

## BUSINESS CONTINUITY AUDIT QUESTIONNAIRES

### 8. AUDIT YOUR BUSINESS CONTINUITY OPERATIONAL PROCESS

#### 8.1 CARRY OUT PROCESS PLANNING AND ESTABLISH CONTROLS

1	Did you plan the development of your BCMS processes?	YES	NO	
2	Did you establish criteria that processes must meet?	YES	NO	
3	Did you use your criteria to establish process controls?	YES	NO	
4	Do you control your internal BCMS processes?	YES	NO	
5	Do you control your outsourced BCMS processes?	YES	NO	
6	Did you develop your organization's BCMS processes?	YES	NO	
7	Did you develop the business continuity processes that your organization needs in order to meet BCMS requirements?	YES	NO	
8	Did you develop the business continuity processes that your organization needs in order to address its risks and opportunities?	YES	NO	
9	Do you review the actions needed to address your risks and opportunities (specified in part 6.1, above)?	YES	NO	
10	Do you make these actions part of your business continuity processes (do you integrate them)?	YES	NO	
11	Do you build your actions into your processes?	YES	NO	
12	Did you implement your organization's BCMS processes?	YES	NO	
13	Did you implement the business continuity processes that your organization needs in order to meet BCMS requirements?	YES	NO	
14	Did you implement the business continuity processes that your organization needs in order to address its risks and opportunities?	YES	NO	
15	Do you control your organization's BCMS processes?	YES	NO	
16	Do you control process changes and modifications?	YES	NO	

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**PAGE 36**

## BUSINESS CONTINUITY AUDIT QUESTIONNAIRES

### 8. AUDIT YOUR BUSINESS CONTINUITY OPERATIONAL PROCESS

17		Do you review uncontrolled process modifications?	YES	NO	
18		Do you review unintended effects and consequences?	YES	NO	
19		Do you mitigate adverse effects and consequences?	YES	NO	
20		Do you maintain your organization's BCMS processes?	YES	NO	
21		Do you retain records that demonstrate that your processes were carried out as planned?	YES	NO	
22		Do you control records that demonstrate that your processes were carried out as planned?	YES	NO	

#### 8.2 STUDY DISRUPTIONS AND RISKS AND SET YOUR PRIORITIES

##### 8.2.1 ESTABLISH A PROCESS TO ANALYZE IMPACTS AND ASSESS RISKS

23		Did you establish a formal process that your organization can use to analyze its business impacts and assess its risks?	YES	NO	
24		Did you document your organization's business impact analysis and risk assessment process?	YES	NO	
25		Did you implement your organization's business impact analysis and risk assessment process?	YES	NO	
26		Do you clarify the context of your assessments?	YES	NO	
27		Do you consider your legal and other requirements?	YES	NO	
28		Did you establish your organization's risk criteria?	YES	NO	
29		Did you define the outputs that should be produced?	YES	NO	
30		Did you define required impact analysis outputs?	YES	NO	
31		Did you define required risk assessments outputs?	YES	NO	
32		Do you evaluate disruptive incidents and study the potential impact they could have?	YES	NO	
33		Do you prioritize risk treatments and do you establish the cost of each treatment?	YES	NO	

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**VERSION 2.0**

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**PAGE 37**

## BUSINESS CONTINUITY AUDIT QUESTIONNAIRES

### 8. AUDIT YOUR BUSINESS CONTINUITY OPERATIONAL PROCESS

34	Do you maintain the process that your organization uses to analyze its business impacts and assess its risks?	YES	NO	
35	Are your process outputs kept up-to-date?	YES	NO	
36	Do you protect the confidentiality of process outputs?	YES	NO	
<b>8.2.2 EVALUATE AND SET BUSINESS CONTINUITY AND RECOVERY PRIORITIES</b>				
37	Did you establish a formal process that your organization can use to evaluate and set business continuity and recovery priorities, objectives, and targets?	YES	NO	
38	Did you document your priority setting process?	YES	NO	
39	Did you implement your priority setting process?	YES	NO	
40	Do you assess the impact that disruptive incidents could have on your products and services?	YES	NO	
41	Do you identify the activities that support the provision of products and services?	YES	NO	
42	Do you consider what would happen if these supportive activities aren't performed?	YES	NO	
43	Do you assess the impact this could have?	YES	NO	
44	Do you set business continuity and recovery priorities, objectives, and targets?	YES	NO	
45	Do you identify the organizations that support your business activities and the resources that you depend on to provide products and services?	YES	NO	
46	Do you identify essential suppliers, outsourced partners, and other interested parties?	YES	NO	
47	Do you set continuity and recovery timeframes that specify when activities must be resumed?	YES	NO	

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**VERSION 2.0**

**PART 8**

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**PAGE 38**

## BUSINESS CONTINUITY AUDIT QUESTIONNAIRES

### 8. AUDIT YOUR BUSINESS CONTINUITY OPERATIONAL PROCESS

48		Do you consider how much time you have before business disruption becomes unacceptable?	YES	NO	
49		Do you prioritize continuity and recovery timeframes?	YES	NO	
50		Do you specify minimum acceptable activity levels?	YES	NO	
51		Do you maintain your priority setting process?	YES	NO	

#### 8.2.3 ASSESS YOUR RISKS AND IDENTIFY YOUR RISK TREATMENT OPTIONS

52		Did you establish a formal risk assessment process?	YES	NO	
53		Did you document your risk assessment process?	YES	NO	
54		Did you implement your risk assessment process?	YES	NO	
55		Do you identify your business interruption risks?	YES	NO	
56		Do you identify potential incidents that could possibly disrupt, damage, or destroy your organization's prioritized activities?	YES	NO	
57		Do you consider the <i>processes</i> that support these activities and do you imagine how they could be disrupted, damaged, or destroyed?	YES	NO	
58		Do you consider the <i>systems</i> that support these activities and do you imagine how they could be disrupted, damaged, or destroyed?	YES	NO	
59		Do you consider the <i>information</i> that supports these activities and do you imagine how it could be disrupted, damaged, or destroyed?	YES	NO	
60		Do you consider the <i>people</i> that support these activities and do you imagine how they could be disrupted, damaged, or destroyed?	YES	NO	

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**VERSION 2.0**

**PART 8**

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**PAGE 39**

## BUSINESS CONTINUITY AUDIT QUESTIONNAIRES

### 8. AUDIT YOUR BUSINESS CONTINUITY OPERATIONAL PROCESS

61		Do you consider the <i>assets</i> that support these activities and do you imagine how they could be disrupted, damaged, or destroyed?	YES	NO	
62		Do you consider the <i>outsourced partners</i> that support these activities and do you imagine how they could be disrupted, damaged, or destroyed?	YES	NO	
63		Do you consider the <i>other resources</i> that support these activities and do you imagine how they could be disrupted, damaged, or destroyed?	YES	NO	
64		Do you analyze your business interruption risks?	YES	NO	
65		Do you evaluate your business interruption risks?	YES	NO	
66		Do you identify the risks that require treatment?	YES	NO	
67		Do you communicate business interruption risks?	YES	NO	
68		Do you contact government agencies and report your business interruption risks whenever legally or administratively obligated to do so?	YES	NO	
69		Do you report your business interruption risks whenever financial obligations or legal contracts make this necessary?	YES	NO	
70		Do you share information about your business interruption risks with society in general whenever necessary or appropriate?	YES	NO	
71		Do you maintain your risk assessment process?	YES	NO	
72		Do you identify your risk treatment options?	YES	NO	
73		Do you identify risk treatments that are commensurate with your organization's business continuity objectives?	YES	NO	
74		Do you identify risk treatments that are consistent with your organization's overall risk appetite?	YES	NO	

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**VERSION 2.0**

**PART 8**

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**PAGE 40**

## BUSINESS CONTINUITY AUDIT QUESTIONNAIRES

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#### 8.3 DEVELOP A BUSINESS CONTINUITY STRATEGY TO HANDLE DISRUPTIONS

##### 8.3.1 USE IMPACT ANALYSIS AND RISK ASSESSMENT OUTPUTS TO DEVELOP A STRATEGY

75	Did you consider possible business continuity strategies?	YES	NO	
76	Did you base your business continuity strategy on the output of your business impact analysis (see 8.2.2)?	YES	NO	
77	Did you study possible business interruption impacts?	YES	NO	
78	Did you consider the organizations that support your business activities and the impact disruptions would have on these organizations?	YES	NO	
79	Did you evaluate and consider your suppliers' business continuity capabilities?	YES	NO	
80	Did you consider the resources that you depend on to provide products and services and the impact disruptions would have on these resources?	YES	NO	
81	Did you consider your business continuity and recovery priorities, objectives, and targets?	YES	NO	
82	Did you approve business continuity and recovery timeframes that specify when prioritized activities must be resumed?	YES	NO	
83	Did you base your business continuity strategy on the output of your risk assessment process (see 8.2.3)?	YES	NO	
84	Did you study potential business interruption risks?	YES	NO	
85	Did you consider potential incidents that could disrupt, damage, or destroy prioritized activities?	YES	NO	
86	Did you consider incidents that could disrupt, damage, or destroy the <i>processes</i> that your activities depend upon?	YES	NO	

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**ISO 22301 BUSINESS CONTINUITY AUDIT TOOL**

**VERSION 2.0**

**PART 8**

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**PAGE 41**

## BUSINESS CONTINUITY AUDIT QUESTIONNAIRES

### 8. AUDIT YOUR BUSINESS CONTINUITY OPERATIONAL PROCESS

87		Did you consider incidents that could disrupt, damage, or destroy the <i>systems</i> that your activities depend upon?	YES	NO	
88		Did you consider incidents that could disrupt, damage, or destroy the <i>information</i> that your activities depend upon?	YES	NO	
89		Did you consider incidents that could disrupt, damage, or destroy the <i>people</i> that your activities depend upon?	YES	NO	
90		Did you consider incidents that could disrupt, damage, or destroy the <i>assets</i> that your activities depend upon?	YES	NO	
91		Did you consider incidents that could disrupt, damage, or destroy the <i>outsourced partners</i> that your activities depend upon?	YES	NO	
92		Did you consider incidents that could disrupt, damage, or destroy the <i>other resources</i> that your activities depend upon?	YES	NO	
93	Did you develop a business continuity strategy?		YES	NO	
94	Does your strategy explain how you plan to handle your organization's prioritized activities and the impact disruptions could have on these activities?		YES	NO	
95	Does your strategy explain what you plan to do when a business disruption occurs?		YES	NO	
96	Does your strategy explain how you plan to <i>protect</i> activities during a disruption?		YES	NO	
97	Does your strategy describe how you plan to <i>stabilize</i> activities during a disruption?		YES	NO	
98	Does your strategy clarify how you plan to <i>continue</i> activities during a disruption?		YES	NO	

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**VERSION 2.0**

**PART 8**

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**PAGE 42**

## BUSINESS CONTINUITY AUDIT QUESTIONNAIRES

### 8. AUDIT YOUR BUSINESS CONTINUITY OPERATIONAL PROCESS

99	Does your strategy clarify how you plan to recover and resume your activities after a business disruption has occurred?	YES	NO	
100	Does your strategy explain how you plan to manage the impact that disruptions could have on the people and partners that your prioritized activities depend on?	YES	NO	
101	Does your strategy explain how you plan to manage the impact that disruptions could have on the organizations and resources that support your prioritized activities?	YES	NO	
102	Does your strategy explain how you plan to mitigate the impact disruptions could have?	YES	NO	
103	Does your strategy explain how you plan to respond to the impact disruptions could have?	YES	NO	

#### 8.3.2 IDENTIFY THE RESOURCES THAT YOU WILL NEED IN ORDER TO IMPLEMENT YOUR STRATEGY

104	Did you identify the resources that your organization needs in order to implement its business continuity strategy?	YES	NO	
105	Did you identify your personnel requirements?	YES	NO	
106	Did you identify your information requirements?	YES	NO	
107	Did you identify your technology requirements?	YES	NO	
108	Did you identify information system requirements?	YES	NO	
109	Did you identify communication system requirements?	YES	NO	
110	Did you identify your infrastructure requirements?	YES	NO	
111	Did you identify the facilities that are needed?	YES	NO	
112	Did you identify the buildings that are needed?	YES	NO	
113	Did you identify the utilities that are needed?	YES	NO	

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**ISO 22301 BUSINESS CONTINUITY AUDIT TOOL**

**VERSION 2.0**

**PART 8**

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**PAGE 43**



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### 8. AUDIT YOUR BUSINESS CONTINUITY OPERATIONAL PROCESS

114		Did you identify the equipment that is needed?	YES	NO	
115		Did you identify the consumables that are needed?	YES	NO	
116		Did you identify the work environment that is needed?	YES	NO	
117		Did you identify your transportation requirements?	YES	NO	
118		Did you identify your financial requirements?	YES	NO	
119		Did you identify your supplier requirements?	YES	NO	
120		Did you identify your partner requirements?	YES	NO	

#### 8.3.3 SELECT AND IMPLEMENT RISK TREATMENT MEASURES TO MANAGE YOUR RISKS

121		Do you consider treatments to manage your risks?	YES	NO	
122		Do you consider risk treatments that reduce the likelihood of disruption?	YES	NO	
123		Do you consider risk treatments that shorten the period of disruption?	YES	NO	
124		Do you consider risk treatments that limit the impact of disruption?	YES	NO	
125		Do you consider risk treatments that limit the impact on your organization's key products?	YES	NO	
126		Do you consider risk treatments that limit the impact on your organization's key services?	YES	NO	
127		Did you select treatments to manage your risks?	YES	NO	
128		Did you select risk treatments that are commensurate with your organization's business continuity objectives?	YES	NO	
129		Did you select risk treatments that are in accordance with your organization's overall risk appetite?	YES	NO	
130		Did you implement your risk treatment measures?	YES	NO	

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**ISO 22301 BUSINESS CONTINUITY AUDIT TOOL**

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**PART 8**

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**PAGE 44**