ISO 22301:2019 Checklist

Use this ISO 22301:2019 checklist template to comply with ISO standards and ensure business continuity. This template can also help with identifying points for improvement in leadership, management, and contingency plans.

Title Page

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___ ___ : ___ ___ AM / PM

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4. Context of the organization

4.1 Understanding the organization and its context

The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its BCMS.	Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

NOTE: These issues will be influenced by the organization's overall objectives, its products and services and the amount and type of risk that it may or may not take.	Instruction

4.2 Understanding the needs and expectations of interested parties

4.2.1 General

When establishing its BCMS, the organization shall determine:	Instruction

a) the interested parties that are relevant to the BCMS;	Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) the relevant requirements of these interested parties.	Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

4.2.2 Legal and regulatory requirements

The organization shall: Instruction

a) implement and maintain a process to identify, have access to, and assess the applicable legal and regulatory requirements related to the continuity of its products and services, activities and resources;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) ensure that these applicable legal, regulatory and other requirements are taken into account in implementing and maintaining its BCMS;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

c) document this information and keep it up to date.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

4.3   Determining the scope of the business continuity management system

4.3.1   General

The organization shall determine the boundaries and applicability of the BCMS to establish its scope.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

When determining this scope, the organization shall consider: Instruction

a) the external and internal issues referred to in 4.1;   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

b) the requirements referred to in 4.2;   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

c) its mission, goals, and internal and external obligations.   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

The scope shall be available as documented information.   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

4.3.2 Scope of the business continuity management system

The organization shall: Instruction

---

a) establish the parts of the organization to be included in the BCMS, taking into account its location(s), size, nature and complexity;   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

b) identify products and services to be included in the BCMS.   Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

When defining the scope, the organization shall document and explain exclusions. They shall not affect the organization's ability and responsibility to provide business continuity, as determined by the business impact analysis or risk assessment and applicable legal or regulatory requirements.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

4.4   Business continuity management system

The organization shall establish, implement, maintain and continually improve a BCMS, including the processes needed and their interactions, in accordance with the requirements of this document.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

5. Leadership

5.1   Leadership and commitment

Top management shall demonstrate leadership and commitment with respect to the BCMS by:	Instruction

a) ensuring that the business continuity policy and business continuity objectives are established and are compatible with the strategic direction of the organization;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) ensuring the integration of the BCMS requirements into the organization's business processes;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

c) ensuring that the resources needed for the BCMS are available;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

d) communicating the importance of effective business continuity and of conforming to the BCMS requirements;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

e) ensuring that the BCMS achieves its intended outcome(s);

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

f) directing and supporting persons to contribute to the effectiveness of the BCMS;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

g) promoting continual improvement;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

h) supporting other relevant managerial roles to demonstrate their leadership and commitment as it applies to their areas of responsibility.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

NOTE: Reference to "business" in this document can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence.

Instruction

5.2 Policy

5.2.1 Establishing the business continuity policy

Top management shall establish a business continuity policy that:

Instruction

---

a) is appropriate to the purpose of the organization;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) provides a framework for setting business continuity objectives;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

c) includes a commitment to satisfy applicable requirements;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

d) includes a commitment to continual improvement of the BCMS.

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

5.2.2 Communicating the business continuity policy

The business continuity policy shall:

Instruction

a) be available as documented information;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

b) be communicated within the organization;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

c) be available to interested parties, as appropriate.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

5.3   Roles, responsibilities and authorities

Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

Top management shall assign the responsibility and authority for:

Instruction

a) ensuring that the BCMS conforms to the requirements of this document;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) reporting on the performance of the BCMS to top management.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

6. Planning

6.1 Actions to address risks and opportunities

6.1.1 Determining risks and opportunities

When planning for the BCMS, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to:	Instruction

a) give assurance that the BCMS can achieve its intended outcome(s);

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

b) prevent, or reduce, undesired effects;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

c) achieve continual improvement.

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

6.1.2 Addressing risks and opportunities

The organization shall plan:

Instruction

a) actions to address these risks and opportunities;

Select one

[ ] Compliant
[ ] Non-Compliant

[ ] N/A

---

b) how to: Instruction

---

1) integrate and implement the actions into its BCMS processes (see 8.1);   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

2) evaluate the effectiveness of these actions (see 9.1).   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

NOTE: Risks and opportunities relate to the effectiveness of the management system. Risks related to disruption of the business are addressed in 8.2.   Instruction

6.2   Business continuity objectives and planning to achieve them

6.2.1   Establishing business continuity objectives

The organization shall establish business continuity objectives at relevant functions and levels.   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

The business continuity objectives shall: Instruction

---

a) be consistent with the business continuity policy;   Select one

[ ] Compliant
[ ] Non-Compliant

[ ] N/A

---

b) be measurable (if practicable);

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

c) take into account applicable requirements (see 4.1 and 4.2);

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

d) be monitored;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

e) be communicated;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

f) be updated as appropriate.

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

The organization shall retain documented information on the business continuity objectives.

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

6.2.2 Determining business continuity objectives

When planning how to achieve its business continuity objectives, the organization shall determine:

Instruction

a) what will be done;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

b) what resources will be required;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

c) who will be responsible;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

d) when it will be completed;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

e) how the results will be evaluated.

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

6.3 Planning changes to the business continuity management system

When the organization determines the need for changes to the BCMS, including those identified in Clause 10, the changes shall be carried out in a planned manner.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

The organization shall consider:

Instruction

a) the purpose of the changes and their potential consequences;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) the integrity of the BCMS;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

c) the availability of resources;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

d) the allocation or reallocation of responsibilities and authorities.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

7. Support

7.1 Resources

The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the BCMS.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

7.2 Competence

The organization shall:

Instruction

a) determine the necessary competence of person(s) doing work under its control that affects its business continuity performance;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) ensure that these persons are competent on the basis of appropriate education, training, or experience;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

d) retain appropriate documented information as evidence of

Select one

competence.

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

NOTE: Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.

Instruction

7.3 Awareness

Persons doing work under the organization's control shall be aware of:

Instruction

a) the business continuity policy;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) their contribution to the effectiveness of the BCMS, including the benefits of improved business continuity performance;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

c) the implications of not conforming with the BCMS requirements;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

d) their own role and responsibilities before, during and after disruptions.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

7.4 Communication

The organization shall determine the internal and external communications relevant to the BCMS, including:

Instruction

a) on what it will communicate;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

b) when to communicate;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

c) with whom to communicate;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

d) how to communicate;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

e) who will communicate.

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

7.5 Documented information

7.5.1 General

The organization's BCMS shall include: | Instruction

a) documented information required by this document; | Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

b) documented information determined by the organization as being necessary for the effectiveness of the BCMS. | Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

NOTE: The extent of documented information for a BCMS can differ from one organization to another due to:
— the size of organization and its type of activities, processes, products and services, and resources;
— the complexity of processes and their interactions;
— the competence of persons. | Instruction

7.5.2 Creating and updating

When creating and updating documented information the organization shall ensure appropriate: | Instruction

a) identification and description (e.g., a title, date, author, or reference number); | Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

b) format (e.g., language, software version, graphics) and media | Select one

(e.g., paper, electronic);

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

c) review and approval for suitability and adequacy.   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

7.5.3   Control of documented information

7.5.3.1   Documented information required by the BCMS and by this   Instruction
document shall be controlled to ensure:

---

a) it is available and suitable for use, where and when it is needed;   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

**b) it is adequately protected (e.g., from loss of confidentiality,   Select one
improper use, or loss of integrity).**

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

7.5.3.2   For the control of documented information, the organization shall Instruction
address the following activities, as applicable:

---

a) distribution, access, retrieval and use;   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

b) storage and preservation, including preservation of legibility;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

c) control of changes (e.g., version control);

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

d) retention and disposition.

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

Documented information of external origin determined by the organization to be necessary for the planning and operation of the BCMS shall be identified, as appropriate, and controlled.

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

NOTE: Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

Instruction

8. Operation

8.1 Operational planning and control

The organization shall plan, implement and control the processes needed to meet requirements, and to implement the actions determined in 6.1, by:

Instruction

a) establishing criteria for the processes;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) implementing control of the processes in accordance with the criteria;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

c) keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

The organization shall ensure that outsourced processes and the supply chain are controlled.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.2   Business impact analysis and risk assessment

8.2.1   General

The organization shall:	Instruction

a) implement and maintain systematic processes for analysing the business impact and assessing the risks of disruption;	Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) review the business impact analysis and risk assessment at planned intervals and when there are significant changes within the organization or the context in which it operates.	Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

NOTE : The organization determines the order in which the business impact analysis and risk assessment are conducted.	Instruction

8.2.2   Business impact analysis

The organization shall use the process for analysing business impacts to determine business continuity priorities and requirements. The process shall:	Instruction

a) define the impact types and criteria relevant to the organization's context;	Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

b) identify the activities that support the provision of products and services;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

c) use the impact types and criteria for assessing the impacts over time resulting from the disruption of these activities;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

d) identify the time frame within which the impacts of not resuming activities would become unacceptable to the organization;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

NOTE 1: This time frame can be referred to as the "maximum tolerable period of disruption (MTPD)".

Instruction

---

e) set prioritized time frames within the time identified in d) for resuming disrupted activities at a specified minimum acceptable capacity;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

NOTE 2: This time frame can be referred to as the "recovery time objective (RTO)".

Instruction

---

f) use this analysis to identify prioritized activities;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

g) determine which resources are needed to support prioritized activities;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

h) determine the dependencies, including partners and suppliers, and interdependencies of prioritized activities.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.2.3   Risk assessment

The organization shall implement and maintain a risk assessment process.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

NOTE : The process for risk assessment is addressed in ISO 31000.

Instruction

The organization shall:

Instruction

---

a) identify the risks of disruption to the organization's prioritized activities and to their required resources;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

b) analyze and evaluate the identified risks;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

c) determine which risks require treatment.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

NOTE : Risks in this subclause relate to the disruption of business activities. Risks and opportunities related to the effectiveness of the management system are addressed in 6.1.

Instruction

8.3   Business continuity strategies and solutions

8.3.1   General

Based on the outputs from the business impact analysis and risk assessment, the organization shall identify and select business continuity strategies that consider options for before, during and after disruption. The business continuity strategies shall be comprised of one or more solutions.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.3.2   Identification of strategies and solutions

Identification shall be based on the extent to which strategies and solutions:

Instruction

---

a) meet the requirements to continue and recover prioritized activities within the identified time frames and agreed capacity;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) protect the organization's prioritized activities;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

c) reduce the likelihood of disruption;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

d) shorten the period of disruption;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

e) limit the impact of disruption on the organization's products and services;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

f) provide for the availability of adequate resources.

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

8.3.3   Selection of strategies and solutions

Selection shall be based on the extent to which strategies and solutions:

Instruction

a) meet the requirements to continue and recover prioritized

Select one

activities within the identified time frames and agreed capacity;

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) consider the amount and type of risk the organization may or may not take;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

c) consider associated costs and benefits.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.3.4 Resource requirements

The organization shall determine the resource requirements to implement the selected business continuity solutions. The types of resources considered shall include, but not be limited to:

Instruction

a) people;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) information and data;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

c) physical infrastructure such as buildings, workplaces or other

Select one

facilities and associated utilities;

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

d) equipment and consumables;   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

e) information and communication technology (ICT) systems;   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

f) transportation and logistics;   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

g) finance;   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

h) partners and suppliers.   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

8.3.5 Implementation of solutions

The organization shall implement and maintain selected business continuity solutions so they can be activated when needed.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.4   Business continuity plans and procedures

8.4.1   General

The organization shall implement and maintain a response structure that will enable timely warning and communication to relevant interested parties. It shall provide plans and procedures to manage the organization during a disruption. The plans and procedures shall be used when required to activate business continuity solutions.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

NOTE : There are different types of procedures that comprise business continuity plans.

Instruction

The organization shall identify and document business continuity plans and procedures based on the output of the selected strategies and solutions.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

The procedures shall:

Instruction

a) be specific regarding the immediate steps that are to be taken during a disruption;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

b) be flexible to respond to the changing internal and external conditions of a disruption;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

c) focus on the impact of incidents that potentially lead to disruption;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

d) be effective in minimizing the impact through the implementation of appropriate solutions;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

e) assign roles and responsibilities for tasks within them.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.4.2   Response structure

8.4.2.1   The organization shall implement and maintain a structure, identifying one or more teams responsible for responding to disruptions.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.4.2.2   The roles and responsibilities of each team and the relationships between the teams shall be clearly stated.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.4.2.3   Collectively, the teams shall be competent to:

Instruction

---

a) assess the nature and extent of a disruption and its potential impact;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

b) assess the impact against pre-defined thresholds that justify initiation of a formal response;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

c) activate an appropriate business continuity response;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

d) plan actions that need to be undertaken;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

e) establish priorities (using life safety as the first priority);

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

f) monitor the effects of the disruption and the organization's response;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

g) activate the business continuity solutions;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

h) communicate with relevant interested parties, authorities and the media.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.4.2.4   For each team there shall be:

Instruction

---

a) identified personnel and their alternates with the necessary responsibility, authority and competence to perform their designated role;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

b) documented procedures to guide their actions (see 8.4.4), including those for the activation, operation, coordination and communication of the response.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.4.3 Warning and communication

8.4.3.1 The organization shall document and maintain procedures for:	Instruction

a) communicating internally and externally to relevant interested parties, including what, when, with whom and how to communicate;	Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

NOTE: The organization can document and maintain procedures for how, and under what circumstances, the organization communicates with employees and their emergency contacts.	Instruction

b) receiving, documenting and responding to communications from interested parties, including any national or regional risk advisory system or equivalent;	Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

c) ensuring the availability of the means of communication during a disruption;	Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

d) facilitating structured communication with emergency responders;	Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

e) providing details of the organization's media response following an incident, including a communications strategy;	Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

f) recording the details of the disruption, the actions taken and the decisions made.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.4.3.2   Where applicable, the following shall also be considered and implemented:

Instruction

---

a) alerting interested parties potentially impacted by an actual or impending disruption;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

b) ensuring appropriate coordination and communication between multiple responding organizations.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

The warning and communication procedures shall be exercised as part of the organization's exercise programme described in 8.5.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.4.4   Business continuity plans

8.4.4.1   The organization shall document and maintain business continuity plans and procedures. The business continuity plans shall

Select one

provide guidance and information to assist teams to respond to a disruption and to assist the organization with response and recovery.

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.4.4.2   Collectively, the business continuity plans shall contain: Instruction

---

a) details of the actions that the teams will take in order to: Instruction

---

1) continue or recover prioritized activities within predetermined time frames;   Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

2) monitor the impact of the disruption and the organization's response to it;   Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

b) reference to the pre-defined threshold(s) and process for activating the response;   Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

c) procedures to enable the delivery of products and services at agreed capacity;   Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

d) details to manage the immediate consequences of a disruption giving due regard to:	Instruction

1) the welfare of individuals; — Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

2) the prevention of further loss or unavailability of prioritized activities; — Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

3) the impact on the environment. — Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

8.4.4.3   Each plan shall include: — Instruction

a) the purpose, scope and objectives; — Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

b) the roles and responsibilities of the team that will implement the plan; — Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

c) actions to implement the solutions; — Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

d) supporting information needed to activate (including activation criteria), operate, coordinate and communicate the team's actions;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

e) internal and external interdependencies;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

f) the resource requirements;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

g) the reporting requirements;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

h) a process for standing down.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

Each plan shall be usable and available at the time and place at which it is required.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.5 Exercise programme

The organization shall implement and maintain a programme of exercising and testing to validate over time the effectiveness of its business continuity strategies and solutions.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

The organization shall conduct exercises and tests that:

Instruction

a) are consistent with its business continuity objectives;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) are based on appropriate scenarios that are well planned with clearly defined aims and objectives;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

c) develop teamwork, competence, confidence and knowledge for those who have roles to perform in relation to disruptions;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

d) taken together over time, validate its business continuity strategies and solutions;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

e) produce formalized post-exercise reports that contain outcomes, recommendations and actions to implement improvements;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

f) are reviewed within the context of promoting continual improvement;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

g) are performed at planned intervals and when there are significant changes within the organization or the context in which it operates.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

The organization shall act on the results of its exercising and testing to implement changes and improvements.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

8.6 Evaluation of business continuity documentation and capabilities

The organization shall:

Instruction

---

a) evaluate the suitability, adequacy and effectiveness of its business impact analysis, risk assessment, strategies, solutions,

Select one

plans and procedures;

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

b) undertake evaluations through reviews, analysis, exercises, tests, post-incident reports and performance evaluations;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

c) conduct evaluations of the business continuity capabilities of relevant partners and suppliers;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

d) evaluate compliance with applicable legal and regulatory requirements, industry best practices, and conformity with its own business continuity policy and objectives;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

e) update documentation and procedures in a timely manner.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

These evaluations shall be conducted at planned intervals, after an incident or activation, and when significant changes occur.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

9. Performance evaluation

9.1 Monitoring, measurement, analysis and evaluation

The organization shall determine: Instruction

---

a) what needs to be monitored and measured;   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

c) when and by whom the monitoring and measuring shall be performed;   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

---

d) when and by whom the results from monitoring and measurement shall be analyzed and evaluated.   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

The organization shall retain appropriate documented information as evidence of the results.   Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

The organization shall evaluate the BCMS performance and the effectiveness of the BCMS.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

9.2   Internal audit

9.2.1   General

The organization shall conduct internal audits at planned intervals to provide information on whether the BCMS:

Instruction

a) conforms to:

Instruction

1) the organization's own requirements for its BCMS;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

2) the requirements of this document;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) is effectively implemented and maintained.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

9.2.2   Audit programme(s)

The organization shall:	Instruction

a) plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) define the audit criteria and scope for each audit;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

d) ensure that the results of the audits are reported to relevant managers;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

e) retain documented information as evidence of the implementation of the audit programme(s) and the audit results;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

f) ensure that any necessary corrective actions are taken without

Select one

undue delay to eliminate detected nonconformities and their causes;

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

g) ensure that follow-up audit actions include the verification of the actions taken and the reporting of verification results.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

9.3   Management review

9.3.1   General

Top management shall review the organization's BCMS, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

9.3.2   Management review input

The management review shall include consideration of:

Instruction

a) the status of actions from previous management reviews;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) changes in external and internal issues that are relevant to the BCMS;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

c) information on the BCMS performance, including trends in:

---

1) nonconformities and corrective actions;

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

2) monitoring and measurement evaluation results;

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

3) audit results;

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

d) feedback from interested parties;

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

e) the need for changes to the BCMS, including the policy and objectives;

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

f) procedures and resources that could be used in the organization to improve the BCMS' performance and effectiveness;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

g) information from the business impact analysis and risk assessment;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

h) output from the evaluation of business continuity documentation and capabilities (see 8.6);

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

i) risks or issues not adequately addressed in any previous risk assessment;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

j) lessons learned and actions arising from near-misses and disruptions;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

k) opportunities for continual improvement.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

9.3.3 Management review outputs

9.3.3.1   The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the BCMS to improve its efficiency and effectiveness, including the following:

Instruction

a) variations to the scope of the BCMS;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) update of the business impact analysis, risk assessment, business continuity strategies and solutions, and business continuity plans;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

c) modification of procedures and controls to respond to internal or external issues that may impact the BCMS;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

d) how the effectiveness of controls will be measured.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

9.3.3.2   The organization shall retain documented information as evidence of the results of management reviews. It shall:

Instruction

a) communicate the results of the management review to relevant interested parties;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

b) take appropriate action relating to those results.   Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

---

10. Improvement

10.1   Nonconformity and corrective action

10.1.1   The organization shall determine opportunities for improvement and implement necessary actions to achieve the intended outcomes of its BCMS.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

10.1.2   When a nonconformity occurs, the organization shall:

Instruction

a) react to the nonconformity, and, as applicable:

Instruction

1) take action to control and correct it;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

2) deal with the consequences;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:

Instruction

1) reviewing the nonconformity;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

2) determining the causes of the nonconformity;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

3) determining if similar nonconformities exist, or can potentially occur;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

c) implement any action needed;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

d) review the effectiveness of any corrective action taken;

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

e) make changes to the BCMS, if necessary.

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

Corrective actions shall be appropriate to the effects of the nonconformities encountered.

Select one

[ ] Compliant
[ ] Non-Compliant
[ ] N/A

10.1.3   The organization shall retain documented information as evidence of:

Instruction

a) the nature of the nonconformities and any subsequent actions taken;

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

b) the results of any corrective action.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

10.2   Continual improvement

The organization shall continually improve the suitability, adequacy and effectiveness of the BCMS, based on qualitative and quantitative measures.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

The organization shall consider the results of analysis and evaluation, and the outputs from management review, to determine if there are needs or opportunities, relating to the business, or to the BCMS, that shall be addressed as part of continual improvement.

Select one

[ ] Compliant

[ ] Non-Compliant

[ ] N/A

NOTE : The organization can use the processes of the BCMS, such as leadership, planning and performance evaluation, to achieve improvement.

Instruction

Completion

Comments/Recommendations   Text answer

Name and Signature   Signature

_____

Date: __ __ / __ __ / __ __ __ __