirements to an organization 5. Ability to explain the advantages of implementing a BCMS based on ISO 22301 6. Ability to describe the management system certification process 7. Ability to explain and illustrate the main terms and definitions of ISO 22301 8. Ability to illustrate the correlation between Plan-Do-Check-Act (PDCA) cycle and the main clauses of ISO 22301	1. Knowledge of management system standards and integrated management systems 2. Knowledge of various standards that are part of the ISO 22301 family of standards 3. Knowledge of the scope of ISO 22301 4. Knowledge of the benefits of implementing a BCMS based on ISO 22301 5. Knowledge of management system certification process for an organization, from the implementation phase to the obtainment of the certification 6. Knowledge of the main terms and definitions of ISO 22301 7. Knowledge of the business continuity performance approach, as described in ISO 22301 8. Knowledge of Plan-Do-Check-Act (PDCA) cycle and its application in ISO 22301

PECB

Domain 2: Business continuity management system (BCMS)

Main objective: Ensure that the candidate understands, is able to interpret, and identify the requirements for a business continuity management system based on ISO 22301

Competencies	Knowledge statements
1. Ability to interpret the requirements of ISO 22301 in the specific context of an organization 2. Ability to interpret the standard's requirements for the top management of the organization, and their role and engagement before, during, and after the establishment of BCMS 3. Ability to describe the process and requirements for setting strategy objectives and establishing guiding principles 4. Ability to explain the standard's requirements relating to the resources that need to be provided and BCMS documented information that must be maintained 5. Ability to describe the standard's requirements for planning, implementing, and controlling the processes needed to achieve business continuity objectives 6. Ability to interpret the standard's requirements on evaluating the effectiveness of BCMS	1. Knowledge of the requirements of ISO 22301 for establishing, implementing, maintaining, and continually improving a BCMS 2. Thorough knowledge of the ISO 22301 requirements — clauses 4 to 10

PECB

Domain 3: Fundamental audit concepts and principles

Main objective: Ensure that the candidate understands, is able to interpret, and apply the main concepts and principles related to a BCMS audit

Competencies	Knowledge statements
1. Ability to understand, explain, and illustrate the application of audit principles in a BCMS audit 2. Ability to identify and judge situations that would discredit the professionalism of the auditor and violate PECB Code of Ethics 3. Ability to identify and judge ethical issues considering the obligations related to the audit client, auditee, law enforcement, and regulatory authorities 4. Ability to explain, illustrate, and apply the audit evidence approach in the BCMS audit 5. Ability to explain and compare evidence types and their characteristics 6. Ability to determine and justify the choice and amount of evidence required in the BCMS audit 7. Ability to determine and evaluate the level of materiality and apply the risk-based approach during the different stages of BCMS audit 8. Ability to judge the appropriate level of reasonable assurance needed for verification of compliance	1. Knowledge of the main audit concepts and terminology as described in ISO 19011 2. Knowledge of the differences between first, second, and third party audits 3. Knowledge of auditing principles: integrity, fair presentation, due professional care, confidentiality, independence, evidence-based approach, and risk-based approach 4. Knowledge of an auditor's responsibilities 5. Knowledge of the requirements originating from PECB Code of Ethics 6. Knowledge of the different types of audit evidence: physical, mathematical, confirmative, technical, analytical, documentary, and verbal 7. Knowledge of the quality of audit evidence and the factors that influence it 8. Knowledge of the risk-based approach to an audit and the different types of risks related to audit activities such as inherent risk, control risk, and detection risk 9. Knowledge of the concept of materiality and its application on audits 10. Knowledge of the concept of reasonable assurance and its application on a BCMS audit

PECB

Domain 4: Preparing an ISO 22301 audit

Main objective: Ensure that the candidate is able to prepare a BCMS audit

Competencies	Knowledge statements
1. Ability to understand the activities needed for the preparations of a BCMS audit considering the specific context of the auditee 2. Ability to understand and explain the roles and responsibilities of the audit team leader, audit team members, and technical experts 3. Ability to determine, evaluate, and confirm the objectives, the criteria, and the scope of BCMS audit 4. Ability to conduct a feasibility study 5. Ability to explain, illustrate, and define the characteristics of the terms of the audit engagement and apply the best practices to establish the initial contact with an auditee 6. Ability to develop audit working papers and elaborate appropriate audit test plans in BCMS audit	1. Knowledge of the main responsibilities of the audit team leader and other members of the audit team 2. Knowledge of the roles and responsibilities of technical experts 3. Knowledge of the audit objectives, audit scope, and audit criteria 4. Knowledge of the difference between BCMS scope and the audit scope 5. Knowledge of the elements to review during the feasibility study of an audit 6. Knowledge of the cultural aspects to consider in an audit 7. Knowledge of the characteristics of terms of the audit engagement and the best practices to establish the initial contact with an auditee 8. Knowledge of the audit plan preparation procedure 9. Knowledge of the preparation and development of audit working papers 10. Knowledge of the advantages and disadvantages of using audit checklists 11. Knowledge of the best practices for the creation of audit test plans

PECB

Domain 5: Conducting an ISO 22301 audit

Main objective: Ensure that the candidate can efficiently conduct a BCMS audit

Competencies	Knowledge statements
1. Ability to organize and conduct an opening meeting	1. Knowledge of the objectives and the topics covered in an opening meeting in an audit
2. Ability to conduct the stage 1 audit, taking into account the criteria for documented information review	2. Knowledge of the difference between stage 1 audit and stage 2 audit
3. Ability to conduct the stage 2 audit by appropriately following the procedures that this stage entails	3. Knowledge of stage 1 audit requirements, steps, and activities
4. Ability to apply the best practices of communication to collect the appropriate audit evidence	4. Knowledge of the criteria for documented information review
5. Ability to consider the roles and responsibilities of all the interested parties involved	5. Knowledge of stage 2 audit requirements, steps, and activities
6. Ability to explain, illustrate, and apply statistical techniques and audit sampling methods	6. Knowledge of the best communication practices during an audit
7. Ability to gather appropriate evidence from the available information during an audit and evaluate it objectively	7. Knowledge of the roles and responsibilities of guides and observers during an audit
	8. Knowledge of different conflict resolution techniques
	9. Knowledge of evidence collection procedures such as observation, documented information review, interviewing, analysis, sampling, and technical verification
	10. Knowledge of the evidence analysis procedures: corroboration and evaluation
	11. Knowledge of the main concepts, principles, and statistical techniques used in an audit
	12. Knowledge of the main audit sampling methods and their characteristics

PECB

Domain 6: Closing an ISO 22301 audit

Main objective: Ensure that the candidate is able to conclude a BCMS audit and conduct audit follow-up activities

Competencies	Knowledge statements
1. Ability to explain and follow the evidence evaluation process: drafting audit findings and preparing audit conclusions	1. Knowledge of the evidence evaluation process: to draft audit findings and to prepare audit conclusions
2. Ability to understand, explain, and illustrate the different levels of conformity and the concept of the benefit of the doubt in audit	2. Knowledge of the characteristics and differences between the concepts of conformity, minor nonconformity, major nonconformity, anomaly, and observation
3. Ability to report appropriate audit observations in order to help an organization improve the BCMS with respect to audit rules and principles	3. Knowledge of the guidelines and best practices to draft nonconformity reports
4. Ability to complete audit work documents and conduct quality reviews	4. Knowledge of the guidelines and best practices to draft and report audit observations
5. Ability to draft the audit conclusions and present them to the auditee's management	5. Knowledge of the benefit of the doubt principle and its application in a BCMS audit
6. Ability to organize and conduct a closing meeting	6. Knowledge of the guidelines and best practices to complete audit work documents and perform a quality review
7. Ability to draft an ISO 22301 audit report and provide and justify a recommendation for certification	7. Knowledge of the guidelines and best practices to present audit findings and conclusions to the management of the auditee
8. Ability to conduct the activities following an initial audit, including the evaluation of action plans, follow-up, and surveillance during the different stages of the BCMS audit	8. Knowledge of the possible recommendations that an auditor can issue during the certification audit
	9. Knowledge of the guidelines and best practices to evaluate action plans
	10. Knowledge of audit follow-ups, surveillance audits, and recertification audit requirements, steps, and activities
	11. Knowledge of the conditions for the modification, extension, suspension, or withdrawal of an organization's certification

PECB

Domain 7: Managing an ISO 22301 audit program

Main objective: Ensure that the candidate understands how to establish and manage a BCMS audit program

Competencies	Knowledge statements
1. Ability to establish an internal audit program based on the recommendations of ISO 19011	1. Knowledge of the ISO 19011 definition and recommendations on the internal audit program
2. Ability to describe the application of PDCA cycle on an internal audit program	2. Knowledge of the correlation between PDCA cycle and the internal audit program
3. Ability to explain the roles and responsibilities of the internal audit function	3. Knowledge of the roles and responsibilities of individuals managing an internal audit program, as described in ISO 19011
4. Ability to describe the main internal audit services and activities	4. Knowledge of the main internal audit services and activities
5. Ability to ensure the access and independence of the internal audit function	5. Knowledge of the principles and main considerations for the independence of the internal audit function
6. Ability to develop short- and long-term planning of internal audit activities	6. Knowledge of ISO 19011 recommendations with regard to determining audit program resources
7. Ability to determine the need for resources for the internal audit program	7. Knowledge of the typical records generated from the internal audit program
8. Ability to manage internal audit program records	8. Knowledge of the factors that can indicate the need to modify the internal audit program
9. Ability to decide when an internal audit program needs to be improved or modified	

Based on the above-mentioned domains and their relevance, 12 questions are included in the exam, as summarized in the table below:

			Level of understanding (cognitive/taxonomy) required				
		Points per question	Questions that measure comprehension, application, and analysis	Questions that measure synthesis and evaluation	Number of questions per competency domain	% of the exam devoted to each competency domain	Number of points per competency domain	% of points per competency domain
Competency domains	Fundamental principles and concepts of a business continuity management system (BCMS)	5	X		1	8.33	5	6.67
	Business continuity management system (BCMS)	10	X		1	8.33	10	13.34
	Fundamental audit concepts and principles	5	X		3	24.99	15	20.01
		5		X				
		5		X				
	Preparing an ISO 22301 audit	5	X		1	8.33	5	6.67
	Conducting an ISO 22301 audit	5		X	4	33.32	25	33.35
		5	X					
		5	X					
		10	X					
	Closing an ISO 22301 audit	10		X	1	8.33	10	13.34
	Managing an ISO 22301 audit program	5		X	1	8.33	5	6.67
	Total points	75						
	Number of questions per level of understanding		6	6				
	% of the exam devoted to each level of understanding (cognitive/taxonomy)		50.00	50.00				

The exam passing score is **70%**.

After successfully passing the exam, candidates will be able to apply for the "PECB Certified ISO 22301 Lead Auditor" credential depending on their level of experience.

Taking the Exam

General Information on the Exam

Candidates are required to arrive/be present at least 30 minutes before the exam starts. Candidates who arrive late will not be given additional time to compensate for the late arrival and may not be allowed to sit for the exam.

Candidates are required to bring a valid identity card (a national ID card, driver's license, or passport) and show it to the invigilator.

If requested on the day of the exam (paper-based exams), additional time can be provided to candidates taking the exam in a non-native language, as follows:

- 10 additional minutes for Foundation exams
- 20 additional minutes for Manager exams
- 30 additional minutes for Lead exams

PECB Exam Format and Type

1. Paper-based: Exams are provided on paper, where candidates are not allowed to use anything but the exam paper and a pen. The use of electronic devices, such as laptops, tablets, or phones, is not allowed. The exam session is supervised by a PECB approved Invigilator at the location where the Reseller has organized the training course.

2. Online: Exams are provided electronically via the PECB Exams application. The use of electronic devices, such as tablets and cell phones, is not allowed. The exam session is supervised remotely by a PECB Invigilator via the PECB Exams application and an external/integrated camera.

For more detailed information about the online format, please refer to the PECB Online Exam Guide.

PECB exams are available in two types:
1. Essay-type question exam
2. Multiple-choice question exam

PECB

This exam comprises essay-type questions. They are used to determine and evaluate whether a candidate can clearly answer questions related to the defined competency domains. Additionally, problem-solving techniques and arguments that are supported with reasoning and evidence will also be evaluated.

The exam is open book and is not intended to measure memorizing or recalling information. It aims to evaluate candidates' comprehension, analytical skills, and applied knowledge. Therefore, candidates are required to provide logical and convincing answers and explanations in order to demonstrate that they have understood the content and the main concepts of the competency domains.

Since the exam is "open book," candidates are authorized to use the following reference materials:

- A hard copy of ISO 22301 standard
- Training course materials(accessed through PECB Exams app and/or printed)
- Any personal notes made by the candidate during the training course(accessed through PECB Exams app and/or printed)
- A hard copy dictionary

Any attempts to copy, collude, or otherwise cheat during the exam session will automatically lead to failure of the exam.

PECB exams are available in English and other languages. For the availability of the exam in a particular language, please contact examination@pecb.com.

Note: PECB will progressively transition to multiple-choice exams. They will also be open book and comprise scenario-based questions that will allow PECB to evaluate candidates' knowledge, abilities, and skills to use information in new situations (apply), draw connections among ideas (analyze), and justify a stand or decision (evaluate). All PECB multiple-choice exams have one question and three alternatives, of which only one is correct.

PECB

Receiving the Exam Results

Exam results will be communicated via email. The only possible results are *pass* and *fail;* no specific grade will be included.

- The time span for the communication starts from the exam date and lasts three to eight weeks for essay type exams and two to four weeks for multiple-choice paper-based exams

- For online multiple-choice exams, candidates receive their results instantly

Candidates who successfully complete the exam will be able to apply for one of the credentials of the respective certification scheme.

For candidates who fail the exam, a list of the domains where they have performed poorly will be added to the email to help them prepare better for a retake.

Candidates that disagree with the results may request for a re-evaluation by writing to results@pecb.com within 30 working days of receiving the results. Re-evaluation requests received after 30 days will not be processed. If candidates do not agree with the results of the reevaluation, they have 30 working days from the date when they received the reevaluated exam results to file a complaint through the PECB Ticketing System. Complaints received after 30 days will not be processed.

PECB

Exam Retake Policy

There is no limit on the number of times that a candidate may retake an exam. However, there are certain limitations in terms of the allowed time frames between exam retakes.

- If a candidate does not pass the exam on the 1st attempt, they must wait 15 days from the initial date of the exam for the next attempt (1st retake). Retake fees apply.
  Note: Candidates who have completed the training course but failed the exam are eligible to retake the exam once for free within a 12-month period from the initial date of the exam.
- If a candidate does not pass the exam on the 2nd attempt, they must wait three months after the initial date of the exam for the next attempt (2nd retake). Retake fees apply.
  Note: For candidates that fail the exam in the 2nd retake, PECB recommends them to attend a training course in order to be better prepared for the exam.
- If a candidate does not pass the exam on the 3rd attempt, they must wait six months after the initial date of the exam for the next attempt (3rd retake). Retake fees apply.
- After the 4th attempt, the waiting period for further retake exams is 12 months from the date of the last attempt. Retake fees apply.

To arrange exam retakes (date, time, place, costs), candidates need to contact the PECB Reseller/Distributor who has initially organized the session.

Reschedule the Exam

For any changes with regard to the exam date, time, location, or other details, please contact examination@pecb.com.

Closing a Case

If a candidate does not apply for the certificate within three years, their case will be closed. Candidates whose case has been closed due to the expiration of the certification period have the right to request to reopen their case. However, PECB will no longer be responsible for any changes in the conditions, standards, policies, candidate handbook, or exam preparation guide that were applicable before the case was closed. A candidate requesting their case to reopen must do so in writing and pay the required fee.

Exam Security

A significant component of a successful and respected professional certification credential is maintaining the security and confidentiality of the exam. PECB relies upon the ethical behavior of certificate holders and applicants to maintain the security and confidentiality of PECB exams. Any disclosure of information about the content of PECB exams indicates violation of PECB's Code of Ethics. PECB will take action against individuals who violate PECB Policies and the Code of Ethics. These actions include permanently barring individuals from pursuing PECB credentials and revoking the awarded credentials. PECB will also pursue legal action against individuals or organizations who infringe upon its copyrights, proprietary rights, and intellectual property.

PECB

Sample Exam Questions

Question 1:
List at least five pieces of evidence that an organization can provide in order to demonstrate conformity with clause 8.2 Business impact analysis and risk assessment of ISO 22301.

Possible answer:
To prove conformity to the requirements of clause 8.2 of ISO 22301, an organization must provide the following evidence:

- *The identified impact types and criteria relevant to the specific context of the organization*
- *The identified activities that are critical to the provision of products and services*
- *Documented evaluation process for determining continuity and recovery priorities, objectives, and targets*
- *Business impact analysis (BIA) report*
- *Risk assessment results*

Question 2:
Provide at least two pieces of evidence that would be sufficient to verify an organization's conformity to the following clauses of ISO 22301.

Possible answer:
Clause 6.1.2 Addressing risks and opportunities

- *Planned actions on how to address the identified risks and opportunities*
- *Evaluation reports of the actions taken*