

## Auditing a Business Continuity Management Program: ISO 22301

**Track: Continuity Audit**

**Course Title: Auditing a Business Continuity Management Program: ISO 22301**

**Course ID: BCLE AUD (ISO 22301)**

**Relevant Certifications (requires additional step): CBCA, CBCLA**

**Duration:** 4 Days (4 full days of instruction 8:30 a.m. – 5:00 p.m.; Examination online at your leisure)

**Examination:** Audit Examination - ISO 22301 (2.5 hours)

32 Continuing Education Activity Points (CEAPs) may be awarded towards recertification if applicable.

The cost of this course includes both the course and the exam.

**Cost: \$2,950.00**

### Description

**This course provides education, hands-on experience using a case study, and a guide to perform audits of business continuity management systems and programs using ISO 22301, 2019 edition.**

Auditing business continuity management systems using a recognized international standard is the best method to identify opportunities to enhance and improve performance. Auditing supplier business continuity management systems is a requirement for some industries and for organizations that have certified, or are seeking certification of, their business continuity management systems and programs. Auditing is also a must for organizations seeking to identify the resiliency of critical suppliers, those with low tolerance for risk, and those seeking to enhance organizational resilience.

DRI's ISO 22301 audit course is designed for business continuity professionals, risk managers, internal auditors, and consultants. The course provides the foundation for auditing — the collection of evidence using interviews, reviewing documents, and surveying properties, as well as the use of ISO 22301 as criteria to evaluate each aspect of a business continuity management system (BCMS).


The course begins with the basics of auditing using ISO standards and the Institute of Internal Auditor's International (IIA) Professional Practices Framework. Students will learn how to develop an audit work plan beginning with assembling a team, research applicable requirements, request documents for review, and schedule site surveys and interviews.

An overview of ISO 22301 is followed by 10 lessons providing clause-by-clause explanations of the standard's BCMS requirements, auditing techniques, and evidence of conformity. Each lesson includes interactive class activities and hands-on auditing of a hypothetical company using ISO 22301 as criteria. Students compile audit findings during each of these lessons.

The course wraps up with a hands-on lesson on report writing, including an extended class activity with students organizing findings from all lessons, prioritizing their recommendations, developing an auditor's opinion on conformity of the case study BCMS to ISO 22301, and presenting their opinion and recommendations to the instructor.



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Course materials include a comprehensive audit guide for student use when preparing for and conducting an audit. The audit guide identifies documents to review, people to interview, questions to ask, regulations, best practices, and more in-depth guidance. A practice exam that is the subject of the final class lesson is also provided to prepare students for the qualifying exam.

Topic areas:

- Business continuity management system (BCMS) as defined by ISO 22301, 2019
- Context of the organization, leadership, risk assessment, business impact analysis, business continuity plans, competence, exercise program, performance evaluation, and improvement
- Auditing fundamentals, including planning an audit, gathering evidence, determining findings, developing an auditor's opinion of conformity, and compiling an audit report

### **Objectives**

1. Understand the requirements for a business continuity management system (BCMS) as defined by ISO 22301.
2. Understand fundamental auditing requirements from ISO and IIA.
3. Define the role of an auditor to develop an audit plan.
4. Identify the tasks to conduct an audit including reviewing documents, interviewing, and surveying facilities.
5. Define reporting requirements including identifying findings, developing an auditor's opinion on conformity to the audit standard, and preparing recommendation for continual improvement.
6. Take the DRI Audit Examination - ISO 22301

### **Outline**

- Introduction
- Auditing basics
- Introduction to ISO22301
- Context of the organization
- Leadership, planning, support, and operation
- Risk assessment
- Business impact analysis (BIA)
- Continuity strategies and solutions
- Business continuity plans
- Education and training
- Exercise program
- Audit findings, recommendations, and auditor's opinion
- Exam preparation
- DRI Audit Examination - ISO 22301



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### For in-person courses:

This course will be held in-person and the exam will be online, at leisure. A computer is required for this course in order for you to take the exam. The system requirements will be sent to you via email together with information about how to access the course materials prior to the start of the course.

### For courses held online:

All online courses are held via Zoom and a computer is required for this course. The system requirements will be sent to you via email together with information about how to access the course materials prior to the start of the course. You will also be provided with instructions for how to take the exam online, at leisure following the course.

### For international courses:

This course is being hosted by a DRI International partner. To register, you will be asked to provide your contact information and we will put you in touch with the local team for details.

### For courses held pre-conference:

This course is being held in-person prior to the DRI Annual Conference at or near the conference venue. You can then attend the conference immediately following your course with an additional registration (separate fee applies).

### Career Track:



#### Continuity Audit

Get audit-ready with our case study based course.

Auditing a Business Continuity Program: ISO 22301 (BCLE AUD ISO)  
Auditing a Business Continuity Program: NFPA 1600 (BCLE AUD NFPA)

CBCA  
CBCLA

## Frequently Asked Questions: Differences between BCLE AUD ISO 22301 and BCLE AUD NFPA 1600 audit courses

DRI's audit courses describe and explain the requirements in the identified international standard. Core competencies – including risk assessment, business impact analysis, continuity strategies, and crisis communications – are addressed in similar ways within both courses. Content specific to NFPA 1600 (such as emergency management, employee assistance and support, and crisis management) is not included, or the content is limited, within the ISO 22301 course. Likewise, content exclusive to ISO 22301 (such as management system and context of the organization) is not covered in the NFPA 1600 course.



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Differences in the two standards are outlined here:

Subject Area	Differences
Standards Development Histories	<ul style="list-style-type: none"> <li>• NFPA 1600 is an ANSI-accredited national standard. Its first edition was published in 1995. The 2019 edition is the 8<sup>th</sup> edition. It was endorsed as the U.S. National Preparedness Standard in PL 110-53 in 2007. NFPA 1600 also was the basis for the Emergency Management Accreditation Program’s EMAP Standard.</li> <li>• ISO 22301, 2019 edition is the second edition (2012 edition has been rescinded). BS 25999 was the basis for the original, 2012 edition of ISO 22301.</li> </ul>
Global Usage and Adoptions	<ul style="list-style-type: none"> <li>• Both standards are used extensively around the world.</li> <li>• NFPA 1600 is predominant in the Western Hemisphere (U.S, Canada, Mexico) and was used as the basis of standards in Canada (Z1600) and several countries in South America. Parts of NFPA 1600 also have been incorporated into or used as the basis for emergency planning regulations in the U.S. NFPA 1600 also is used extensively in the Middle East and East Asia.</li> <li>• ISO 22301 is predominant in Europe.</li> </ul>
Program Standard vs. Management System	<ul style="list-style-type: none"> <li>• NFPA 1600 is written following a program management, planning, implementation, execution, training/education, exercises/tests, and maintenance/improvement process.</li> <li>• ISO 22301 is one of many ISO management systems standards. The underlying requirements for the management system are more extensive than program management requirements in NFPA 1600. ISO 22301 aligns with the plan, do, check, act cycle.</li> </ul>
Areas of Emphasis	<ul style="list-style-type: none"> <li>• NFPA 1600 addresses performance objectives based on laws and authorities as well as the results of risk assessment and business impact analysis.</li> <li>• ISO 22301’s strong emphasis is on the management system with understanding the context of the organization and the needs and expectations of interested parties determining the business continuity management system (BCMS) scope. It emphasizes requirements for top management involvement in the BCMS.</li> </ul>



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Subject Area	Differences
<p>Content EXCLUSIVE to or more prescriptive in <b>NFPA 1600</b></p>	<ul style="list-style-type: none"> <li>• Requirements for program coordinator and program committee</li> <li>• Finance and administration requirements</li> <li>• Risk assessment (<i>much more prescriptive</i>)</li> <li>• Resource needs assessment</li> <li>• Loss prevention strategies</li> <li>• Hazard mitigation strategies</li> <li>• Emergency operations/response</li> <li>• Crisis communications and public information (<i>much more prescriptive than requirements for communications with interested parties</i>)</li> <li>• Crisis management (<i>strategic not tactical</i>)</li> <li>• Incident management system</li> <li>• Employee assistance and support</li> <li>• Execution (<i>incident response and management</i>)</li> <li>• Training and education (<i>curriculum and incident management</i>)</li> </ul>
<p>Content EXCLUSIVE to or more prescriptive in <b>ISO 22301</b></p>	<ul style="list-style-type: none"> <li>• ISO 22301 is one of many ISO management systems standards, and its underlying requirements for the management system are more extensive than program management requirements in NFPA 1600.</li> <li>• Context of the organization: Understanding the organization as well as needs and expectations of interested parties determining the scope of the business continuity management system</li> <li>• Management system: determination and continued evaluation of risks and opportunities to the BCMS, as well as top management involvement, other requirements</li> <li>• Training and education (<i>emphasis on competence for those involved in the BCMS and awareness for all</i>)</li> <li>• Performance evaluation requirement for internal audit</li> </ul>



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