



### Determine Structure

How many Sections (lumps / elements)?

How many Criteria in each section?

*(Apply the principle of “adequacy” - as few as possible but as many as necessary)*

## Gap Analysis / Capability Assessment

**Contact** person, telephone and email:

**Date** of assessment: July 2024

This assessment will enable organizations to identify areas of strength and weakness in processes, capabilities and skills. The results from carrying out the assessment will also help in planning and implementing process capability improvements and systematically focus on areas of weakness.

### Format of the assessment

The assessment consists of worksheets within an MS Excel workbook:

**i. Introduction** - this worksheet.

**ii. Achievement** - The relevant matters to take into account in considering the quality of management exercised center around key performance tests about your state of knowledge and its application.

Sections to the questionnaire cover performance in:

1. Context
2. Leadership
3. Planning
4. Support
5. Operation
6. Evaluation
7. Improvement

Each section has up to 5 questions.



Instructions

Achievement

Capability profile (bar)

Capability profil

### Undertaking the assessment

Each question has four possible answers: 'N', 'P', 'L', 'F' (drop down options in the answer column), as shown below:

Possible answer	Definition
N	Not generally applied or only applied in isolated situations for example in less than 20% of cases
P	Partially applied, not usually documented or applied in less than 50% of cases
L	Largely applied, formally documented and largely repeatable or applied in up to 85% of cases.
F	Fully applied, formally documented and fully repeatable or applied in more than 85% of cases.

The assessment has been designed to allow entities to input their own targets for achievement and provides space for the assessor(s) to capture evidence to support the answer to each question. Evidence is generally in the form of records, statements of fact or other information relevant to the criteria and verifiable

If you consider that a question is not applicable, use the default value of "N" and support your reasons by completing the Evidence Box.

The assessment questionnaire, takes data and automatically generates the results in graphical and numerical form in subsequent worksheets. Where appropriate, comments have been embedded throughout the questionnaire to provide the assessor with further explanation about the questions should it be required. The comments are denoted by a red flag in the top right hand corner of a cell. Comments can be read by holding the cursor over the cell.

▶	Instructions	Achievement	Capability profile (bar)	Capability profile
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Gap Analysis / Capability Assessment											
Key Elements to the Assessment				Answers							
	1	Context									
	2	Leadership									
	3	Planning									
	4	Support									
	5	Operation									
	6	Evaluation									
	7	Improvement									
Section 1	Context criteria			Answer	Evidence - records, statements of fact or other information relevant to the criteria and verifiable	Target (to be set)					
1.1	Has the organization determined external and internal issues relevant to its purpose and strategic direction; determined how these issues affect the ability to achieve the intended result of the QMS; and determined how to adequately monitor and review information about these internal and external issues?			L		F					
1.2	Has the organization determined what interested parties are relevant to the QMS; determined what requirements those parties have that are relevant to the QMS; determined impact or potential impact; and determined how to monitor and review the information about interested parties and their relevant requirements?			N P		F					
1.3	To what extent has the QMS been established? How is it maintained and continually improved? How have the processes been determined for the QMS? What are the inputs and outputs for those processes? What is the sequence and interaction of the processes? What are the criteria, methods, measurement and related performance indicators needed to operate and control those processes?			L F		F					
1.4	What resources are needed and how are these made available? How are responsibilities and authorities assigned for those processes? How are risks and opportunities considered and what plans are made to implement actions to address them? What methods are used to monitor, measure and evaluate processes and, if needed, what changes are made to achieve intended results? How are opportunities to improve the processes and the QMS determined? What documented information exists to support the operation of processes? How is this documented information retained? How is confidence that the processes are being carried out as planned determined?			P		L					
<table border="1"> <tr> <td>▶</td> <td>Instructions</td> <td>Achievement</td> <td>Capability profile (bar)</td> <td>Capability profile (radar)</td> <td>Results (numerical)</td> <td>+</td> </tr> </table>					▶	Instructions	Achievement	Capability profile (bar)	Capability profile (radar)	Results (numerical)	+
▶	Instructions	Achievement	Capability profile (bar)	Capability profile (radar)	Results (numerical)	+					

**iii. Capability profile (bar)** - A bar chart plotting current achievements in each section of the questionnaire against desired future improvement targets set by the organization.

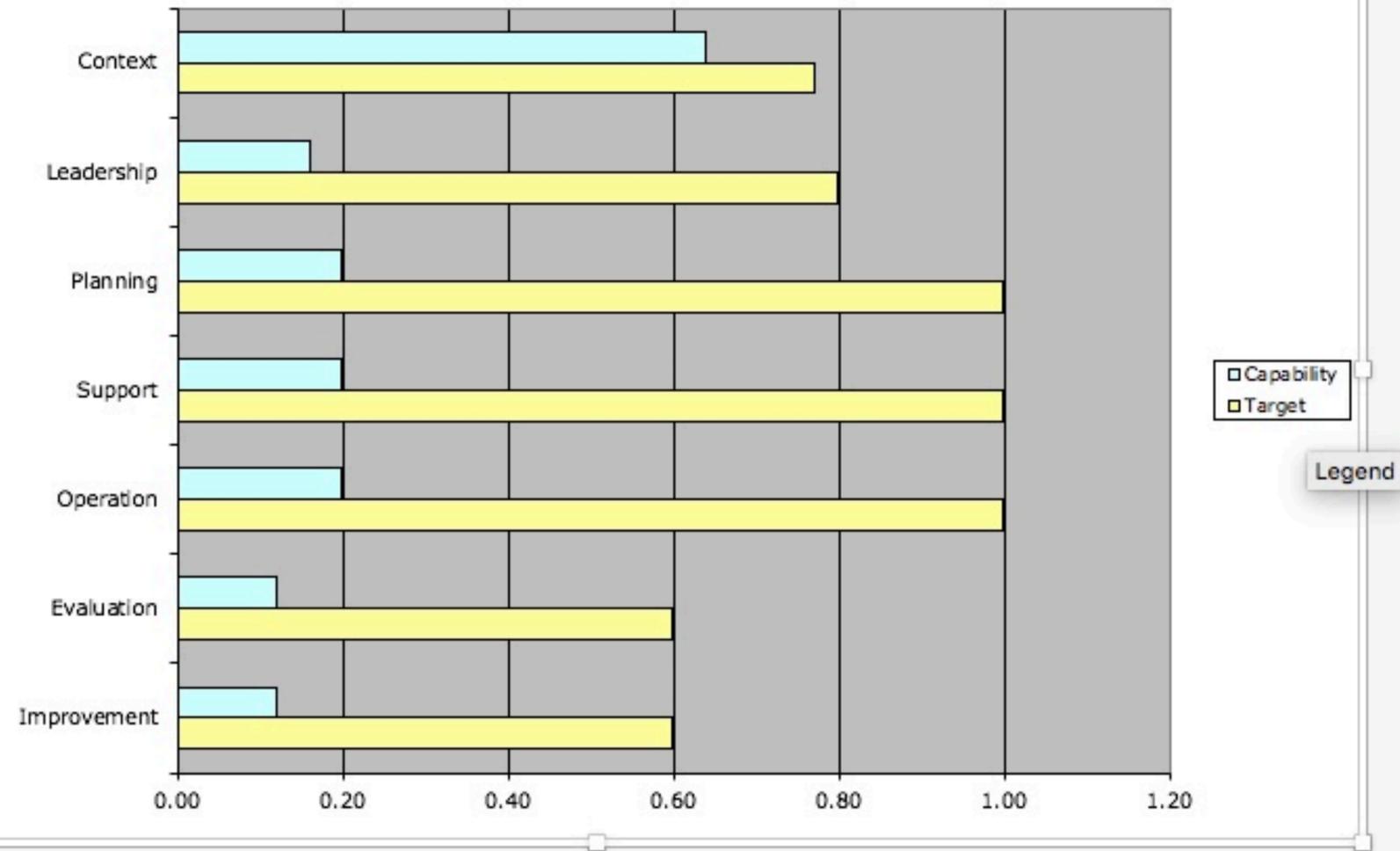
**iv. Capability profile (radar)** - An alternative view of capability profile in the form of a radar chart

**v. Results (Numerical)** - An alternative numerical view of the capability profile in the form of numbers

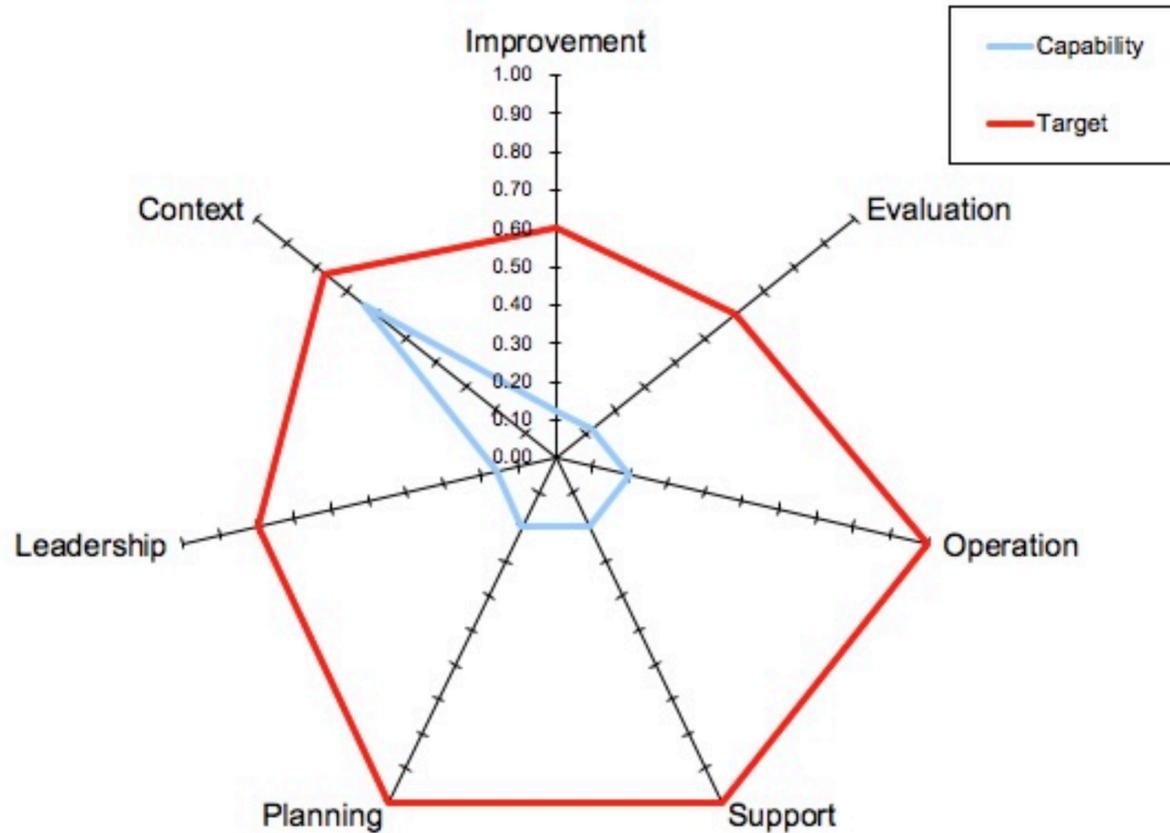
**Further information** is available [johnsalter@me.com](mailto:johnsalter@me.com)

Instructions Achievement Capability profile (bar) Capability profile (radar) Results (numerical)

**Capability profile with targets (bar chart)**



**Profile with Current Capability / Targets (radar)**



Capability profile (bar) Capability profile (radar) Results (numerical) +

	Achievement areas	Section scores	Improvement target
7	Improvement	0.12	0.60
6	Evaluation	0.12	0.60
5	Operation	0.20	1.00
4	Support	0.20	1.00
3	Planning	0.20	1.00
2	Leadership	0.16	0.80
1	Context	0.64	0.77

Instructions Achievement Capability profile (bar) Capability profile (radar) Results (numerical)