** **

**CONFIDENTIAL**

TO IRCA APPROVED TRAINING ORGANISATIONS

**Examination ISMS Specimen Paper** for IRCA Information Security Management Systems Auditor/Lead Auditor Training Courses

(IRCA/2016)

**Please write your name and the date in the space below.**

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| Name:  Date: | | | | |
| THESE SPACES ARE FOR OFFICIAL USE ONLY | | | | |
| Section | Marker 1 | Marker 2 | Pass mark | Maximum |
| 1 |  |  | 5 | 10 |
| 2 |  |  | 10 | 20 |
| 3 |  |  | 15 | 30 |
| 4 |  |  | 15 | 30 |
| Total |  |  | 63 | 90 |
| Name of Marker |  |  | Confirmed | |
| Result |  |  |  | |

**This examination is closed book.**

* A clean copy of ISO 27001 and a bilingual dictionary are the only items permitted for reference.
* Electronic devices, including laptops and mobile phones, are not permitted into the examination room. Exceptions may be granted to students with special needs. Any such arrangement must be with the prior written agreement of the IRCA Approved Training Organisation and shall include a record of appropriate precautions that will be taken to ensure the fairness and security of the examination process and examination questions.

**Information for students**

The examination paper is in four sections. Attempt all sections and all questions.

The time allowed is two hours. There is no additional time allowed for reading the examination paper.

90 marks are available. To pass you must achieve at least 63 marks (70%), and you must achieve at least 50% in each of the four sections. The maximum marks for each question, or part of a question, are shown in brackets.

Your answers must be written on the sheets supplied. Please avoid writing in the margins; these are for the markers. Write on the reverse side of a page if necessary. Additional loose sheets will not be accepted.

All references to ISO 27001 refer to the latest issue.

**Examination technique**

Time management is very important in the examination. For guidance, the average time available is:

1. Reading the examination instructions – five minutes
2. Section one – fifteen minutes
3. Section two – twenty minutes
4. Section three – forty minutes
5. Section four – forty minutes

Total time available – two hours (120 minutes)

Allow enough time to read each question properly. Make sure you understand what is being asked for before starting to write your answer.

Where appropriate, the action verb that indicates the depth of answer required by the question – explain, list, describe – is printed in **bold**. You should ensure you understand the meaning of these terms (see below). Full marks will not be awarded for a list if an explanation is required. Conversely, it is a waste of time to provide a detailed explanation if the question asks for a list.

**Action verb Meaning**

describe depict in words

explain give a clear account of

outline give the most important features of (less depth than explain or describe)

give provide without explanation (used normally with the instruction to ‘give an example (or examples) of ....’)

list provide a list without explanation (bullet points)

identify select and name

define provide a generally recognised or accepted definition

state a less demanding form of ‘define’ or where there is no generally recognised definition

**Section one – Five questions worth two marks each**

* 1. A key requirement of internal audits is that they are objective and impartial.

**Describe** the difference between objectivity and impartiality in this context. (2 marks)

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* 1. **Explain**, in the context of auditing, the difference between being argumentative and being assertive. (2 marks)

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* 1. The level of legal and regulatory compliance is one measure of the performance of an information security management system.

**List two** methods an organisation can use to determine its level of  
 legal and regulatory compliance. (2 marks)

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* 1. Clause 6.1.3 of ISO 27001 requires appropriate information security risk treatment options to be carried out. **Briefly describe two** of the four principal risk treatment options that may be applied to a risk.

(2 marks)

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* 1. **Identify** **two** ways in which an auditor can verify that agreed corrective actions have been effectively implemented. (2 marks)

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**Section two – Four questions worth five marks each**

* 1. ISO 27000 defines an ISMS as "part of the overall management system based on a business risk approach".

a) **Explain** your understanding of what is meant by “a business risk approach". (2 marks)

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b) **Identify six** ISO 27001 clauses that support such an approach.

(3 marks)

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* 1. ISO 27001 requires top management to provide evidence of its   
     leadership and commitment to the development and implementation   
     of the information security management system.

a) **Describe** **briefly** a method you could use to evaluate top management commitment. (2 marks)

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b) **Give three** examples of audit evidence you would gather as part   
of your evaluation of top management commitment. (3 marks)

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* 1. A positive auditor attribute is to be diplomatic.

a) **State** the meaning of ‘diplomatic’ and give an example to demonstrate how an auditor could be diplomatic. (3 marks)

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b) **Describe** **briefly** the effect that not being diplomatic could have   
on an audit. (2 marks)

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* 1. At the opening meeting of an external audit, the management representative informs you that a recent internal audit has found many nonconformities relating to the in house purchasing department.

Corrective action has already been planned. The management representative therefore suggests that to audit this department again would add no value and asks if you could delete this department from   
the audit plan and spend more time in the production area.

**Outline five** issues you would include in the response you would give   
to this request. (5 marks)

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**Section three – Three questions worth ten marks each**

* 1. During a routine surveillance visit, the organisation you are auditing informs you that they no longer carry out any design work. This activity is now outsourced to a subcontractor.

**Give** **four** examples of audit evidence you would look for to determine the conformance of the current system with ISO 27001, given the information you have just received.

**AND**

For **each** of your examples**,** identify the clause(s) of ISO 27001 that relate to this situation.

(2 marks for each example and 0.5 mark for identifying the clause(s) of ISO 27001 relevant to each of the four examples = total 10 marks)

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* 1. Taking into account the requirements of clause 10.1 ISO 27001, **describe in terms of a sequence or illustrate using a diagram** a corrective action process starting from a non-conformance being raised by an auditor through to close out of the finding.

**Identify** who is responsible for each element of the process and **identify** where in the corrective action process decisions need to be taken. (10 marks)

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3.3 You are conducting an ISO 27001 audit in a company manufacturing radio communication systems for emergency services. The system includes 'smart' programmed handsets with built-in encryption supporting secure communication services. The next activity on your audit plan is the organisation’s radio handset product testing laboratory.

**Outline in a checklist** how you will perform this audit by developing a series of **ten** audit checkpoints. For each checkpoint, **identify examples** of the audit evidence you would want to gather and **give** the appropriate ISO 27001 clause or Annex A control reference. (10 marks)

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**Section four – Three questions worth ten marks each**

**Instructions to students:**

Questions in this section are designed to test your ability to analyse audit situations, evaluate audit evidence and apply knowledge of the audit criteria correctly.

Three audit situations are described. For each, review the information and evidence in the scenario and decide if there is sufficient evidence to report the findings as a nonconformity with the audit criteria, ISO 27001 (current issue).

**Either**

* Where you determine there is sufficient evidence, **complete the nonconformity report template.**

Marking scheme for a nonconformity:

* 1. For correctly identifying the scenario as a nonconformity (2 marks)
  2. For a clear description of the nonconformity (3 marks)
  3. For correctly quoting relevant evidence (3 marks)
  4. For correctly identifying the relevant ISO 27001 requirement

(1 mark)

* 1. Overall clarity of the nonconformity report (1 mark)

**Note:** if you raise a nonconformity report when there is no nonconformity, 0 (zero) marks will be awarded.

**OR**

* If you think there is not yet sufficient evidence to report your findings as a nonconformity, **complete the audit investigation template,** clearly stating
  1. Your reason(s) for thinking there is not yet sufficient evidence to report your findings as a nonconformity (2 marks)
  2. How you would investigate to determine conformity or nonconformity. Include audit trails you would follow and specific examples of audit evidence you would seek and for what purpose. (8 marks)

**Note:** if you complete the audit investigation template for a situation where there is evidence that a nonconformity exists, a maximum of 7 marks may be awarded as follows:

* Providing a valid reason why there is insufficient evidence for a nonconformity (2 marks)
* Providing relevant audit trails as above (5 marks)

**4.1 Audit situation one:**

In an area dedicated to disposal of failed and redundant IT equipment you are examining the disposal record for asset number 1234, a laptop PC. You note that in the final inspection records the word ‘OK’ is written next to the statement that all information has been securely erased from the device.

The record shows that this laptop PC has been bought from the company by an employee for their private use. When asked about this, the manager explains that usable equipment is sold internally with proceeds going to a nominated charity.

You ask to see the equipment in use to see if information has been erased as stated in the record. The manager starts the PC which boots up to show a Microsoft Windows XP® operating system. Further inspection of File Explorer indicates that the file system is apparently empty.

If you think there is sufficient evidence to report your findings as a nonconformity:

* Complete the nonconformity report on the following page.

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| **IRCA QMS AUDIT - NONCONFORMITY REPORT** |
| Description of the nonconformity (Max 3 marks):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Relevant evidence (Max 3 Marks):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| ISO 27001:2013 clause and requirement (Max 1 Mark):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Note:   * For identifying the scenario as a nonconformity 2 Marks are awarded * For overall clarity 1 Mark is awarded |

**OR**

* Complete your answer on the following page.

**Audit situation one:**

* *Give your reason*(s) for thinking there is not yet sufficient evidence to report your findings as a nonconformity*.*
* *Describe* how you would investigate further to determine conformity or nonconformity. Include audit trails you would follow and specific examples of audit evidence you would seek and for what purpose.

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| **Audit investigation template:** |
| Reason why there is not yet sufficient evidence for reporting nonconformity (Max 2 Marks):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Four** audit trails you would follow, including, **evidence sought** and **purpose.** (Max 2 Marks for each audit trail):  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**THIS IS THE END OF AUDIT SITUATION ONE**

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| **4.2 Audit situation two:**  You are auditing the Facilities Management (FM) department in an organisation that provides and maintains office space and facilities for a large organisation, including physical security controls.  They are currently dealing with a serious complaint from an operations director: Staff arrived to work this morning to find that none could access their building using their swipe ID cards. Time-critical customer support services were delayed until an FM engineer forced entry and manually disabled the door access controls.  You find that the event coincides with the overnight replacement of a CCTV system; this system is connected to the WAN and monitored from FM’s central control room. The swipe card access controls are also monitored centrally via the WAN connection. IT Service engineers on site are having difficulty pinpointing the root cause but speculate that the default network settings of the CCTV system are conflicting with those of the door access control system.  You review the change control document X 134 dated 3 months earlier and note that IT Services and Corporate Security are listed as ‘N/A’ on the list of reviewers. You confirm with the Facilities Manager that this revision is the final version of the change control document and that IT Services and Corporate Security did not review the planned change.  You ask the Facilities Manager why they were not involved with the change and he replies that it was not really necessary as the CCTV system change was not technically complicated. “The old system was disconnected from the network and the new system just plugged in, just like plugging in a new PC”. He goes further to point out that the door access controls ‘failed safe’ and prevented unauthorised access to the building. |

If you think there is sufficient evidence to report your findings as a nonconformity:

* Complete the nonconformity report on the following page.

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| **IRCA QMS AUDIT - NONCONFORMITY REPORT** |
| Description of the nonconformity (Max 3 marks):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Relevant evidence (Max 3 Marks):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| ISO 27001:2013 clause and requirement (Max 1 Mark):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Note:   * For identifying the scenario as a nonconformity 2 Marks are awarded * For overall clarity 1 Mark is awarded |

**OR**

* Complete your answer on the following page.

**Audit situation two:**

* *Give your reason*(s) for thinking there is not yet sufficient evidence to report your findings as a nonconformity*.*
* *Describe* how you would investigate further to determine conformity or nonconformity. Include audit trails you would follow and specific examples of audit evidence you would seek and for what purpose.

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| **Audit investigation template:** |
| Reason why there is not yet sufficient evidence for reporting nonconformity ( Max 2 Marks):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Four** audit trails you would follow, including, **evidence sought** and **purpose.** (Max 2 Marks for each audit trail):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 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**THIS IS THE END OF AUDIT SITUATION TWO**

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| **4.3 Audit situation three**  During an audit of an insurance company, you ask the Training Manager to show you the training records for three people who work in the Claims Department. You see from the training records that each has attended a course on 'care of customer information'. The Training Manager explains that the course aims to maintain awareness of operational information security practices.  You ask the Training Manager how they evaluated the training and are told “We ask every person who attends a training course to complete a questionnaire on whether they enjoyed the course, how useful they found the training and how good the tutor was. This information helps us decide whether to send other staff on the course”.  You examine the questionnaires completed by the three people who attended the care of customer information course. All three awarded high marks on how enjoyable they found the course and the usefulness of the course. All three also awarded a satisfactory score for the tutor. |

If you think there is sufficient evidence to report your findings as a nonconformity:

* Complete the nonconformity report on the following page.

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| **IRCA QMS AUDIT - NONCONFORMITY REPORT** |
| Description of the nonconformity (Max 3 marks):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Relevant evidence (Max 3 Marks):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| ISO 27001:2013 clause and requirement (Max 1 Mark):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Note:   * For identifying the scenario as a nonconformity 2 Marks are awarded * For overall clarity 1 Mark is awarded |

**OR**

* Complete your answer on the following page.

**Audit situation three:**

* *Give your reason*(s) for thinking there is not yet sufficient evidence to report your findings as a nonconformity*.*
* *Describe* how you would investigate further to determine conformity or nonconformity. Include audit trails you would follow and specific examples of audit evidence you would seek and for what purpose.

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| **Audit investigation template:** |
| Reason why there is not yet sufficient evidence for reporting nonconformity ( Max 2 Marks):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Four** audit trails you would follow, including, **evidence sought** and **purpose.** (Max 2 Marks for each audit trail):  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**THIS IS THE END OF AUDIT SITUATION THREE**

**THIS IS THE END OF THE EXAMINATION PAPER**