



Exam Preparation Guide

ISO 22301 Lead Implementer

General

The objective of the “PECB Certified ISO 22301 Lead Implementer” exam is to ensure that the candidate has the necessary competence to support an organization in establishing, implementing, managing, and maintaining a business continuity management system (BCMS).

The ISO 22301 Lead Implementer exam is intended for:

- Managers or consultants involved in and concerned with the implementation of the business continuity management system in an organization
- Expert advisors seeking to master the implementation of a business continuity management system
- Individuals responsible for maintaining conformity with BCMS requirements in an organization
- Members of a BCMS implementation team

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:** Planning the BCMS implementation
- **Domain 4:** Implementing a BCMS
- **Domain 5:** Performance evaluation, monitoring, and measurement of a BCMS
- **Domain 6:** Continual improvement of a BCMS
- **Domain 7:** Preparing for a BCMS certification audit

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
<ol style="list-style-type: none"> 1. Ability to understand and explain the ISO operations and the development of business continuity management system standard 2. Ability to identify, analyze, and evaluate the requirements of ISO 22301 3. Ability to explain and illustrate the main concepts of business continuity management 4. Ability to identify business continuity risks and their impacts 	<ol style="list-style-type: none"> 1. Knowledge of the main standards in business continuity management 2. Knowledge of the different sources of business continuity requirements for an organization including laws, regulations, international and industry standards, contracts, market practices, and internal policies, etc. 3. Knowledge of the main business continuity concepts and terminology as described in ISO 22301 4. Knowledge of the concept of risk and its application in business continuity

Domain 2: Business continuity management system (BCMS)

Main objective: Ensure that the candidate understands, is able to interpret, and provide guidance on how to implement and manage a business continuity management system requirements based on the best practices of ISO 22301

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to identify, understand, classify, and explain the requirements of ISO 22301 2. Ability to illustrate BCMS requirements and best practices 3. Ability to find different solutions to a business continuity issue and identify and analyze the strengths and weaknesses of each solution proposed 4. Ability to select and demonstrate the best business continuity solutions in order to address business continuity objectives stated by the organization 5. Ability to analyze, evaluate, and validate action plans to implement a specific process 	<ol style="list-style-type: none"> 1. Knowledge of ISO 22301 requirements 2. Knowledge of business impact analysis and risk assessment 3. Knowledge of the best practices and techniques in business continuity 4. Knowledge of establishing, implementing, and implementing business continuity processes 5. Knowledge of exercise programs 6. Knowledge of implementing and managing actions plans to support BCMS

Domain 3: Planning the BCMS implementation

Main objective: Ensure that the candidate is able to plan the implementation of the BCMS based on ISO 22301

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to manage a BCMS implementation project by following best practices 2. Ability to collect, analyze, and interpret the information required to plan the implementation of BCMS 3. Ability to analyze and consider the external and internal context of an organization 4. Ability to perform a gap analysis and clarify an organization’s business continuity objectives 5. Ability to define and justify a BCMS scope adapted to the objectives of a specific organization 6. Ability to select and justify the selected approach and methodology adapted to the needs of the organization 7. Ability to perform the different steps of the risk management process 	<ol style="list-style-type: none"> 1. Knowledge of the main project management concepts, terminology, processes, and best practices as described in ISO 10006 2. Knowledge of the principal approaches and methodology frameworks used for implementing a BCMS 3. Knowledge of an organization’s internal and external context 4. Knowledge of the main interested parties related to an organization and their characteristics 5. Knowledge of the techniques used to gather information on an organization and perform a gap analysis of the management system 6. Knowledge of the characteristics of a BCMS scope in terms of organizational and physical boundaries 7. Knowledge of the different approaches and main methodology characteristics to perform a risk assessment 8. Knowledge of the main activities of the risk identification, assessment, and evaluation

Domain 4: Implementing a BCMS

Main objective: Ensure that the candidate is able to implement the processes of a BCMS required for an **ISO 22301** certification

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand and analyze the needs and provide guidance on the segregation of roles and responsibilities within the organization 2. Ability to define the documented information management processes needed to support the implementation and the operations of a BCMS 3. Ability to define and design processes and properly document them 4. Ability to define and write BCMS policies and procedures 5. Ability to implement the required processes and controls of a BCMS 6. Ability to define and implement appropriate business continuity training and awareness programs and communication plans 7. Ability to define and implement an incident management process based on business continuity best practices 	<ol style="list-style-type: none"> 1. Knowledge of the roles and responsibilities of the key actors during and after BCMS implementation 2. Knowledge of the main organizational structures applicable for an organization to manage business continuity 3. Knowledge of the best practices on documented information management processes and the documented information management life cycle 4. Knowledge of techniques and best practices to draft business continuity policies and procedures 5. Knowledge of the characteristics and the best practices of implementing business continuity training and awareness programs and communication plans 6. Knowledge of the characteristics and the main processes of an incident management process based on best practices 7. Knowledge of the communication objectives, activities, and interested parties to enhance their support

Domain 5: Monitoring, measurement, analysis and evaluation of a BCMS

Main objective: Ensure that the candidate is able to evaluate, monitor, and measure the performance of a BCMS

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to monitor and evaluate the effectiveness of a BCMS 2. Ability to verify to which extent the identified BCMS requirements have been met 3. Ability to define and implement an internal audit program for ISO 22301 4. Ability to perform regular reviews regarding the suitability, adequacy, effectiveness, and efficiency of a BCMS based on the policies and objectives of the organization 5. Ability to define and perform a management review process 	<ol style="list-style-type: none"> 1. Knowledge of the techniques and best practices used to monitor the effectiveness of a BCMS 2. Knowledge of the main concepts and components related to a business continuity evaluation 3. Knowledge of the characteristics and the differences between operational, tactical, and strategic business continuity indicators and dashboards 4. Knowledge of the techniques and methods to define and document adequate and reliable indicators 5. Knowledge of the main concepts and components related to the implementation and operation of a BCMS internal audit program 6. Knowledge of the differences between the concepts of a major nonconformity and minor nonconformity 7. Knowledge of the guidelines and best practices to draft a nonconformity report 8. Knowledge of the best practices used to perform management reviews

Domain 6: Continual improvement of a BCMS

Main objective: Ensure that the candidate is able to provide guidance on the continual improvement of an BCMS

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand the principles and concepts related to continual improvement 2. Ability to counsel an organization on how to continually improve the effectiveness and the efficiency of a BCMS 3. Ability to implement continual improvement processes in an organization 4. Ability to determine the appropriate improvement tools to support the continual improvement processes of an organization 5. Ability to identify and analyze the root causes of nonconformities and propose action plans to treat them 	<ol style="list-style-type: none"> 1. Knowledge of the main concepts related to continual improvement 2. Knowledge of the characteristics and the difference between the concept of effectiveness and efficiency 3. Knowledge of the main processes, tools, and techniques used to identify the root causes of nonconformities 4. Knowledge of the characteristics and the differences between corrective actions or preventive actions 5. Knowledge of the main processes, tools, and techniques used to develop and propose the best corrective and preventive action plans 6. Knowledge of the maintenance and improvement of a BCMS

Domain 7: Preparing for a BCMS certification audit

Main objective: Ensure that the ISO 22301 Lead Implementer candidate is able to prepare an organization for the certification against ISO 22301

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand the main steps, processes, and activities related to an ISO 22301 certification audit 2. Ability to understand, explain, and illustrate the audit evidence approach in the context of an ISO 22301 audit 3. Ability to counsel an organization to identify and select a certification body that meets their expectations 4. Ability to judge whether an organization is ready and prepared for an ISO 22301 certification audit 5. Ability to train and prepare the personnel of an organization for an ISO 22301 certification audit 6. Ability to discuss and challenge the audit findings and conclusions with external auditors 	<ol style="list-style-type: none"> 1. Knowledge of evidence-based approach in an audit 2. Knowledge of the difference between the stage 1 and stage 2 audit 3. Knowledge of stage 1 audit requirements, steps, and activities 4. Knowledge of the documentation review criteria 5. Knowledge of stage 2 audit requirements, steps, and activities 6. Knowledge of the audit follow-up requirements, steps, and activities 7. Knowledge of the surveillance audits and recertification audit requirements, steps, and activities 8. Knowledge of the requirements, guidelines, and best practices for developing action plans following an ISO 22301 certification audit

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)	5	X		2	16.67	10	13.34
		5	X					
	Planning the BCMS implementation	5	X		3	24.99	20	26.68
		5		X				
		10		X				
	Implementing a BCMS	5	X		3	25	20	26.68
		10		X				
		5	X					
	Performance evaluation, monitoring, and measurement of a BCMS	5		X	1	8.33	5	6.67
	Continual improvement of a BCMS	5	X		1	8.33	5	6.67
	Preparing for a BCMS certification audit	10		X	1	8.33	10	6.67
Total points		75						
Number of questions per level of understanding			8	4				
% of the exam devoted to each level of understanding (cognitive/taxonomy)			66.67	33.32				

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

After successfully passing the exam, candidates will be able to apply for the “PECB Certified ISO 22301 Lead Implementer” 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

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.

For specific information about exam types, languages available, and other details, visit the [List of PECB Exams](#).

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.

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.

Sample Exam Questions

Question 1:

Complete the BIA matrix for the following scenario, provide a business continuity strategy, and suggest an RTO and RPO.

Possible answer:

Scenarios	Impact	Probability	RTO	RPO	Strategy
<i>Total damage and loss of the Storage Area Network (SAN)</i>	<ul style="list-style-type: none"><i>Dissatisfaction of customers</i><i>Financial losses</i><i>Negative publicity</i>	<i>Negative publicity would most certainly occur if customers could not obtain products due to their unavailability</i>	<i>4 hours</i>	<i>1 hour</i>	<i>Arrangement of the service based on the best practices by a specific IT service provider who could set up the SAN quickly and restore data from backups within the RTO</i>

Question 2:

Provide metrics that allow an organization to measure the effectiveness of the implementation of clause 10.1 Nonconformity and corrective action.

Possible answer:

Clause 10.1 Nonconformity and corrective action.

- Number of nonconformities identified vs. number of nonconformities corrected*
- Number of reoccurrences of nonconformities*
- Average length of time taken to correct nonconformities (by category)*
- Frequency of reoccurring nonconformities*

Address:

Head Quarters
6683 Jean Talon E,
Suite 336 Montreal,
H1S 0A5, QC,
CANADA

Tel./Fax.

T: +1-844-426-7322
F: +1-844-329-7322

PECB Help Center

Visit our [Help Center](#) to browse Frequently Asked Questions (FAQ), view manuals for using PECB website and applications, read documents related to PECB processes, or to contact us via Support Center's online tracking system.

Emails:

Examination: examination@pecb.com

Certification: certification@pecb.com

Customer Care: customer@pecb.com

Copyright © 2020 PECB. Reproduction or storage in any form for any purpose is not permitted without a PECB prior written permission

www.pecb.com