INTERNATIONAL
STANDARD
国际标准

ISO
22301

Second edition 第二版
2019-10

Security and resilience — Business continuity management systems — Requirements
安全与恢复力 — 业务连续性管理体系 — 要求

Reference number
ISO 22301:2019(E)

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FOREWORD 前言

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

ISO（国际标准化组织）和 IEC（国际电工委员会）是为国际标准化制定专门体制的国际组织。国际标准的制定工作通常通过 ISO 技术委员会进行。对已设立技术委员会的某一主题感兴趣的每个成员机构都有权派

代表参加该委员会。与 ISO 保持联系的国际组织、政府和非政府机构也参加了这项工作。ISO 与国际电工委员会(IEC)就电工标准化的所有事项进行密切合作。

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

ISO/IEC 导则第 1 部分中描述了用于开发本标准及后续进一步维护本标准的规程。特别需要指出的是，不同类型的 ISO 文件需要不同的批准准则。本标准是根据 ISO/IEC 指令第 2 部分的编辑规则起草的(见 www.iso.org/)。

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

本标准中的某些内容有可能涉及一些专利权问题，这一点应该引起注意。ISO 不负责识别任何这样的专利权问题。在标准制定过程中确定的任何专利权的细节将被列在引言中和/或在收到的 ISO 专利声明中（见 www.iso.org/patents）。

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

本标准中使用的任何商品名称都是为了方便用户而提供的信息，并不构成认可。

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO’s adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html.

有关标准自愿性的解释，ISO 与合格评定有关的具体术语和表达的含义，以及 ISO 遵守世界贸易组织(WTO)技术贸易壁垒(TBT)原则的信息，请参见 www.iso.org/iso/foreword.html。

This document was prepared by Technical Committee ISO/TC 292, *Security and resilience*.

本标准由 ISO/TC 292, 安全与恢复力技术委员会编写。

This second edition cancels and replaces the first edition (ISO 22301:2012), which has been technically revised. The main changes compared with the previous edition are as follows:

— ISO’s requirements for management system standards, which have evolved since 2012, have been applied;

— requirements have been clarified, with no new requirements added;

— discipline-specific business continuity requirements are now almost entirely within Clause 8;

— Clause 8 has been re-structured to provide a clearer understanding of the key requirements;

— a number of discipline-specific business continuity terms have been modified to improve clarity and to reflect current thinking.

第二版在技术上进行了修订并取代了第一版(ISO 22301:2012)。与前一版相比主要变化如下:

— 自 2012 年起，ISO 对管理体系标准的要求得到了应用；

— 要求已明确，未增加新的要求；

— 专业特定的业务连续性要求现在几乎完全在第 8 条中；

— 对第 8 条进行了重新构建，以便更清楚地理解关键要求；

— 修改了一些业务连续性专业术语，以提高清晰度并反映当前的想法。

Any feedback or questions on this document should be directed to the user’s national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

有关本标准的任何反馈或问题，请直接与本国家的标准组织联系。有关这些机构的完整列表，请访问 www.iso.org/members.html.

Introduction 引言

0.1 General 总则

This document specifies the structure and requirements for implementing and maintaining a business continuity management system (BCMS) that develops business continuity appropriate to the amount and type of impact that the organization may or may not accept following a disruption.

本文档详细说明了实现和维护业务连续性管理体系(BCMS)的结构和要求，BCMS 根据组织在中断后可能接受或不接受的影响的大小和类型来开发业务连续性。

The outcomes of maintaining a BCMS are shaped by the organization’s legal, regulatory, organizational and industry requirements, products and services provided, processes employed, size and structure of the organization, and the requirements of its interested parties.

维护 BCMS 的结果取决于组织的法律、法规、组织和行业需求、提供的产品和服务、使用的流程、组织的规模和结构以及相关方的需求。

A BCMS emphasizes the importance of:

— understanding the organization’s needs and the necessity for establishing business continuity policies and objectives;

— operating and maintaining processes, capabilities and response structures for ensuring the organization will survive disruptions;

— monitoring and reviewing the performance and effectiveness of the BCMS;

— continual improvement based on qualitative and quantitative measures.

BCMS 强调以下方面的重要性：

— 理解组织的需求和建立业务连续性方针和目标的必要性；

— 运行和维护过程、能力和响应结构，以确保组织能够经受住中断；

— 监视和评审 BCMS 的绩效和有效性；

— 在定性和定量措施的基础上持续改进。

A BCMS, like any other management system, includes the following components:

a) a policy;

b) competent people with defined responsibilities;

c) management processes relating to:

    1) policy;

    2)planning;

    3)implementation and operation;

    4)performance assessment;

    5)management review;

    6)continual improvement;

d) documented information supporting operational control and enabling performance evaluation.

与其他管理体系一样，BCMS 包括以下关键部分：

a) 方针；

b) 有明确职责的胜任人员；

c) 相关的管理过程：

    1) 方针；

    2) 策划；

    3) 实施和操作；
    4) 绩效评估；
    5) 管理评审；
    6) 持续改进；

d) 支持实施控制和实现绩效评估的文件化信息。

0.2 Benefits of a business continuity management system 业务连续性管理体系收益

The purpose of a BCMS is to prepare for, provide and maintain controls and capabilities for managing an organization’s overall ability to continue to operate during disruptions. In achieving this, the organization is:

业务连续性管理体系的目的是准备、提供和维护控制，以管理组织在中断期间持续运作的总体能力。为此，组织可获得以下收益：

a) from a business perspective:
    1) supporting its strategic objectives;
    2) creating a competitive advantage;
    3) protecting and enhancing its reputation and credibility;
    4) contributing to organizational resilience;

a) 从商业角度：
    1) 支持其战略目标；
    2) 创造竞争优势；
    3) 保护和提高企业的声誉和信誉；
    4) 推动组织的恢复能力；

b) from a financial perspective:
    1) reducing legal and financial exposure;
    2) reducing direct and indirect costs of disruptions;

b) 从财务角度：
    1) 减少法律和金融风险；

2) 减少生产中断的直接和间接成本；

c) from the perspective of interested parties:

1) protecting life, property and the environment;

2) considering the expectations of interested parties;

3) providing confidence in the organization’s ability to succeed;

c) 从利益相关方角度：

1) 保护生命、财产和环境；

2) 考虑相关方的期望；

3) 为组织获得成功的能力提供信心；

d) from an internal processes perspective:

1) improving its capability to remain effective during disruptions;

2) demonstrating proactive control of risks effectively and efficiently;

3) addressing operational vulnerabilities.

d) 从内部流程角度：

1) 提高在中断期间保持有效的能力；

2) 积极有效地控制风险；

3) 解决运营的脆弱性。

0.3 Plan-Do-Check-Act (PDCA) cycle PDCA循环

This document applies the Plan (establish), Do (implement and operate), Check (monitor and review) and Act (maintain and improve) (PDCA) cycle to implement, maintain and continually improve the effectiveness of an organization’s BCMS.

本标准采用策划（建立）、执行（实施和运行）、检查（监控和评审）和处理（维护和改进）（PDCA）循环来实施、维护和持续改进组织的业务连续性管理体系的有效性。

This ensures a degree of consistency with other management systems standards, such as ISO 9001, ISO 14001, ISO/IEC 20000-1, ISO/IEC 27001 and ISO 28000, thereby supporting consistent and integrated implementation and operation with related management systems.

这可确保与其他管理体系标准（如 ISO 9001、ISO 14001、ISO/IEC 20000-1、ISO/IEC 27001 和 ISO 28000）保持一定程度的一致性，从而支持与相关管理体系的一致性以及实施与运行的整合。

In accordance with the PDCA cycle, Clauses 4 to 10 cover the following components.

— Clause 4 introduces the requirements necessary to establish the context of the BCMS applicable to the organization, as well as needs, requirements and scope.

— Clause 5 summarizes the requirements specific to top management's role in the BCMS, and how leadership articulates its expectations to the organization via a policy statement.

— Clause 6 describes the requirements for establishing strategic objectives and guiding principles for the BCMS as a whole.

— Clause 7 supports BCMS operations related to establishing competence and communication on a recurring/as-needed basis with interested parties, while documenting, controlling, maintaining and retaining required documented information.

— Clause 8 defines business continuity needs, determines how to address them and develops procedures to manage the organization during a disruption.

— Clause 9 summarizes the requirements necessary to measure business continuity performance, BCMS conformity with this document, and to conduct management review.

— Clause 10 identifies and acts on BCMS nonconformity and continual improvement through corrective action.

根据 PDCA 循环，第 4 至 10 条款涵盖了以下部分。

— 第 4 条款介绍了建立适用于组织的 BCMS 所必须的环境、要求、需求和范围。

— 第 5 条款总结了对 BCMS 中最高管理者角色的要求，以及领导层如何通过方针声明向组织阐明它的期望。

— 第 6 条款描述了制定整个 BCMS 的战略目标和指导原则的相关要求。

— 第 7 条款为 BCMS 的运行提供支持，涉及能力的建立、在循环/必要的基础 上与相关方的沟通，以及对记录、管理、保持和保留所需文件的要求。

— 第 8 条款定义了业务连续性的要求，确定了怎样达到要求以及如何通过制定规程来管理中断事件。

— 第 9 条款汇总了测量业务连续性管理绩效、BCMS 与本标准和管理层期望的符合性。

— 第 10 条款识别并通过采取纠正措施处置 BCMS 的不符合。

0.5 Contents of this document 本标准的内容

This document conforms to ISO's requirements for management system standards. These requirements include a high level structure, identical core text and common terms with core definitions, designed to benefit users implementing multiple ISO management system standards.

本标准符合 ISO 对管理体系标准的要求。这些要求包括高阶结构、相同的核心正文和具有核心定义的通用术语，旨在帮助用户实现多个 ISO 管理体系标准。

This document does not include requirements specific to other management systems, though its elements can be aligned or integrated with those of other management systems.

本标准不包括特定于其他管理体系的要求，尽管其要素可以与其他管理体系的要素保持一致或整合。

This document contains requirements that can be used by an organization to implement a BCMS and to assess conformity. An organization that wishes to demonstrate conformity to this document can do so by:

— making a self-determination and self-declaration; or

— seeking confirmation of its conformity by parties having an interest in the organization, such as customers; or

— seeking confirmation of its self-declaration by a party external to the organization; or

— seeking certification/registration of its BCMS by an external organization.

本标准包含了组织实施 BCMS 和评估符合性的要求。希望证明符合本标准要求的组织可通过以下方式：

— 做出自我决定和自我声明；或者

— 寻求与组织有利益关系的各方（如客户）确认其符合性；或者

— 寻求组织外部一方对其自我声明的确认；或者

— 寻求外部组织对其业务连续性管理体系的认证/注册。

Clauses 1 to 3 in this document set out the scope, normative references and terms and definitions that apply to the use of this document. Clauses 4 to 10 contain the requirements to be used to assess conformity to this document.

本标准第 1 至第 3 条款规定了适用于本标准使用的范围、规范性引用文件以及术语和定义。第 4 至第 10 条款包含了用于评估是否符合本标准的要求。

Information marked as “NOTE” is for guidance in understanding or clarifying the associated requirement. “Notes to entry” used in Clause 3 provide additional information that supplements the terminological data and can contain provisions relating to the use of a term.

标记为“注释”的信息用于指导理解或澄清相关要求。第 3 条款中使用的“条目注释”提供了补充术语的附加信息，并可包含与术语使用有关的规定。

INTERNATIONAL STANDARD **ISO 22301:2019(E)**

Security and resilience — Business continuity management systems — Requirements

安全与恢复力 — 业务连续性管理体系 — 要求

1 Scope 范围

This document specifies requirements to implement, maintain and improve a management system to protect against, reduce the likelihood of the occurrence of, prepare for, respond to and recover from disruptions when they arise.	本标准规定了实施、维护和改进管理体系的要求，用以在中断事件发生时实施保护、进行准备、做出响应并从中恢复。
The requirements specified in this document are generic and intended to be applicable to all organizations, or parts thereof, regardless of type, size and nature of the organization. The extent of application of these requirements depends on the organization’s operating environment and complexity.	本标准规定的所有要求是通用的，适用于各种类型、规模和特性的组织或组织的一部分。这些要求的适用范围取决于组织的运行环境和复杂性。
This document is applicable to all types and sizes of organizations that:	本标准适用于以下所有类型和规模的组织：
a) implement, maintain and improve a BCMS;	a) 建立、实施、保持和改进 BCMS;
b) seek to ensure conformity with stated business continuity policy;	b) 确保符合声明的业务连续性方针；
c) need to be able to continue to deliver products and services at an acceptable predefined capacity during a disruption;	c) 需要能够在中断期间以可接受的预先确定的能力持续交付产品和服务；
d) seek to enhance their resilience through the effective application of the BCMS.	d) 通过有效应用 BCMS 来提高其恢复力。
This document can be used to assess an organization’s ability to meet its own business continuity needs and obligations.	本标准可用于评估一个组织满足自身连续性需求和要求的能力。

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2 Normative references 规范性引用文件

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies. ISO 22300, *Security and resilience — Vocabulary*	下列文件的全部或部分内容在本标准中进行了规范引用，对于其应用是必不可少的。凡是注日期的引用文件，只有引用的版本适用于本标准；凡是不注日期的引用文件，其最新版本（包括任何修改）适用于本标准。 ISO 22300，安全和恢复力一词汇

3 Terms and definitions 术语和定义

For the purposes of this document, the terms and definitions given in ISO 22300 and the following apply.	本标准中，ISO 22300 和以下给出的术语和定义适用。
ISO and IEC maintain terminological databases for use in standardization at the following addresses:	国际标准化组织和国际电工委员会在下列地址维护用于标准化的术语数据库：
— ISO Online browsing platform: available at https://www.iso.org/obp — IEC Electropedia: available at http://www.electropedia.org/	— ISO 在线平台：https://www.iso.org/obp — IEC 电工百科：http://www.electropedia.org/
NOTE The terms and definitions given below supersede those given in ISO 22300:2018.	注：下文给出的术语和定义将取代 ISO 22300:2018 中给出的术语和定义。
3.1 activity set of one or more tasks with a defined output [SOURCE: ISO 22300:2018, 3.1, modified — The definition has been replaced and the example has been deleted.]	**3.1 活动** 一组有明确输出的一个或多个任务。 [来源：ISO 22300:2018，3.1，修改一定义已被替换，注释已被删除。]

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3.2 audit systematic, independent and documented *process* (3.26) for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled Note 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines). Note 2 to entry: An internal audit is conducted by the *organization* (3.21) itself, or by an external party on its behalf. Note 3 to entry: “Audit evidence” and “audit criteria” are defined in ISO 19011. Note 4 to entry: The fundamental elements of an audit include the determination of the *conformity* (3.7) of an object according to a procedure carried out by personnel not being responsible for the object audited. Note 5 to entry: An internal audit can be for management review and other internal purposes and can form the basis for an organization’s declaration of conformity. Independence can be demonstrated by the freedom from responsibility for the *activity* (3.1) being audited. External audits include second- and third-party audits. Second-party audits are conducted by parties having an interest in the organization, such as customers, or by other persons on their behalf. Third-party audits are conducted by external, independent auditing organizations, such as those providing certification/registration of conformity or government agencies. Note 6 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards. The original definition has been modified by adding Notes 4 and 5 to entry.	**3.2 审核** 为获得审核证据并对其进行客观的评价，以确定满足审核准则的程度所进行的系统的、独立的并形成文件的过程。 注 1：审核可以是内部审核（第一方审核）或是外部审核（第二或第三方审核），也可以是组合审核（结合两个或两个以上管理体系）。 注 2：内部审核由组织（3.21）本身或外部方代表其进行。 注 3： ISO 19011 中定义了 “审核证据” 和 “审核准则” 。 注 4：审核的基本要素包括定义根据不对审核对象负责人员执行的程序确定被审核对象的符合性（3.7）。 注 5：内部审核可用于管理评审和其他内部目的，并可构成组织符合性声明的基础。独立性可以通过对审核活动（3.1）的免责来证明。外部审核包括第二方审核和第三方审核。第二方审核由与组织有利益关系的各方（如客户）或代表他们的其他人员进行。第三方审核由外部独立审核机构进行，如，提供合格证明/注册的机构或政府机构。 注 6：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。通过在条目中添加注释 4 和 5，对原始定义进行修改。
3.3 business continuity capability of an *organization* (3.21) to continue the delivery of *products and services* (3.27) within acceptable time frames at predefined capacity during a *disruption* (3.10) [SOURCE: ISO 22300:2018, 3.24, modified — The definition has been replaced.]	**3.3 业务连续性** 组织（3.21）在可接受的时间范围内，在中断（3.10）期间以预先确定的能力持续交付产品和服务（3.27）的能力 [来源：ISO 22300:2018，3.24，修改—定义已被替换。]
	3.4 业务连续性计划 指导组织（3.21）按照其业务连续性（3.3）目标（3.20）响应中断（3.10）并恢复、重新开始和还

3.4 business continuity plan *documented information* (3.11) that guides an *organization* (3.21) to respond to a *disruption* (3.10) and resume, recover and restore the delivery of *products and services* (3.27) consistent with its *business continuity* (3.3) *objectives* (3.20) [SOURCE: ISO 22300:2018, 3.27, modified — The definition has been replaced and Note 1 to entry has been deleted.]	原产品和服务交付（3.27）的文件化信息（3.11）。 [来源：ISO 22300:2018，3.27，修改—定义已被替换，注释 1 已删除。]
3.5 business impact analysis *process* (3.26) of analysing the *impact* (3.13) over time of a *disruption* (3.10) on the *organization* (3.21) Note 1 to entry: The outcome is a statement and justification of *business continuity* (3.3) *requirements* (3.28). [SOURCE: ISO 22300:2018, 3.29, modified — The definition has been replaced and Note 1 to entry has been added.]	**3.5 业务影响分析** 分析随着时间的推移中断（3.10）对组织（3.21）的影响（3.13）的过程（3.26）。 注 1：结果是业务连续性（3.3）要求（3.28）的声明和理由。 [来源：ISO 22300:2018，3.29，修改—定义已被替换，并添加注释 1。]
3.6 competence ability to apply knowledge and skills to achieve intended results Note 1 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	**3.6 能力** 经证实的应用知识和技能的本领。 注 1：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
3.7 conformity fulfilment of a *requirement* (3.28) Note 1 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	**3.7 符合** 满足要求（3.28）。 注 1：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
3.8 continual improvement recurring *activity* (3.1) to enhance *performance* (3.23) Note 1 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	**3.8 持续改进** 为提高绩效进行的循环活动。 注 1：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
	3.9 纠正措施 为消除造成已发现不符合要求的原因并预防其再次发生所采取的措施。

3.9 corrective action

action to eliminate the cause(s) of a *nonconformity* (3.19) and to prevent recurrence

Note 1 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.

3.10 disruption

incident (3.14), whether anticipated or unanticipated, that causes an unplanned, negative deviation from the expected delivery of *products and services* (3.27) according to an *organization's* (3.21) *objectives* (3.20)

[SOURCE: ISO 22300:2018, 3.70, modified — The definition has been replaced.]

3.11 documented information

information required to be controlled and maintained by an *organization* (3.21) and the medium on which it is contained

Note 1 to entry: Documented information can be in any format and media, and from any source.

Note 2 to entry: Documented information can refer to:

— the *management system* (3.16), including related *processes* (3.26);

— information created in order for the organization to operate (documentation);

— evidence of results achieved (records).

Note 3 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.

3.12 effectiveness

extent to which planned *activities* (3.1) are realized and planned results achieved

Note 1 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.

注 1：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。

3.10 中断

事件（3.14），无论是预期还是非预期的，导致对产品和服务（3.27）的预期交付相对于组织（3.21）目标（3.20）的非计划的负偏差。

[来源：ISO 22300:2018, 3.70，修改—定义已被替换]

3.11 文件化信息

需要被组织（3.21）控制和保持的信息及其承载媒介。

注 1：文件化信息可以是多种格式的,也可是任何来源的任何承载媒体。

注 2：文件化信息指：

— 管理体系（3.16），包括相关的过程（3.26）；

— 为组织运行所生成的信息（文档）；

— 所取得结果的证据（记录）。

注 3：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。

3.12 有效性

完成制定计划活动并获得计划预期结果的程度。

注 1：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。

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3.13 impact outcome of a *disruption* (3.10) affecting *objectives* (3.20) [SOURCE: ISO 22300:2018, 3.107, modified — The definition has been replaced.]	**3.13 影响** 中断影响目标的结果。 [来源：ISO 22300:2018，3.107，修改—定义已被替换。]
3.14 incident event that can be, or could lead to, a *disruption* (3.10), loss, emergency or crisis [SOURCE: ISO 22300:2018, 3.111, modified — The definition has been replaced.]	**3.14 事件** 可能导致中断、损失、紧急状况或危机的事态。 [来源：ISO 22300:2018，3.111，修改-定义已被替换。]
3.15 interested party (preferred term) stakeholder (admitted term) person or *organization* (3.21) that can affect, be affected by, or perceive itself to be affected by a decision or *activity* (3.1) EXAMPLE Customers, owners, personnel, providers, bankers, regulators, unions, partners or society that can include competitors or opposing pressure groups. Note 1 to entry: A decision maker can be an interested party. Note 2 to entry: Impacted communities and local populations are considered to be interested parties. Note 3 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards. The original definition has been modified by adding an example and Notes 1 and 2 to entry.	**3.15 相关方（推荐术语）** **利益相关方（承认术语）** 对决策或活动（3.1）产生影响，受到影响，认为被影响的个人或组织（3.21）。 例如：客户、所有者、人员、供应商、银行、监管机构、工会、合作伙伴，也包括竞争对手。 注 1：决策者可以是相关方。 注 2：受影响的社区和当地居民被认为是相关方。 注 3：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。 通过在条目中添加示例、注释 1 和 2，对原始定义进行修改。
3.16 management system set of interrelated or interacting elements of an *organization* (3.21) to establish *policies* (3.24) and *objectives* (3.20) and *processes* (3.26) to achieve those objectives Note 1 to entry: A management system can address a single discipline or several disciplines. Note 2 to entry: The system elements include the organization's structure, roles and responsibilities, planning and operation.	**3.16 管理体系** 组织建立方针、目标和过程并实现这些目标的相互关联或相互作用的一组元素。 注 1：一个管理体系可以关注一个或多个规范要求。 注 2：体系元素包括组织结构、角色和职责、策划、运行等。

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Note 3 to entry: The scope of a management system can include the whole of the organization, specific and identified functions of the organization, specific and identified sections of the organization, or one or more functions across a group of organizations.	注 3：管理体系的范围可以包括整个组织、组织内某些特定的职能、特定的部分，或是跨越多个组织的一个或多个职能。
Note 4 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	注 4：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
3.17 measurement *process* (3.26) to determine a value	**3.17** 测量 确定一个量值的过程（3.26）。
Note 1 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	注 1：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
3.18 monitoring determining the status of a system, a *process* (3.26) or an *activity* (3.1)	**3.18 监视** 确定一个体系、过程（3.26）或活动（3.1）的状态。
Note 1 to entry: To determine the status, there can be a need to check, supervise or critically observe.	注 1：可能需要通过检查、监督或密切观察来确定状态。
Note 2 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	注 2：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
3.19 nonconformity non-fulfilment of a *requirement* (3.28)	**3.19** 不符合 未满足要求（3.28）。
Note 1 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	注 1：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
3.20 objective result to be achieved	**3.20** 目标 想要取得的结果。
Note 1 to entry: An objective can be strategic, tactical, or operational.	注 1：目标可以是战略的、策略的或运行层面的。
Note 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product and *process* (3.26)).	注 2：目标可以和不同的规范要求相关(例如财政的、健康和安全以及环境目标），也可以应用于不同的层次（例如战略、组织范围、项目、产品和过程（3.26））。
Note 3 to entry: An objective can be expressed in	注 3 ：目标可以用其他方式来表示，例如作为预期

other ways, e.g. as an intended outcome, a purpose, an operational criterion, as a *business continuity* (3.3) objective, or by the use of other words with similar meaning (e.g. aim, goal, or target).	结果、意图、运行准则、业务连续性（3.3）目标或用其他意思相近的词来表达(例如目的或宗旨）。
Note 4 to entry: In the context of business continuity *management systems* (3.16), business continuity objectives are set by the *organization* (3.21), consistent with the business continuity *policy* (3.24), to achieve specific results.	注 4：在业务连续性管理体系（3.16）标准的背景下，业务连续性目标是由组织（3.21）设定的，与业务连续性方针（3.24）一致的，用于达成特定结果的目标。
Note 5 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	注 5：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
3.21 organization person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its *objectives* (3.20)	**3.21 组织** 为了实现目标（3.20）形成的具有自身职能，按照一系列职责、权限和相互关系安排的个人或一组人员。
Note 1 to entry: The concept of organization includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.	注 1：组织的概念包括但不限于个体商户、公司、集团、企事业单位、研究机构、合伙企业、慈善机构、或是上述单位的结合体，无论其是否为法人团体，公营还是私营。
Note 2 to entry: For organizations with more than one operating unit, a single operating unit can be defined as an organization.	注 2：对于拥有一个以上运营单位的组织，可以把每一个单独运营的单位视为一个组织。
Note 3 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards. The original definition has been modified by adding Note 2 to entry.	注 3：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。 通过在条目中添加注释 2 对原始定义进行了修改。
3.22 outsource make an arrangement where an external *organization* (3.21) performs part of an organization's function or *process* (3.26)	**3.22 外包** 把组织的部分职能或过程安排给外部组织。
Note 1 to entry: An external organization is outside the scope of the *management system* (3.16), although the outsourced function or process is within the scope.	注 1：虽然外包的职能和过程属于管理体系的范围，但外部组织则在此范围之外。
Note 2 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	注 2：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
	3.23 绩效

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3.23 performance measurable result Note 1 to entry: Performance can relate either to quantitative or qualitative findings. Note 2 to entry: Performance can relate to managing *activities* (3.1), *processes* (3.26), products (including services), systems or *organizations* (3.21). Note 3 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	可测量的结果。 注 1：绩效与定量或定性的结果有关。 注 2：绩效与活动（3.1）、流程（3.26）、产品（包括服务）、体系或组织（3.21）的管理有关。 注 3：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
3.24 policy intentions and direction of an *organization* (3.21), as formally expressed by its *top management* (3.31) Note 1 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	**3.24 方针** 由组织最高管理者正式发布的意图和方向。 注 1：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
3.25 prioritized activity *activity* (3.1) to which urgency is given in order to avoid unacceptable *impacts* (3.13) to the business during a *disruption* (3.10) [SOURCE: ISO 22300:2018, 3.176, modified — The definition has been replaced and Note 1 to entry has been deleted.]	**3.25 优先活动** 为避免在中断（3.10）期间对业务造成不可接受的影响而给予的紧急性活动（3.1）。 [来源：ISO 22300:2018，3.176，修改—定义已被替换，条目注释 1 已被删除。]
3.26 process set of interrelated or interacting *activities* (3.1) which transforms inputs into outputs Note 1 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	**3.26 过程** 将输入转化为输出的相互关联或相互作用的一组活动。 注 1：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
3.27 product and service output or outcome provided by an *organization* (3.21) to *interested parties* (3.15) EXAMPLE Manufactured items, car insurance, community nursing. [SOURCE: ISO 22300:2018, 3.181, modified —	**3.27 产品和服务** 组织（3.21）向相关方（3.15）提供的输出或结果。 例如，制成品、汽车保险和社区护理。 [来源：ISO 22300:2018，3.181，修改—术语“产品和服务”已取代“产品或服务”，定义已被取代。]

The term "product and service" has replaced "product or service" and the definition has been replaced.]	
3.28 requirement need or expectation that is stated, generally implied or obligatory Note 1 to entry: "Generally implied" means that it is custom or common practice for the *organization* (3.21) and *interested parties* (3.15) that the need or expectation under consideration is implied. Note 2 to entry: A specified requirement is one that is stated, e.g. in *documented information* (3.11). Note 3 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	**3.28 要求** 明示的、通常隐含的或必须履行的需求或期望。 注 1: "通常隐含"是指顾客或组织（3.21）和相关方（3.15）的惯例或一般做法，所考虑的需求和期望是不言而喻的。 注 2：规定要求是经明示的要求，如：文件化信息（3.11）。 注 3：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。
3.29 resource all assets (including plant and equipment), people, skills, technology, premises, and supplies and information (whether electronic or not) that an *organization* (3.21) has to have available to use, when needed, in order to operate and meet its *objective* (3.20) [SOURCE: ISO 22300:2018, 3.193, modified — The definition has been replaced.]	**3.29 资源** 为了运行和实现目标（3.20），组织（3.21）在需要时可供使用的所有资产、人员、技能、信息、技术、场地、物资和信息(无论是否为电子格式）。 [来源：ISO 22300:2018，3.193，修改—定义已被替换。]
3.30 risk effect of uncertainty on *objectives* (3.20) Note 1 to entry: An effect is a deviation from the expected — positive or negative. Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood. Note 3 to entry: Risk is often characterized by reference to potential "events" (as defined in ISO Guide 73) and "consequences" (as defined in ISO Guide 73), or a combination of these. Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event	**3.30 风险** 对于目标（3.20）的不确定性影响。 注 1：该影响是偏离预期目标的——正面的或负面的。 注 2：不确定性是指完全或部分缺乏有关某项事态的了解或认识（包括其后果和发生可能性）信息的状态。 注 3：风险常被描述为潜在事态（ISO 指南 73 中定义)和后果（ISO 指南 73 中定义)，或它们的组合。 注 4：风险通常被表述为事态的后果（包栝环境的变化）和发生的可能性（ISO 指南 73 中定义)。 注 5：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。对定义进行了修改，增加了"目标"以符合 ISO 31000。

(including changes in circumstances) and the associated likelihood (as defined in ISO Guide 73) of occurrence. Note 5 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards. The definition has been modified to add "on objectives" to be consistent with ISO 31000. **3.31 top management** person or group of people who directs and controls an *organization* (3.21) at the highest level Note 1 to entry: Top management has the power to delegate authority and provide *resources* (3.29) within the organization. Note 2 to entry: If the scope of the *management system* (3.16) covers only part of an organization, then top management refers to those who direct and control that part of the organization. Note 3 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.	**3.31 最高管理层** 在最高层指挥和控制组织（3.21）的一个人或一组人。 注 1：最高管理者有权力在组织内进行授权，并提供资源（3.29）。 注 2：如果管理体系（3.16）的范围只涵盖了组织的一部分，那么最高管理者指那些直接指导和操控该部分组织的人。 注 3：这是 ISO 管理体系标准高阶结构的通用术语和核心定义。

4 Context of the organization 组织环境

4.1 Understanding the organization and its context 了解组织和组织环境

The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its BCMS. NOTE These issues will be influenced by the organization's overall objectives, its products and services and the amount and type of risk that it may or may not take.	组织应确定与其意图相关且影响其达到 BCMS 预期结果能力的外部和内部情况。 注：这些问题将受到组织的总体目标、产品和服务以及可能承担或不承担的风险的数量和类型的影响。

4.2 Understanding the needs and expectations of interested parties 理解相关方的需求和期望

4.2.1 GENERAL 总则

When establishing its BCMS, the organization	在建立 BCMS 时，组织应确定：

shall determine: a)the interested parties that are relevant to the BCMS; b)the relevant requirements of these interested parties.	a) 与 BCMS 有关的相关方； b) 这些相关方的要求。

4.2.2 Legal and regulatory requirements 法律和法规要求

The organization shall: a)implement and maintain a process to identify, have access to, and assess the applicable legal and regulatory requirements related to the continuity of its products and services, activities and resources; b)ensure that these applicable legal, regulatory and other requirements are taken into account in implementing and maintaining its BCMS; **c)document this information and keep it up to date.**	组织应： a) 实施并保持一个过程，以识别、获取和评估与其产品和服务、活动和资源的连续性相适用的法律和法规的要求； b) 确保在实施和保持业务连续性管理体系时考虑到这些适用的法律、法规和其他要求； c) 文件化这些信息并保持更新。

4.3 Determining the scope of the business continuity management system 确定业务连续性管理体系的范围

4.3.1 General 总则

The organization shall determine the boundaries and applicability of the BCMS to establish its scope. When determining this scope, the organization shall consider: a)the external and internal issues referred to in 4.1; b)the requirements referred to in 4.2; c)its mission, goals, and internal and external obligations. **The scope shall be available as documented information.**	组织应通过确定 BCMS 的边界和适用性来建立其范围。 组织在确定范围时应考虑： a) 在 4.1 中涉及的外部和内部因素； b) 在 4.2 中涉及的要求； c) 组织的使命、目标、内部和外部责任。 该范围应作为文件化信息可用。

4.3.2 Scope of the business continuity management system BCMS 的范围

The organization shall: a)establish the parts of the organization to be included in the BCMS, taking into account its location(s),size, nature and complexity; b)identify products and services to be included in the BCMS. When defining the scope, the organization shall document and explain exclusions. They shall not affect the organization’s ability and responsibility to provide business continuity, as determined by the business impact analysis or risk assessment and applicable legal or regulatory requirements.	组织应： a) 确定组织包含在 BCMS 中的组成部分，考虑其位置、规模、性质和复杂性； b) 识别 BCMS 范围内的产品和服务； 在定义范围时，组织应将删减理由形成文件，任何删减应不影响组织提供达到 BCMS 要求的业务和运行连续性的能力和责任，删减是由业务影响分析或风险评估和适用的法律或法规要求确定的。

4.4 Business continuity management system 业务连续性管理体系

The organization shall establish, implement, maintain and continually improve a BCMS, including the processes needed and their interactions, in accordance with the requirements of this document.	组织应根据本标准的要求，建立、实施、保持和持续改进 BCMS，包括所需的过程和过程间的相互作用。

5 Leadership 领导力

5.1 Leadership and commitment 领导力和承诺

Top management shall demonstrate leadership and commitment with respect to the BCMS by: a)ensuring that the business continuity policy and business continuity objectives are established and are compatible with the strategic direction of the organization; b)ensuring the integration of the BCMS requirements into the organization’s business processes; c)ensuring that the resources needed for the BCMS are available; d)communicating the importance of effective business continuity and of conforming to the	最高管理层应通过以下方式展示对 BCMS 的领导力和承诺： a) 确保建立业务连续性方针和业务连续性目标，并与组织的战略方向相一致； b) 确保将业务连续性管理体系的要求集成到组织的业务流程中； c) 确保 BCMS 所需的资源可用； d) 就业务连续性有效性和 BCMS 要求符合性的重要性进行传达； e) 确保 BCMS 达到预期结果；

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BCMS requirements; e)ensuring that the BCMS achieves its intended outcome(s); f)directing and supporting persons to contribute to the effectiveness of the BCMS; g)promoting continual improvement; h)supporting other relevant managerial roles to demonstrate their leadership and commitment as it applies to their areas of responsibility. NOTE Reference to “business” in this document can be interpreted broadly to mean those activities that are core to the purposes of the organization’s existence.	f) 指导和支持人员为 BCMS 的有效性作出贡献； g) 促进持续改进； h) 支持其他相关管理角色在其职责领域内展示其领导作用和承诺。 注：本标准中的“业务”从广义上解释为对于组织的存在而言具有核心价值的活动。

5.2 Policy 方针

5.2.1 Establishing the business continuity policy 建立业务连续性方针

Top management shall establish a business continuity policy that: a)is appropriate to the purpose of the organization; b)provides a framework for setting business continuity objectives; c)includes a commitment to satisfy applicable requirements; d)includes a commitment to continual improvement of the BCMS.	最高管理者应建立业务连续性方针： a) 与组织的宗旨相适应； b) 为业务连续性目标的制定提供框架； c) 包含满足适应要求的承诺； d) 包含对 BCMS 进行持续改进的承诺。

5.2.2 Communicating the business continuity policy 业务连续性策略的传达

The business continuity policy shall: a)be available as documented information; b)be communicated within the organization; c)be available to interested parties, as appropriate.	业务连续性策略应： a) 作为文件化信息可用； b) 在组织内部传达； c) 适当时使相关方能够获得。

5.3 Roles, responsibilities and authorities 角色、责任和权力

Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization. Top management shall assign the responsibility and authority for: a)ensuring that the BCMS conforms to the requirements of this document; b)reporting on the performance of the BCMS to top management.	最高管理者应该确保相关角色的职责和权限在组织内部被授权和传达。 最高管理者应分配职责和职权以： a) 确保管理体系符合本标准的要求； b) 向最高管理者报告 BCMS 的绩效。

6 Planning 策划

6.1 Actions to address risks and opportunities 应对风险和机遇的措施

6.1.1 Determining risks and opportunities 确定风险和机遇

When planning for the BCMS, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to: a)give assurance that the BCMS can achieve its intended outcome(s); b)prevent, or reduce, undesired effects; c)achieve continual improvement.	当策划 BCMS 时，组织应考虑 4.1 提到的因素和 4.2 提到的要求，并确定需要应对的风险和机遇以： a) 确保管理体系能够达到预期结果； b) 预防或减少不良影； c) 实现持续改进。

6.1.2 Addressing risks and opportunities 应对风险和机遇

The organization shall plan: a)actions to address these risks and opportunities; b)how to: 1)integrate and implement the actions into its BCMS processes (see 8.1);	组织应策划： a) 应对风险和机遇的措施； b) 如何： 1) 将这些措施在 BCMS 的过程中进行整合和实施（见 8.1）； 2) 评价这些措施的有效性（见 9.1）。

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2)evaluate the effectiveness of these actions (see 9.1). NOTE Risks and opportunities relate to the effectiveness of the management system. Risks related to disruption of the business are addressed in 8.2.	注：风险和机遇与管理体系的有效性有关。与业务中断相关的风险在8.2中进行了说明。

6.2 Business continuity objectives and planning to achieve them 业务连续性目标和实施计划

6.2.1 Establishing business continuity objectives 建立业务连续性目标

The organization shall establish business continuity objectives at relevant functions and levels. The business continuity objectives shall: a)be consistent with the business continuity policy; b)be measurable (if practicable); c)take into account applicable requirements (see 4.1 and 4.2); d)be monitored; e)be communicated; f)be updated as appropriate. The organization shall retain documented information on the business continuity objectives.	组织应针对相关职能和层次建立业务连续性目标。 业务连续性目标应： a) 与业务连续性方针保持一致； b) 可测量(如可行)； c) 考虑适用的要求(见4.1和4.2) d) 予以监视； e) 予以沟通； f) 适当时更新。 组织应保留有关业务连续性目标的文件化信息。

6.2.2 Determining business continuity objectives 确定业务连续性目标

When planning how to achieve its business continuity objectives, the organization shall determine: a)what will be done; b)what resources will be required; c)who will be responsible;	在策划如何实现其业务连续性目标时，组织应确定： a) 要做什么； b) 需要什么资源； c) 谁将负责； d) 什么时候完成；

d)when it will be completed; e)how the results will be evaluated.	e) 如何评价结果。

6.3 Planning changes to the business continuity management system BCMS 变更策划

When the organization determines the need for changes to the BCMS, including those identified in Clause 10, the changes shall be carried out in a planned manner.	组织确定需要对 BCMS 变更时，包括第 10 章中所识别的变更，变更应按所策划的方式实施。
The organization shall consider:	组织应考虑：
a)the purpose of the changes and their potential consequences;	a) 变更的目的及潜在后果；
b)the integrity of the BCMS;	b) BCMS 的完整性；
c)the availability of resources;	c) 资源的可获得性；
d)the allocation or reallocation of responsibilities and authorities.	d) 责任和权力的分配或再分配。

7 Support 支持

7.1 Resources 资源

The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the BCMS.	组织应确定并提供建立、实施、保持和持续改进 BCMS 所需的资源。

7.2 Competence 能力

The organization shall:	组织应：
a)determine the necessary competence of person(s) doing work under its control that affects its business continuity performance;	a) 确定在组织控制下从事会影响组织业务连续性绩效的工作人员的必要能力；
b)ensure that these persons are competent on the basis of appropriate education, training, or experience;	b) 确保上述人员在适当的教育、培训或经验的基础上能够胜任其工作；
c)where applicable, take actions to acquire the necessary competence, and evaluate the	c) 适用时，采取措施以获得必要的能力，并评估所采取措施的有效性；

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