GSDC
Global Skill Development Council

ISO 22301
AUDIT CHECKLIST

ISO 22301 Lead Auditor — Audit Checklist

Business Continuity Management System (BCMS) Audit Checklist

Standard

ISO 22301:2019

Purpose

Business Continuity Management System (BCMS) Audit

Scope

Lead Auditor Compliance Verification

Audit Information

Field	Details
Organization Name	
Audit Date	
Lead Auditor	
Audit Type	☐ Internal Audit ☐ Supplier Audit ☐ Certification Audit
Standard	ISO 22301:2019
Department / Area Audited	
Auditee Name	

How to Use This Checklist

Grading Key:

Grade	Meaning
C	**Conformant** — requirement is fully met with evidence
PC	**Partially Conformant** — requirement is partially met
NC	**Nonconformity** — requirement is not met
OFI	**Opportunity for Improvement** — no NC but improvement possible
N/A	**Not Applicable** — requirement does not apply to this scope

Context of the Organization

4.1 Understanding the Organization and Its Context

#	Checklist Item	Evidence Required	Grade	Auditor Notes
4.1.1	Has the organization identified internal issues that are relevant to its purpose and BCMS objectives?	Documentation of internal context analysis		
4.1.2	Has the organization identified external issues relevant to its BCMS?	Documentation of external context analysis		
4.1.3	Is the context analysis reviewed and updated at planned intervals?	Review records and dates		
4.1.4	Are political, economic, social, technological, legal, and environmental factors considered?	PESTLE or equivalent analysis		

4.2 Understanding the Needs and Expectations of Interested Parties

#	Checklist Item	Evidence Required	Grade	Auditor Notes
4.2.1	Has the organization identified all relevant interested parties?	Stakeholder register or equivalent		
4.2.2	Are the needs and expectations of interested parties documented?	Documented requirements list		
4.2.3	Are legal, regulatory, and contractual requirements related to BC identified?	Compliance register or legal obligations document		
4.2.4	Are interested party requirements reviewed regularly for changes?	Review records		

4.3 Determining the Scope of the BCMS

#	Checklist Item	Evidence Required	Grade	Auditor Notes
4.3.1	Is the scope of the BCMS clearly defined and documented?	Scope statement document		
4.3.2	Does the scope include the products, services, locations, and activities covered?	Scope document with inclusions and exclusions		
4.3.3	Are the boundaries and applicability of the BCMS clearly stated?	Scope document		
4.3.4	Is the scope available as documented information?	Document control system		
4.3.5	Does the scope reflect the organization's obligations to interested parties?	Scope vs stakeholder requirements comparison		

4.4 Business Continuity Management System

#	Checklist Item	Evidence Required	Grade	Auditor Notes
4.4.1	Is the BCMS established, implemented, maintained, and continually improved?	BCMS documentation and records		
4.4.2	Are the processes needed for the BCMS and their interactions determined?	Process map or BCMS framework document		

Leadership

5.1 Leadership and Commitment

#	Checklist Item	Evidence Required	Grade	Auditor Notes
5.1.1	Does top management demonstrate visible commitment to the BCMS?	Management review records, communication evidence		
5.1.2	Are BC policy and objectives established and compatible with strategic direction?	Policy document and strategic alignment evidence		
5.1.3	Is BC integrated into the organization's business processes?	Process documentation, organizational charts		
5.1.4	Are adequate resources provided for the BCMS?	Budget records, resource allocation documentation		
5.1.5	Does top management communicate the importance of effective BC management?	Meeting minutes, communications, awareness records		
5.1.6	Does top management support other relevant management roles in demonstrating leadership?	Evidence of management engagement		

5.2 Business Continuity Policy

#	Checklist Item	Evidence Required	Grade	Auditor Notes
5.2.1	Is a Business Continuity Policy established and documented?	BC Policy document		
5.2.2	Is the policy appropriate to the organization's purpose and context?	Policy vs context analysis comparison		
5.2.3	Does the policy include a commitment to satisfy applicable requirements?	Policy document		
5.2.4	Does the policy include a commitment to continual improvement?	Policy document		
5.2.5	Is the policy communicated within the organization?	Communication records, awareness evidence		
5.2.6	Is the policy available to interested parties where appropriate?	Accessibility of policy document		
5.2.7	Is the policy reviewed and updated at planned intervals?	Review records with dates		

5.3 Organizational Roles, Responsibilities, and Authorities

#	Checklist Item	Evidence Required	Grade	Auditor Notes
5.3.1	Are roles and responsibilities for the BCMS defined, documented, and communicated?	Organizational chart, role descriptions		
5.3.2	Has a competent person or team been assigned responsibility for the BCMS?	Appointment letter or role description		
5.3.3	Are BC roles and responsibilities understood by all relevant personnel?	Training records, interviews with staff		
5.3.4	Are responsibilities for reporting BCMS performance to top management defined?	Role descriptions, reporting structures		

Planning

6.1 Actions to Address Risks and Opportunities

#	Checklist Item	Evidence Required	Grade	Auditor Notes
6.1.1	Has the organization determined risks and opportunities relevant to the BCMS?	Risk register or risk assessment documentation		
6.1.2	Are actions planned to address identified risks and opportunities?	Risk treatment plan		
6.1.3	Are actions integrated into BCMS processes?	Process documentation showing integration		
6.1.4	Is the effectiveness of actions to address risks and opportunities evaluated?	Monitoring and review records		

6.2 Business Continuity Objectives and Planning

#	Checklist Item	Evidence Required	Grade	Auditor Notes
6.2.1	Are BC objectives established at relevant functions and levels?	Documented BC objectives		
6.2.2	Are objectives measurable and consistent with the BC policy?	Objectives with KPIs or metrics		
6.2.3	Are objectives monitored, communicated, and updated as appropriate?	Monitoring records, management review inputs		
6.2.4	Are plans documented to achieve BC objectives including timelines and responsibilities?	Action plans with owners and deadlines		
6.2.5	Are resources needed to achieve BC objectives identified and allocated?	Resource plans, budget records		

Support

7.1 Resources

#	Checklist Item	Evidence Required	Grade	Auditor Notes
7.1.1	Has the organization determined and provided resources needed for BCMS implementation?	Resource allocation records		
7.1.2	Are resources sufficient to maintain and continually improve the BCMS?	Budget approvals, resource review records		

7.2 Competence

#	Checklist Item	Evidence Required	Grade	Auditor Notes
7.2.1	Is the competence required for BCMS roles determined and documented?	Competency framework or job descriptions		
7.2.2	Are personnel competent based on education, training, or experience?	CVs, training records, qualifications		
7.2.3	Where gaps exist, are actions taken to acquire necessary competence?	Training plans, gap analysis records		
7.2.4	Are records of competence retained as documented information?	Training records, competency assessments		

7.3 Awareness

#	Checklist Item	Evidence Required	Grade	Auditor Notes
7.3.1	Are personnel aware of the BC policy and their contribution to BCMS effectiveness?	Awareness training records, communications		
7.3.2	Are personnel aware of the implications of not conforming to BCMS requirements?	Training content, records of communication		
7.3.3	Are personnel aware of their roles during a BC incident?	BC plan awareness records, drills		

7.4 Communication

#	Checklist Item	Evidence Required	Grade	Auditor Notes
7.4.1	Has the organization determined internal and external communication needs for the BCMS?	Communication plan or matrix		
7.4.2	Does the communication plan specify what, when, who, and how to communicate?	Communication plan document		
7.4.3	Are communication procedures tested as part of BC exercises?	Exercise records		
7.4.4	Is there a process for communicating with external parties during an incident?	Crisis communication plan		

7.5 Documented Information

#	Checklist Item	Evidence Required	Grade	Auditor Notes
7.5.1	Does the BCMS include all documented information required by ISO 22301?	Document inventory or register		
7.5.2	Is documented information identified, described, reviewed, and approved?	Document control records		
7.5.3	Is documented information available and suitable for use where needed?	Document access controls		
7.5.4	Is documented information adequately protected from loss or unauthorized access?	IT security controls, backup procedures		
7.5.5	Are retention and disposal rules defined and followed?	Document retention policy		
7.5.6	Is documented information of external origin identified and controlled?	External document register		

Operation

8.1 Operational Planning and Control

#	Checklist Item	Evidence Required	Grade	Auditor Notes
8.1.1	Are processes needed to meet BCMS requirements planned, implemented, and controlled?	Operational procedures and process documentation		
8.1.2	Are criteria for processes established and controls implemented?	Process criteria and control records		
8.1.3	Is documented information retained to confirm processes are carried out as planned?	Process records and logs		
8.1.4	Are changes to processes controlled and their consequences reviewed?	Change management records		
8.1.5	Are outsourced processes identified and controlled?	Supplier agreements, outsourcing controls		

8.2 Business Impact Analysis (BIA)

#	Checklist Item	Evidence Required	Grade	Auditor Notes
8.2.1	Has a formal BIA process been established and documented?	BIA methodology document		
8.2.2	Are all critical business activities identified through the BIA?	BIA report with list of critical activities		
8.2.3	Are the impacts of disruptions assessed over time?	BIA impact analysis tables		
8.2.4	Are Recovery Time Objectives (RTOs) defined for all critical activities?	BIA report with RTOs		
8.2.5	Are Recovery Point Objectives (RPOs) defined where applicable?	BIA report with RPOs		
8.2.6	Are dependencies — people, technology, facilities, suppliers — identified in the BIA?	Dependency mapping in BIA report		
8.2.7	Are minimum resource requirements for recovery identified?	BIA resource requirements section		
8.2.8	Is the BIA reviewed and updated at planned intervals or after significant changes?	BIA review records with dates		

8.2 Risk Assessment

#	Checklist Item	Evidence Required	Grade	Auditor Notes
8.2.9	Has a formal risk assessment process been established for BC threats?	Risk assessment methodology		
8.2.10	Are threats to critical activities identified and assessed?	Risk register with threat analysis		
8.2.11	Are likelihood and impact of risks assessed consistently?	Risk scoring matrix		
8.2.12	Are risk treatment options identified and implemented?	Risk treatment plan		
8.2.13	Is the risk assessment reviewed at planned intervals or following significant changes?	Risk assessment review records		

8.3 Business Continuity Strategy

#	Checklist Item	Evidence Required	Grade	Auditor Notes
8.3.1	Has a BC strategy been determined based on BIA and risk assessment outputs?	BC strategy document		
8.3.2	Does the strategy address protection and stabilization of critical activities?	Strategy document		
8.3.3	Does the strategy address recovery of critical activities within RTOs?	Strategy aligned with BIA RTOs		
8.3.4	Are resource requirements for implementing the strategy identified?	Resource requirements in strategy document		
8.3.5	Are alternative strategies considered and evaluated?	Strategy options analysis		
8.3.6	Is the BC strategy approved by top management?	Approval records		

8.4 Business Continuity Plans and Procedures

#	Checklist Item	Evidence Required	Grade	Audit or Notes
8.4.1	Are Business Continuity Plans (BCPs) documented and maintained?	BCP documents		
8.4.2	Do BCPs include defined roles and responsibilities during an incident?	BCP roles section		
8.4.3	Do BCPs include a process for activating the response?	Activation criteria and procedures		
8.4.4	Do BCPs include communication procedures for internal and external stakeholders?	Communication procedures in BCP		
8.4.5	Do BCPs include steps to recover critical activities within RTOs?	Recovery steps aligned with BIA RTOs		
8.4.6	Are BCPs accessible to the people who need them during an incident?	Access controls, offline copies, storage locations		
8.4.7	Is there a documented incident response structure with clear escalation paths?	Incident response plan with escalation matrix		
8.4.8	Is there a crisis management team defined with clear roles?	Crisis management team structure		
8.4.9	Is there a documented crisis communication plan covering media and public relations?	Crisis communication plan		
8.4.10	Are BCPs reviewed and updated following incidents, exercises, or significant changes?	BCP review and update records		

8.5 Exercise Programme

#	Checklist Item	Evidence Required	Grade	Auditor Notes
8.5.1	Is a formal BC exercise programme established and documented?	Exercise programme schedule		
8.5.2	Are exercises planned and conducted at appropriate intervals?	Exercise plan with frequency		
8.5.3	Do exercises test the effectiveness of BC plans and procedures?	Exercise scenarios and objectives		
8.5.4	Are a variety of exercise types used — tabletop, simulation, full test?	Exercise type records		
8.5.5	Are exercise results documented including findings and lessons learned?	Exercise reports		
8.5.6	Are corrective actions from exercises tracked and implemented?	Corrective action records from exercises		
8.5.7	Are relevant personnel involved in BC exercises?	Attendance records		
8.5.8	Are exercises used to improve BCPs and overall BCMS effectiveness?	Evidence of plan updates following exercises		

Performance Evaluation

9.1 Monitoring, Measurement, Analysis, and Evaluation

#	Checklist Item	Evidence Required	Grade	Auditor Notes
9.1.1	Has the organization determined what needs to be monitored and measured?	BCMS performance metrics		
9.1.2	Are methods for monitoring, measurement, analysis, and evaluation defined?	Monitoring procedures		
9.1.3	Are BC objectives and KPIs tracked and reported regularly?	KPI reports and dashboards		
9.1.4	Are the results of monitoring and measurement analyzed and evaluated?	Analysis reports and management review inputs		
9.1.5	Is documented information retained as evidence of monitoring results?	Monitoring records		

9.2 Internal Audit

#	Checklist Item	Evidence Required	Grade	Auditor Notes
9.2.1	Is an internal audit programme established, implemented, and maintained?	Internal audit programme document		
9.2.2	Does the audit programme consider the importance of processes and previous audit results?	Audit programme with risk-based scheduling		
9.2.3	Are internal auditors competent and independent from the area being audited?	Auditor qualifications and independence declaration		
9.2.4	Are audit criteria, scope, frequency, and methods defined?	Audit plan documents		
9.2.5	Are audit results reported to relevant management?	Audit reports and distribution records		
9.2.6	Are nonconformities from audits tracked and corrective actions implemented?	Corrective action register		
9.2.7	Is documented information retained as evidence of the audit programme and results?	Audit records		

9.3 Management Review

#	Checklist Item	Evidence Required	Grade	Auditor Notes
9.3.1	Does top management review the BCMS at planned intervals?	Management review meeting records		
9.3.2	Does the review consider the status of previous actions?	Action tracker from previous reviews		
9.3.3	Does the review consider changes in internal and external context relevant to the BCMS?	Review agenda and minutes		
9.3.4	Does the review include information on BCMS performance including audit results and incidents?	Review inputs documentation		
9.3.5	Does the review include opportunities for improvement?	Review outputs and improvement actions		
9.3.6	Are management review outputs documented and retained?	Management review minutes		
9.3.7	Do review outputs include decisions on resource needs and continual improvement?	Action items from review minutes		

Improvement

10.1 Nonconformity and Corrective Action

#	Checklist Item	Evidence Required	Grade	Auditor Notes
10.1.1	Does the organization react to nonconformities and take action to control and correct them?	Corrective action records		
10.1.2	Are root causes of nonconformities identified and documented?	Root cause analysis records		
10.1.3	Are corrective actions implemented to prevent recurrence?	Corrective action plans		
10.1.4	Are corrective actions reviewed for effectiveness before closure?	Effectiveness review records		
10.1.5	Are changes to the BCMS made if necessary following corrective actions?	BCMS update records		
10.1.6	Is documented information retained as evidence of nonconformities and corrective actions?	Corrective action register		

10.2 Continual Improvement

#	Checklist Item	Evidence Required	Grade	Auditor Notes
10.2.1	Is the suitability, adequacy, and effectiveness of the BCMS continually improved?	Evidence of improvement actions over time		
10.2.2	Are improvement opportunities identified through audits, exercises, incidents, and reviews?	Improvement register or log		
10.2.3	Are improvements tracked and their outcomes evaluated?	Improvement tracking records		

Audit Summary

Conformance Summary by Clause

Clause	Title	Total Items	Conformant	Partial	NC	OFI	N/A
4	Context of the Organization						
5	Leadership						
6	Planning						
7	Support						
8	Operation						
9	Performance Evaluation						
10	Improvement						
Total							

Overall Audit Conclusion

1	☒ BCMS is fully conformant with ISO 22301:2019 requirements

2	☒ BCMS is mostly conformant — minor nonconformities identified, corrective actions required

3	☒ BCMS has significant gaps — major nonconformities identified, immediate action required

Audit Findings

Key Strengths Identified

Key Nonconformities Identified

Priority Recommendations

Recommendation 1

Recommendation 2

Recommendation 3

Sign-Off

Role	Name & Signature	Date
Lead Auditor Name	Signature: _____	
Auditee Name	Signature: _____	

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CERTIFIED ISO 22301:2019 LEAD AUDITOR

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