Consolidated Capability Assessment Framework

1. Context, Scope, Stakeholders & Strategy

Capability criterion

The organisation understands its context, stakeholders, and disruption factors, and uses this to define scope, strategy, and objectives for quality, environment, risk, and continuity.

Evidence – E1 Gateway (Existence)

Is there a defined process for analysing organisational context and interested parties, for considering disruption factors, and for setting and reviewing scope and strategic objectives for Quality (QMS), Environment (EMS), Risk, and Continuity (BCM)?

Evidence – E2 Enablement (Structure)

Are context analyses, stakeholder needs, and scopes documented, current, and accessible; are strategic objectives assigned owners, targets, and measures; and are linkages between context, scope, and objectives clearly documented?

Evidence – E3 Operational Effect (Execution)

Is there evidence that context and stakeholder insights influence objectives and priorities, that disruption analyses demonstrably influence risk, continuity, and investment decisions, and that strategic objectives are used to steer portfolios, initiatives, or resource allocation?

2. Leadership, Governance, Culture & Accountability

Capability criterion

Leadership sets direction, policy, and appetite, and governance structures provide oversight and accountability for quality, environment, risk, resilience, and continuity.

Evidence – E1 Gateway

Are approved policies for quality, environment, risk, and business continuity management in place, with governance structures, roles, and accountabilities defined and documented, and risk appetite (or equivalent criteria) formally defined and approved?

Evidence – E2 Enablement

Do leaders regularly participate in governance forums for Quality/Environment/Risk/Business Continuity Management, allocate sufficient resources to deliver these policies and frameworks, and actively promote an open, learning-oriented culture?

Evidence – E3 Operational Effect

Can leaders show recent decisions where risk, quality, environmental, or Business Continuity Management information materially influenced outcomes, that material issues (e.g., audit actions, incidents) are tracked and closed by accountable owners, and that there is observable alignment between leadership behaviours and stated values/policies?

3. Integrated Risk & Opportunity Management

Capability criterion

Risks, opportunities, impacts, and continuity requirements are systematically identified, analysed, evaluated, and kept current across domains.

Evidence – E1 Gateway

Does a defined organisational process exist for risk identification, analysis, evaluation, and treatment, including a defined approach to Business Impact Analysis (BIA) and continuity risk assessment, with opportunities considered alongside risks in planning?

Evidence – E2 Enablement

Are risk registers complete, covering strategic, operational, financial, environmental, and continuity risks, with Business Impact Analysis outputs (e.g., critical activities, Recovery Time Objectives) documented and kept current, and are risk and opportunity records updated to reflect changes in context, services, or technology?

Evidence – E3 Operational Effect

Do risk and Business Impact Analysis outputs demonstrably drive priority-setting and resource allocation, with risk treatments and continuity strategies clearly aligned to risk evaluations and Business Impact Analysis results, and with risk and opportunity insights used to accept, avoid, transfer, or treat risk in decisions?

4. Framework, Design & Integration into Operations

Capability criterion

The organisation maintains an integrated management framework tailored to context and embedded in business processes.

Evidence – E1 Gateway

Are documented frameworks (QMS, EMS, Risk, BCM) defined, including processes and interfaces, with integration points between these frameworks and core business processes described, and governance and delivery frameworks for initiatives/projects explicitly defined?

Evidence – E2 Enablement

Are framework requirements embedded in business process documentation and templates, with operational and project teams aware of and trained in applying the framework, and tools and systems are configured to support application of the integrated framework?

Evidence – E3 Operational Effect

Do operational decisions consistently follow the integrated processes, with initiatives and projects regularly delivered on time and budget using the defined governance and controls, and deviations from the framework are detected and corrected?

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5. Planning, Objectives, Strategies & Change

Capability criterion

Objectives, plans, and continuity strategies are risk-based, aligned with policy and appetite, and material changes are controlled.

Evidence – E1 Gateway

Is there a defined process for setting Q/E/R/BCM objectives and action plans - and assessing risk and opportunity associated with planned changes, with a defined approach for developing continuity and recovery strategies?

Evidence – E2 Enablement

Are objectives documented with targets, timelines, responsibilities, and resources, with continuity and recovery strategies documented and tested for feasibility and, are change proposals required to include risk, continuity, and environmental assessments?

Evidence – E3 Operational Effect

Do objectives demonstrably influence organisational priorities and budget allocation, with change

decisions altered or rejected due to risk, continuity, or environmental considerations including, are continuity strategies used to guide investments in facilities, IT, suppliers, and people?

6. People, Capability, Culture, Communication & Awareness

Capability criterion

People have the competence, information, and culture to deliver integrated Q/E/R/BCM responsibilities.

Evidence – E1 Gateway

Are competence requirements defined for key roles (including BCM, Risk, QMS, EMS) and does a training and awareness framework exist for these disciplines, with communication channels and responsibilities for Q/E/R/BCM information defined?

Evidence – E2 Enablement

Are training, awareness, and refreshers delivered as planned, with records maintained, with organisational knowledge captured and shared to support capability, and do communication mechanisms reach the right people with timely, usable information?

Evidence – E3 Operational Effect

Do personnel in key roles demonstrate required competence in practice, with BCM and risk awareness evident beyond a small group of specialists and do observed behaviours in day-to-day work align with desired culture and responsibilities?

7. Customers, Markets, Stakeholders & Supply Chain

Capability criterion

The organisation manages customer, market, stakeholder requirements, and supply-chain dependencies, including quality, environmental, risk, and continuity expectations.

Evidence – E1 Gateway

Are processes defined for capturing customer and stakeholder requirements and feedback, with supplier/partner requirements and performance expectations defined, including Q/E/R/BCM aspects, and are continuity and environmental obligations with key suppliers documented?

Evidence – E2 Enablement

Are customer and supplier performance and risks analysed on a regular basis, with controls (e.g., SLAs, contracts, audits) in place for critical suppliers and partners, and are customer, market, and stakeholder insights fed into planning and risk assessments?

Evidence – E3 Operational Effect

Do customer and supplier insights lead to specific improvements or control changes, with critical supplier or partner risks mitigated through diversification, contingency, or contracts, and do collaborations with key customers or suppliers yield joint improvements or innovations?

8. Operational Control, Design, BCM Plans & Emergency Response

Capability criterion

Operations, products/services, and critical activities are controlled through processes, BCM plans, and emergency arrangements.

Evidence – E1 Gateway

Are key processes and controls documented for products/services and critical activities, with BCM plans and emergency response procedures documented for relevant scenarios, and are design and development processes (where applicable) defined and controlled?

Evidence – E2 Enablement

Are controls, plans, and procedures current, role-based, and accessible to users, with BCM plans and emergency procedures referenced in contracts or operating procedures where relevant, and are responsibilities and triggers for activating plans clearly defined?

Evidence – E3 Operational Effect

Are controls, plans, and procedures used in practice (e.g., evidence from incidents or exercises), with operational and emergency arrangements demonstrably preventing or mitigating key risks, and are post-incident reviews used to refine operational and BCM controls?

9. Information, Data, Documentation & Digital

Capability criterion

Information, documented content, and digital tools supporting Q/E/R/BCM are controlled, reliable,

and used for insight and decisions.

Evidence – E1 Gateway

Are there defined processes for controlling documented information relevant to Q/E/R/BCM, with expectations for data quality, retention, and access defined, and digital tools and systems identified that support these frameworks?

Evidence – E2 Enablement

Are documents and records reviewed, approved, current, and accessible to relevant users, with digital tools configured to support consistent data capture, analysis, and reporting, and are information security and integrity controls in place for critical Q/E/R/BCM information?

Evidence – E3 Operational Effect

Is controlled information actually used in decision-making and daily operations, with analytics and reports used to identify trends and issues across Q/E/R/BCM, and are data and documentation issues detected and corrected systematically?

10. Performance Measurement, Monitoring, Exercising & Review

Capability criterion

Performance, exposure, and capability across Q/E/R/BCM are monitored, tested, and reviewed for insight and assurance.

Evidence – E1 Gateway

Are metrics and Key Performance Indicators (KPIs) defined for quality, environmental, risk, and BCM performance, with internal audit and review programs documented and approved, and are BCM exercising and testing programs defined?

Evidence – E2 Enablement

Are monitoring, audits, reviews, and exercises performed at planned intervals, where these activities analyse data, risks, incidents, and changes - not just compliance, and are outputs from monitoring and exercises documented with owners and due dates?

Evidence – E3 Operational Effect

Do monitoring and review results lead to changes in controls, priorities, or strategies, and do

exercises reveal realistic gaps and drive updates to BIA, strategies, and plans, with management review used to steer strategic direction and investments?

11. Learning, Improvement, Innovation & Resilience Evolution

Capability criterion

The organisation learns from experience and systematically improves and innovates its integrated management and resilience capability.

Evidence – E1 Gateway

Are mechanisms defined for capturing incidents, nonconformities, near misses, and lessons, with improvement and innovation opportunities collected from multiple sources, and is there a defined process for root cause analysis and improvement planning?

Evidence – E2 Enablement

Are investigations and root cause analyses consistently performed where required, with a prioritised portfolio or register of improvement and innovation initiatives with improvement actions tracked to closure with clear ownership and timelines?

Evidence – E3 Operational Effect

Is there evidence that repeat incidents or failures have reduced over time, and have improvements measurably enhanced risk, quality, environmental, or continuity outcomes, with insights from improvements fed back into strategy, frameworks, and capabilities?