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| Part 3 – Check Resource E Internal Audit Checklist |
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| Version 2.0, 17 April 2023 |

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

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| **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   |  |  |