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ISO 22301:2019 Audit Checklist

Business Continuity Management Systems

Downloadable Website Resource for BCMS Readiness Review

Standard	Use	Prepared by
ISO 22301:2019	Internal review and certification readiness	Pacific Certifications

This checklist helps organizations review their Business Continuity Management System against ISO 22301:2019 clauses. It is intended as a practical readiness tool before an independent certification assessment, surveillance assessment, or recertification assessment.

Pacific Certifications provides independent third-party certification assessment and certificate issuance services. This document is provided as a general reference resource and does not replace the official ISO standard or organization-specific legal, regulatory, contractual, or continuity obligations.

How to Use This Checklist

Complete the organization details first, then review each ISO 22301:2019 clause. For every requirement, record the evidence reviewed, select the conformity status and note any action required. The checklist may be used by management representatives, BCMS coordinators, process owners and internal assessment teams.

- Use C when the requirement is implemented and supported by adequate evidence.
- Use PC when the requirement is partly implemented but gaps or weak evidence remain.
- Use NC when the requirement is not implemented or evidence is not available.
- Use NA only where the requirement is clearly not applicable and the justification is documented.
- Record objective evidence such as policies, BIA results, risk assessment outputs, continuity plans, test reports, exercise records, supplier arrangements, communications and management review outputs.

Organization Details

Organization Name		**Prepared By**	
Location / Site		**Date**	
BCMS Scope		**Review Type**	Gap / Internal / Certification Readiness
Key Products / Services		**Critical Activities**	

Conformity Status Key

C - Conforming	**PC -** Partially conforming	**NC -** Nonconforming	**NA -** Not applicable

ISO 22301:2019 Clause-wise Audit Checklist

Use the table below to review BCMS implementation, gather objective evidence and record conformity status. The checklist is structured around ISO 22301:2019 clauses 4 to 10.

Clause	Audit question	Evidence / records to review	Status	Notes / action required
4.1	Has the organization determined internal and external issues that can affect the intended outcomes of the BCMS?	Context analysis, business environment review, strategic risk inputs	C / PC / NC / NA	Notes / action required
4.2	Are interested parties and their BCMS-related needs and expectations identified and reviewed?	Interested party register, customer/regulator requirements, contractual obligations	C / PC / NC / NA	Notes / action required
4.3	Is the BCMS scope defined, documented and aligned with products, services, activities, locations and dependencies?	BCMS scope statement, site list, exclusions/justifications	C / PC / NC / NA	Notes / action required
4.4	Has the organization established, implemented, maintained and continually improved the BCMS?	BCMS manual or framework, process map, procedures and records	C / PC / NC / NA	Notes / action required
5.1	Does top management demonstrate leadership and accountability for business continuity?	Leadership meeting minutes, objectives, resource decisions, communication records	C / PC / NC / NA	Notes / action required
5.2	Is the business continuity policy established, appropriate, communicated and available as documented information?	BC policy, communication evidence, approval records	C / PC / NC / NA	Notes / action required
5.3	Are BCMS roles, responsibilities and authorities assigned and understood?	Role matrix, job descriptions, continuity team structure	C / PC / NC / NA	Notes / action required
5.4	Has the organization ensured consultation and participation of relevant personnel where required?	Workshops, BIA input records, exercise participation, awareness records	C / PC / NC / NA	Notes / action required
6.1	Are risks and opportunities for the BCMS identified and actions planned?	BCMS risk register, action plan, effectiveness review	C / PC / NC / NA	Notes / action required
6.2	Are measurable business continuity objectives established at relevant functions and levels?	BCMS objectives, KPIs, monitoring results	C / PC / NC / NA	Notes / action required
6.2	Do objectives include responsibility, resources, timelines and evaluation methods?	Objective action plans, progress reports	C / PC / NC / NA	Notes / action required

Clause	Audit question	Evidence / records to review	Status	Notes / action required
6.3	Are changes to the BCMS planned and controlled?	Change records, impact assessments, approvals	C / PC / NC / NA	Notes / action required
7.1	Are resources needed for the BCMS determined and provided?	Resource plan, budget records, continuity tools, alternate site arrangements	C / PC / NC / NA	Notes / action required
7.2	Are personnel competent for assigned BCMS roles?	Competence matrix, training records, emergency role appointments	C / PC / NC / NA	Notes / action required
7.3	Are personnel aware of the BC policy, their roles and the impact of nonconformity?	Awareness records, communications, induction material	C / PC / NC / NA	Notes / action required
7.4	Are internal and external BCMS communication processes defined?	Communication procedure, escalation matrix, notification templates	C / PC / NC / NA	Notes / action required
7.5	Is documented information controlled, maintained and protected?	Document control procedure, version control, access rights, retention records	C / PC / NC / NA	Notes / action required
8.1	Are operational controls planned and implemented for BCMS processes?	BCMS operational procedure, process controls, outsourced process controls	C / PC / NC / NA	Notes / action required
8.2.1	Has the organization conducted a business impact analysis for prioritized activities?	BIA methodology, BIA reports, MTPD/RTO/RPO data	C / PC / NC / NA	Notes / action required
8.2.2	Does the BIA identify impacts over time and the resources required for recovery?	Impact criteria, resource dependency analysis, recovery priorities	C / PC / NC / NA	Notes / action required
8.2.3	Has a risk assessment been performed for disruptions affecting prioritized activities?	Risk assessment methodology, threat scenarios, risk treatment records	C / PC / NC / NA	Notes / action required
8.3	Are business continuity strategies and solutions selected based on BIA and risk assessment outputs?	Continuity strategy, alternate arrangements, technology recovery solutions	C / PC / NC / NA	Notes / action required
8.3	Do strategies address people, premises, technology, information, suppliers, finance and logistics where applicable?	Strategy matrix, supplier agreements, remote work/alternate site plans	C / PC / NC / NA	Notes / action required
8.4.1	Are business continuity plans and procedures established and documented?	BC plans, incident response plans, recovery procedures	C / PC / NC / NA	Notes / action required
8.4.2	Do plans include activation criteria, roles,	Plan content, call trees, activation records,	C / PC / NC / NA	Notes / action required

Clause	Audit question	Evidence / records to review	Status	Notes / action required
	communication, recovery steps and restoration arrangements?	recovery checklists		
8.4.3	Is there a defined warning and communication structure for disruption events?	Crisis communication plan, stakeholder contacts, media/customer notifications	C / PC / NC / NA	Notes / action required
8.4.4	Are business continuity plans tested and exercised at planned intervals?	Exercise schedule, test reports, lessons learned, action tracking	C / PC / NC / NA	Notes / action required
8.5	Are BCMS exercises and tests evaluated and improved based on results?	Exercise evaluation reports, corrective actions, updated plans	C / PC / NC / NA	Notes / action required
8.6	Are BCMS capability and continuity arrangements evaluated for effectiveness?	Capability reviews, scenario reviews, management reporting	C / PC / NC / NA	Notes / action required
9.1	Are BCMS performance and effectiveness monitored, measured, analyzed and evaluated?	Monitoring plan, KPI dashboard, trend analysis	C / PC / NC / NA	Notes / action required
9.1	Are evaluation methods, responsibilities and reporting requirements defined?	Monitoring procedure, reporting calendar, review records	C / PC / NC / NA	Notes / action required
9.2	Are internal assessments conducted at planned intervals?	Internal assessment program, checklists, reports	C / PC / NC / NA	Notes / action required
9.2	Are assessment findings reported to relevant management and corrected without undue delay?	Finding reports, action plans, closure evidence	C / PC / NC / NA	Notes / action required
9.3	Does top management review the BCMS at planned intervals?	Management review agenda, minutes, inputs and outputs	C / PC / NC / NA	Notes / action required
9.3	Do management review outputs include decisions on improvement, resources and changes?	Action log, resource approvals, updated objectives	C / PC / NC / NA	Notes / action required
10.1	Are nonconformities and incidents managed through correction and corrective action?	Nonconformity reports, incident reviews, corrective action records	C / PC / NC / NA	Notes / action required
10.1	Does the organization evaluate causes and verify effectiveness of corrective actions?	Root cause analysis, effectiveness checks	C / PC / NC / NA	Notes / action required
10.2	Is the BCMS continually improved for suitability,	Improvement plan, lessons learned, trend	C / PC / NC / NA	Notes / action required

Clause	Audit question	Evidence / records to review	Status	Notes / action required
	adequacy and effectiveness?	analysis		
10.2	Are lessons learned from exercises, incidents and changes used to update the BCMS?	Post-incident reviews, updated plans, revised BIA/risk assessments	C / PC / NC / NA	Notes / action required

BCMS Evidence Review Summary

The following evidence areas are commonly reviewed during ISO 22301:2019 readiness and certification assessments. Use this page to confirm whether essential documented information and records are available, current and controlled.

Evidence area	Examples of records	Available / comments
BCMS scope and policy	Scope statement, policy approval, communication evidence	
Context and interested parties	Internal/external issues, interested party needs, compliance obligations	
Business impact analysis	BIA methodology, impact criteria, MTPD, RTO, RPO and prioritized activities	
Risk assessment	Disruption scenarios, risk ratings, treatment actions and review records	
Continuity strategies and solutions	Recovery strategies for people, premises, technology, information and suppliers	
Business continuity plans	Activation criteria, roles, recovery steps, escalation and communication procedures	
Exercise and testing records	Exercise plans, scenario results, lessons learned and action closure evidence	
Performance evaluation	Monitoring results, internal assessment reports and management review outputs	
Improvement records	Incident reviews, nonconformity records, corrective actions and effectiveness checks	

Certification Readiness Notes

Before applying for ISO 22301:2019 certification, organizations should ensure the BCMS is implemented, documented information is controlled, business continuity plans have been exercised and performance evaluation activities have been completed. The organization should also maintain evidence of management review, corrective action and continual improvement.

- Review the BCMS scope to ensure it reflects actual products, services, locations, activities and dependencies.
- Confirm that BIA outputs and risk assessment results are linked to continuity strategies and plans.
- Verify that continuity plans are tested through realistic scenarios and lessons learned are closed.
- Check that supplier, IT, communication and people-related recovery arrangements are practical and current.
- Maintain records of internal assessments, management review and corrective actions before the certification process.

Need ISO 22301:2019 Certification?

Pacific Certifications provides independent third-party certification assessment, certificate issuance, surveillance and recertification support for Business Continuity Management Systems.

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