Part 3 – Check
Resource E
Internal Audit Checklist

Version 2.0, 17 April 2023

The checklist below is a suggested internal checklist. Therefore, please amend if the checklist requires additional points to suit your organisation.

No	Procedures	RAG Status	Note
Policy & Programme Management			
1	Is a Business Continuity Policy available documenting the purpose, context, scope and governance		
2	Is the policy supported, approved, and owned by top management with effective governance & leadership?		
3	Is the scope of Business Continuity Management defined?		
Analysis, Design & Implementation			
1	Is there a consistent approach to performing the BIA throughout the organisation and annual reviews in place?		
2	Determine whether an adequate Business Impact Analysis (BIA) and risk assessment have been completed.		
3	Determine whether appropriate business continuity risks are documented in Divisional / Departmental risk registers and/or the Trusts risk register.		
4	Has the Business Continuity Plan (BCP) been updated in line with the organisation's procedures and timescales		
5	Determine if the scope and objectives are documented in the BCP		
6	Determine whether the Maximum Tolerable Period of Disruption (MTPD) and Recovery Time Objectives (RTO) are documented		
7	Determine whether the Business Continuity Plan (BCP) identifies appropriate backup and/or alternative contingencies for recovery.		
8	Determine whether the Business Continuity Plan (BCP) identifies critical functions.		
9	Determine whether the Business Continuity Plan (BCP) identifies critical outsourced or stakeholder activities.		
10	Determine whether the Recovery Point Objective (RPO) is documented		
11	Ensure service requirements are dovetailed into all Recovery Plans including IT Disaster Recovery Plans.		
12	Determine if the providers of contracted service/suppliers are being assured in accordance with the process established within the BCMS.		
13	Take into consideration Equality and Health Inequalities factoring in the Public Sector Equality Duty (PSED) when developing Business Continuity Plans.		
Validation			
1	Determine whether the BCP include appropriate testing to ensure the business process will be maintained, resumed, and/or recovered as intended.		

2	Has the Business Continuity Plan, Business Impact Analysis & associated documents undergone a review in line with the organisation's procedures and timescales as defined within Business Continuity Policy in order to ensure relevance, up to date and accuracy to allow response and recovery?		
3	Evidence that the Business Continuity lifecycle (BIAs, BCPs & exercising) have been reviewed through internal audit		
4	Determine whether corrective and preventative findings have been documented and communicated.		
Embedding			
1	Evidence of embedding BCM in the culture, competency, and training records.		
2	Determine whether the Business Continuity Plan (BCP) identifies appropriate training requirements		