

# A necessary and sufficient BCM/resilience “evidence set”

## “Minimum Viable” set to request client to consider

**BCM evidence set:** policy & framework, risk register with BCM risks and latest assessment, approved BIAs, strategies and BCPs per critical area, crisis/incident plan with contacts, recent exercise and incident review reports, latest BCM audit and management review.

- BCM policy and framework document.
- Current enterprise risk register with BCM-relevant risks highlighted and the latest BCM risk assessment.
- Completed and approved BIAs for all critical business units or services.
- Approved continuity strategies and at least one current BCP per critical area.
- Crisis/incident management plan with contact lists.
- Last 2–3 exercise reports and action logs.
- Last post-incident review (if any major event in last 2–3 years).
- Latest BCM-related audit report and management review minutes.
- Evidence of document control (register or repository view) and training/awareness records.

A minimal but robust suite you can test for in any client can be grouped into governance, analysis, solution design, implementation, and assurance.

## 1. Governance and Policy

- Business continuity / resilience **policy** (scope, objectives, principles, authority, review cycle).<sup>[1]</sup>  
<sup>[2]</sup>
- BCM program charter or framework, showing integration with ERM and other ISO-style management systems.<sup>[2]</sup><sup>[3]</sup><sup>[1]</sup>
- Defined roles and responsibilities (e.g. BCM sponsor, coordinator, plan owners, incident manager, crisis team).<sup>[3]</sup><sup>[4]</sup><sup>[5]</sup>
- Governance bodies and oversight records: steering committee / risk committee ToR and minutes where BCM is discussed.<sup>[5]</sup><sup>[6]</sup>
- Regulatory or contractual requirement register for continuity/resilience (where applicable, e.g. APRA CPS 232, ASX rules).<sup>[4]</sup><sup>[2]</sup>

## 2. Risk and Impact Foundations

- Enterprise or BCM-specific **risk assessment** identifying disruption scenarios, likelihood/impact, current controls and gaps. [7][8][3]
- Documented **business impact analysis** at appropriate levels (process/service/function) with: critical activities, MTPD/MAO, RTOs/RPOs, resource dependencies, peak periods, and upstream/downstream impacts. [9][10][3]
- Clear linkage: risk assessment and BIA feeding into continuity strategies and priorities (traceable in documentation sets). [8][2][3]

## 3. Strategies, Plans and Supporting Data

- Documented **continuity strategies** (e.g. alternate site, remote work, manual workarounds, stockpiles, supplier redundancy) with rationale from BIA and risk assessment. [10][2][3][8]
- One or more **business continuity plans** that consolidate:
  - Incident detection and declaration criteria.
  - Activation and escalation procedures.
  - Structure and roles of crisis/BC teams.
  - Communication strategy (internal, external, regulators, media, key stakeholders). [3][5][7][9]
- Supporting playbooks/procedures where critical (IT disaster recovery, facilities, cyber, critical supply-chain, people surge/relocation). [4][5][10]
- Up-to-date **contact lists** (staff, executives, crisis team, key suppliers, critical customers, emergency services, regulators) with access arrangements on and off site. [11][12][13][9]
- Essential reference
  - Register of critical processes, applications, sites, assets and their RTO/RPO. [2][3][4]
  - Records of key contracts, licences, insurances, and property documents, plus how they are accessed during disruption. [12][13][11]

## 4. Implementation, Training and Communication

- Implementation plan or roadmap for BCM capabilities, mapped to actions, owners and dates. [8][10][3]
- Training and awareness material, attendance records, and role-specific briefing for incident/crisis team members. [5][3]

document/ceof\_staff\_communication\_about\_continuity arrangements (intranet pages, newsletters, briefings, onboarding content). [6][5]

## 5. Exercising, Review and Continuous Improvement

- Exercise/test strategy and schedule (covering a mix of tabletop, simulations, technical recovery tests). [14][7][10][8]
- Exercise plans/scripts and post-exercise reports including outcomes, issues, and agreed improvements. [7][14][8]
- Post-incident reviews / after-action reports following real disruptions, with lessons learned and tracked actions. [6][3][8]
- Documented corrective actions and improvements log linking to exercises, incidents, audits and management reviews. [14][7][8]
- Internal or external **BCM audits** or reviews, including scope, findings, and follow-up verification. [2][6][7][14]
- Periodic management review of the BCM/resilience program (agenda, pack and minutes), showing assessment of performance, changes in context, and resource decisions. [1][3][6][2]

## 6. Document Management and Accessibility

- Documented classification of BCM documents (policies, BIAs, plans, playbooks, records) and ownership. [3][6][14]
- Version control and review history for key documents (policy, framework, BIAs, plans, strategies). [6][14]
- Evidence of secure, resilient storage and access arrangements for continuity documents (e.g. ERM/BCM tool, shared drive with offline/alternate access). [11][12][1][14][6]

### Sources

[1] Business Continuity Management and Resilience Guidelines <https://policies.uow.edu.au/document/view-current.php?id=218&version=1>

[2] Prudential Standard CPS 232 Business Continuity Management [https://www.apra.gov.au/sites/default/files/Prudential-Standard-CPS-232-Business-Continuity-Management-\(July-2017\).pdf](https://www.apra.gov.au/sites/default/files/Prudential-Standard-CPS-232-Business-Continuity-Management-(July-2017).pdf)

[3] Guide to business continuity & resilience [https://www.protiviti.com/sites/default/files/2022-11/guide-to-business-continuity-and-resilience-fifth-edition-protiviti\\_GLOBAL.pdf](https://www.protiviti.com/sites/default/files/2022-11/guide-to-business-continuity-and-resilience-fifth-edition-protiviti_GLOBAL.pdf)

[4] Guidance Note 10 - Business Continuity and Disaster Recovery <https://www.asx.com.au/>

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[5] SECTION 3: APPENDICES CHECKLISTS AND CONTROL ... [https://pqc.icaai.org/assets/ISACourse2.0DVD/7.0\\_Business\\_Continuity\\_Management/Section\\_3\\_Appendices/Section\\_3\\_Checklist\\_For\\_BCP\\_Audit.pdf](https://pqc.icaai.org/assets/ISACourse2.0DVD/7.0_Business_Continuity_Management/Section_3_Appendices/Section_3_Checklist_For_BCP_Audit.pdf)

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[10] Business Continuity Plan Based on Risk Assessment <https://riskledger.com/support/framework/h/10>

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