



ISO 22301

**LEAD AUDITOR
INTERNAL AUDIT
Ready-to-Use Template**

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Complete Template Overview

Here's the complete template:

1

Audit Details

Section 1 – Capture all key audit metadata and identifiers

2

Scope & Objectives

Section 2 – Define what is covered and what the audit aims to achieve

3

Documents Reviewed

Section 3 – Log all documentation examined during the audit

4

Audit Checklist

Sections 4-10 – Clause-by-clause conformance assessment

5

Findings & Sign-Off

Sections 5-10 – NCs, OFIs, summary, conclusion, and follow-up

Section 1 — Audit Details

Field	Details
Organization Name	
Audit Reference Number	
Audit Type	Internal Audit
Standard	ISO 22301:2019
Audit Date	
Lead Auditor Name	
Co-Auditor Name(s)	
Department / Area Audited	
Auditee Name & Designation	
Audit Scope	
Audit Objectives	
Previous Audit Reference	
Previous Audit Date	

Section 2 — Audit Scope and Objectives

Audit Scope

This internal audit covers the implementation and effectiveness of the Business Continuity Management System (BCMS) in accordance with ISO 22301:2019 across the following functions, sites, and processes:

- ☒ Business Continuity Policy and Objectives
- ☒ Leadership and Organizational Context
- ☒ Risk Assessment and Business Impact Analysis (BIA)
- ☒ Business Continuity Strategy and Plans
- ☒ Incident Response and Crisis Management
- ☒ Training, Awareness, and Competence
- ☒ Exercises and Testing
- ☒ Monitoring, Measurement, and Performance Evaluation
- ☒ Corrective Actions and Continual Improvement
- ☒ Documentation and Records Control

Audit Objectives

- Verify conformance with ISO 22301:2019 requirements
- Assess the effectiveness of the BCMS in protecting critical business functions
- Identify gaps, nonconformities, and opportunities for improvement
- Confirm that previous audit findings have been adequately addressed

Section 3 – Documents Reviewed

The following documents were reviewed as part of this audit. Each document's currency and status should be confirmed prior to and during the audit.

Document Name	Version / Date	Current	Outdated
Business Continuity Policy		<input type="checkbox"/>	<input type="checkbox"/>
Business Impact Analysis (BIA) Report		<input type="checkbox"/>	<input type="checkbox"/>
Risk Assessment Report		<input type="checkbox"/>	<input type="checkbox"/>
Business Continuity Plan (BCP)		<input type="checkbox"/>	<input type="checkbox"/>
Incident Response Plan		<input type="checkbox"/>	<input type="checkbox"/>
Crisis Communication Plan		<input type="checkbox"/>	<input type="checkbox"/>
Exercise and Test Records		<input type="checkbox"/>	<input type="checkbox"/>
Training and Awareness Records		<input type="checkbox"/>	<input type="checkbox"/>
Corrective Action Register		<input type="checkbox"/>	<input type="checkbox"/>
Management Review Minutes		<input type="checkbox"/>	<input type="checkbox"/>
Internal Audit Records		<input type="checkbox"/>	<input type="checkbox"/>

Section 4 – Audit Checklist

Grading Key:

C

Conformant

NC

Nonconformity

OFI

Opportunity for Improvement

N/A

Not Applicable

- Use the grading key consistently across all clauses (4 through 10) when completing the audit checklist in the following sections.

Clause 4 – Context of the Organization

Ref	Audit Question	Evidence Reviewed	Finding	Grade
4.1	Has the organization identified internal and external issues relevant to its purpose and BCMS objectives?			
4.2	Have the needs and expectations of interested parties been identified and documented?			
4.3	Is the BCMS scope clearly defined, documented, and available?			
4.3	Does the scope reflect the organization's activities, products, services, and locations?			
4.4	Is the BCMS established, implemented, maintained, and continually improved?			

Auditor Notes:

Clause 5 – Leadership

Ref	Audit Question	Evidence Reviewed	Finding	Grade
5.1	Does top management demonstrate commitment to the BCMS?			
5.2	Is a Business Continuity Policy established, documented, and communicated?			
5.2	Does the policy include a commitment to satisfy applicable requirements and continual improvement?			
5.3	Are roles, responsibilities, and authorities for the BCMS clearly defined and communicated?			
5.3	Has a competent person been assigned responsibility for the BCMS?			

Auditor Notes:

Clause 6 – Planning

Ref	Audit Question	Evidence Reviewed	Finding	Grade
6.1	Has the organization determined risks and opportunities that could affect the BCMS?			
6.1	Are actions planned to address these risks and opportunities?			
6.2	Are business continuity objectives established, measurable, and aligned with the BC policy?			
6.2	Are plans documented for achieving BC objectives, including timelines and responsibilities?			

Auditor Notes:

Clause 7 – Support

Ref	Audit Question	Evidence Reviewed	Finding	Grade
7.1	Has the organization determined and provided the resources needed for the BCMS?			
7.2	Is the competence of personnel involved in the BCMS determined and documented?			
7.2	Is training provided where gaps in competence are identified?			
7.3	Are personnel aware of the BC policy, their contribution to the BCMS, and implications of non-conformance?			
7.4	Are internal and external communication processes for the BCMS defined?			
7.5	Is documented information required by ISO 22301 controlled and maintained?			
7.5	Are document retention and disposal rules defined and followed?			

Auditor Notes:

Clause 8 – Operation

Ref	Audit Question	Evidence Reviewed	Finding	Grade
8.1	Are operational processes planned, implemented, and controlled to meet BCMS requirements?			
8.2	Has a Business Impact Analysis (BIA) been conducted and documented?			
8.2	Does the BIA identify critical activities, dependencies, and recovery time objectives (RTOs)?			
8.2	Has a risk assessment been conducted for threats to critical activities?			
8.3	Has a business continuity strategy been determined based on BIA and risk assessment outputs?			
8.3	Does the strategy address resource requirements for recovery?			
8.4	Are Business Continuity Plans (BCPs) documented and available to relevant personnel?			
8.4	Do the BCPs include roles, responsibilities, communication procedures, and recovery steps?			

8.4	Is there an incident response structure defined, including escalation paths?	
8.4	Is there a documented crisis communication plan covering internal and external stakeholders?	
8.5	Are BC exercises and tests planned and conducted to verify the effectiveness of plans?	
8.5	Are exercise results documented and used to drive improvements?	
8.6	Is a process in place to evaluate and incorporate lessons learned from incidents and exercises?	

Auditor Notes:

Clause 9 – Performance Evaluation

Ref	Audit Question	Evidence Reviewed	Finding	Grade
9.1	Does the organization monitor, measure, analyze, and evaluate the BCMS?			
9.1	Are BC objectives and KPIs tracked and reported?			
9.2	Is an internal audit program established and implemented?			
9.2	Are internal auditors competent and independent from the area being audited?			
9.3	Does management review the BCMS at planned intervals?			
9.3	Do management review records include inputs such as audit results, incidents, and improvement opportunities?			

Auditor Notes:

Clause 10 – Improvement

Ref	Audit Question	Evidence Reviewed	Finding	Grade
10.1	Does the organization react to nonconformities and take corrective actions?			
10.1	Are root causes of nonconformities identified and addressed?			
10.1	Are corrective actions tracked for effectiveness and closure?			
10.2	Is continual improvement of the BCMS demonstrated over time?			

Auditor Notes:

Section 5 — Nonconformity Report

Nonconformity #1

Field	Details
NC Reference Number	
Date Identified	
ISO 22301 Clause	
Type	<input type="checkbox"/> Major NC <input type="checkbox"/> Minor NC <input type="checkbox"/> Observation
Description of Nonconformity	
Objective Evidence	
Root Cause	
Corrective Action Required	
Responsible Person	
Target Closure Date	
Actual Closure Date	
Effectiveness Verified By	
Status	<input type="checkbox"/> Open <input type="checkbox"/> In Progress <input type="checkbox"/> Closed

(Duplicate this section for each nonconformity identified)

Section 6 – Opportunities for Improvement (OFI)

OFI #	Clause	Description	Recommended Action	Responsible Person	Target Date
OFI-01					
OFI-02					
OFI-03					
OFI-04					
OFI-05					

Section 7 – Audit Summary

Overall BCMS Conformance Assessment

Clause	Clause Title	No. of Conformances	No. of NCs	No. of OFIs	Overall Grade
4	Context of the Organization				
5	Leadership				
6	Planning				
7	Support				
8	Operation				
9	Performance Evaluation				
10	Improvement				
Total					

Audit Summary Findings

1

Strengths Observed:

2

Areas Requiring Immediate Attention:

3

Overall Auditor Assessment:

- The BCMS is effectively implemented and maintained in conformance with ISO 22301:2019
- The BCMS is partially implemented – minor nonconformities identified requiring corrective action
- Significant nonconformities identified – major corrective actions required before next review

Section 8 – Audit Conclusion and Sign-Off

Audit Closing Meeting

Audit Closing Meeting Held: Yes No

Date of Closing Meeting:

Attendees

Name	Designation	Department	Signature

Lead Auditor Declaration

I confirm that this audit was conducted in accordance with the audit plan and that the findings recorded in this report are a true and accurate representation of the evidence reviewed during the audit.

Lead Auditor Name	Signature	Date

Auditee Acknowledgement

I acknowledge receipt of this audit report and confirm that the findings have been communicated and understood.

Auditee Name	Designation	Signature	Date

Section 9 – Corrective Action Follow-Up Tracker

NC Ref	Description	Root Cause	Corrective Action	Owner	Due Date	Review Date	Status	Verified By
							<input type="checkbox"/> Open <input type="checkbox"/> Closed	
							<input type="checkbox"/> Open <input type="checkbox"/> Closed	
							<input type="checkbox"/> Open <input type="checkbox"/> Closed	
							<input type="checkbox"/> Open <input type="checkbox"/> Closed	
							<input type="checkbox"/> Open <input type="checkbox"/> Closed	

Section 10 — Next Audit Details

Field	Details
Next Audit Date (Planned)	
Next Audit Scope	
Areas to Focus On	
Assigned Lead Auditor	

Planning the next audit cycle ensures the BCMS remains current, effective, and continually improving in line with ISO 22301:2019 requirements.

CERTIFIED ISO 22301:2019 LEAD AUDITOR



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