

Necessary and Sufficient Evidence

For each domain, “necessary and sufficient” evidence means: the *minimum* concrete artefacts and observations that prove the criterion is in place (E1), enabled (E2), and working in practice (E3).

Below is a concise, practical set of examples.[1]

1. Context, Scope, Stakeholders & Strategy

- **E1 – Gateway (Existence)**
 - Approved procedure for context and stakeholder analysis covering QMS/EMS/Risk/BCM.
 - Last completed context analysis (PESTLE, SWOT, similar) and stakeholder map.
 - Documented scope statements for QMS/EMS/Risk/BCM and current strategic objectives set/approved.[1]
 - **E2 – Enablement (Structure)**
 - Version-controlled context and stakeholder analyses stored in a defined repository, with review dates and owners.
 - Objective register linking each objective to context/stakeholder drivers, with owners, measures, and targets.
 - Visual or tabular mapping showing traceability: context & stakeholders → scope → objectives.[1]
 - **E3 – Operational Effect (Execution)**
 - Business cases, initiative charters, or portfolio papers explicitly referencing context/stakeholder insights and disruption scenarios.
 - Risk and continuity investment decisions where disruption analysis or BIA inputs changed priorities or options.
 - Steering/portfolio committee minutes showing strategic objectives used to approve, defer, or stop initiatives.[1]
-

2. Leadership, Governance, Culture & Accountability

- **E1 – Gateway**
 - Approved, current policies for Quality, Environment, Risk, BCM.
 - Governance structure document (e.g., RACI, terms of reference) defining roles, committees, and escalation paths.

- Board/Executive-approved risk appetite statement or equivalent criteria.[1]
 - **E2 – Enablement**
 - Forward calendar and minutes of regular Q/E/R/BCM governance forums showing leader attendance.
 - Resource plans or budgets explicitly allocating people/funding to these frameworks.
 - Leadership communications (town halls, videos, emails) and recognition mechanisms promoting an open, learning culture.[1]
 - **E3 – Operational Effect**
 - Decision records where risk, quality, environmental or BCM information materially changed direction or conditions.
 - Issue and action logs showing tracking, ownership, due dates, and closure of audits, incidents, and nonconformities.
 - Observed leadership behaviours (e.g., walk-throughs, safety/environment dialogues) consistent with stated policies and values.[1]
-

3. Integrated Risk & Opportunity Management

- **E1 – Gateway**
 - Enterprise risk management procedure including risk criteria, treatment, and explicit BIA/continuity risk assessment method.
 - Standard templates for risk registers and BIA (critical activities, RTOs, RPOs).
 - Planning guidance that requires documenting opportunities as well as risks.[1]
- **E2 – Enablement**
 - Consolidated risk registers covering strategic, operational, financial, environmental, and continuity risks, with owners and ratings.
 - Completed BIA documentation for in-scope services with current RTO/RPO, dependencies, and last review date.
 - Evidence of periodic reviews updating risk and opportunity entries when services, technology, or context change.[1]
- **E3 – Operational Effect**
 - Prioritised risk treatment plans and continuity strategies that clearly reference underlying risk ratings and BIA outputs.

- Investment, project or resource-allocation decisions that explicitly follow risk and opportunity evaluations.
 - Records of accepted, avoided, transferred, and treated risks with rationale tied to risk appetite.[1]
-

4. Framework, Design & Integration into Operations

- **E1 – Gateway**
 - Integrated management framework document describing QMS/EMS/Risk/BCM processes and interfaces.
 - Map showing integration points between framework processes and core operational and project processes.
 - Defined project/initiative governance and delivery framework (stage gates, roles, decision rights).[1]
 - **E2 – Enablement**
 - Process documentation and templates embedding Q/E/R/BCM requirements (e.g., risk sections, environmental checks).
 - Training records showing operational and project teams briefed on the integrated framework.
 - Configured tools/workflows (e.g., PPM, ERP, ticketing) enforcing required checkpoints and approvals.[1]
 - **E3 – Operational Effect**
 - Samples of projects delivered following defined stage-gates, with required framework artefacts present.
 - Operational records (change requests, incident handling, service design) showing consistent use of the integrated processes.
 - Findings from reviews or audits where deviations were detected, corrected, and led to updates in processes or training.[1]
-

5. Planning, Objectives, Strategies & Change

- **E1 – Gateway**
 - Documented process for setting Q/E/R/BCM objectives and action plans, including risk/opportunity assessment.

- Methodology for developing continuity and recovery strategies (e.g., alternate site, manual workaround, supplier arrangements).
 - Change management procedure requiring assessment of risk, continuity, and environmental impacts.[1]

 - **E2 – Enablement**
 - Objective and action plan register with targets, timelines, responsibilities, and required resources.
 - Documented continuity and recovery strategies tested for feasibility (e.g., technical tests, supplier confirmations).
 - Change templates/forms with mandatory sections for risk, continuity, and environmental assessment.[1]

 - **E3 – Operational Effect**
 - Budget and portfolio decisions demonstrably aligned to agreed objectives and risk-based priorities.
 - Examples where changes were modified, delayed, or rejected due to risk/continuity/environmental assessment outcomes.
 - Procurement, facilities, IT, and workforce plans explicitly guided by continuity strategies (e.g., dual suppliers, resilient networks).[1]
-

6. People, Capability, Culture, Communication & Awareness

- **E1 – Gateway**
 - Role profiles or competency matrices specifying requirements for BCM, Risk, QMS, EMS roles.
 - Training and awareness framework for Q/E/R/BCM (curriculum, frequency, target audiences).
 - Defined communication plan and channels (e.g., intranet, alerts, briefings) with owners.[1]

- **E2 – Enablement**
 - Training records (completion data, refresher schedule) for staff in key and general roles.
 - Knowledge repositories (wikis, guides, playbooks) capturing organisational knowledge for these disciplines.
 - Evidence that messages (e.g., campaigns, tooltips, dashboards) reach intended audiences in a timely, understandable way.[1]

- **E3 – Operational Effect**
 - Observed competence in exercises, incidents, audits, and daily operations (e.g., correct use of risk and BCM tools).
 - Survey or interview results showing risk and BCM awareness outside specialist teams.
 - Behavioural evidence (e.g., proactive risk raising, near-miss reporting, environmental good practices) aligned with desired culture.[1]
-

7. Customers, Markets, Stakeholders & Supply Chain

- **E1 – Gateway**
 - Defined processes for capturing customer/stakeholder requirements and feedback (VOC, complaints, surveys).
 - Supplier/partner onboarding and management procedures including Q/E/R/BCM expectations.
 - Documented continuity and environmental obligations with key suppliers in contracts or SLAs.[1]
 - **E2 – Enablement**
 - Regular customer and supplier performance reports including quality, environmental, risk, and continuity indicators.
 - Controls for critical suppliers (SLAs with penalties, audit programs, contingency clauses).
 - Evidence of market, stakeholder, and supply-chain insights being fed into planning and risk assessments.[1]
 - **E3 – Operational Effect**
 - Records where customer/stakeholder feedback triggered specific improvements or control changes.
 - Documented mitigation actions for critical supplier risks (diversification, alternate suppliers, stockpiles).
 - Joint initiatives or co-designed improvements with key customers/suppliers that measurably improved performance or resilience.[1]
-

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

- **E1 – Gateway**
 - Documented process maps and work instructions for key products/services and critical activities.
 - BCM plans and emergency response procedures for relevant scenarios and locations.
 - Defined design and development process (where applicable) with control points and verification steps.[1]

 - **E2 – Enablement**
 - Role-based, accessible versions of procedures and BCM/emergency plans (e.g., mobile, control-room copies).
 - Contracts or operational procedures referencing relevant BCM and emergency requirements and triggers.
 - Clear assignment of incident/BCM roles, with criteria for activating and escalating plans.[1]

 - **E3 – Operational Effect**
 - Incident and exercise records showing plans and procedures were followed and effective.
 - Evidence of operational and emergency controls preventing or mitigating key risks (KPIs, loss data, safety/environmental metrics).
 - Post-incident/exercise reviews resulting in updates to operational controls, BCM plans, and training.[1]
-

9. Information, Data, Documentation & Digital

- **E1 – Gateway**
 - Documented information management procedure (creation, approval, retention, access) specific to Q/E/R/BCM.
 - Defined data quality standards and ownership for critical data sets.
 - Inventory of digital tools and systems supporting Q/E/R/BCM, with roles and responsibilities.[1]

- **E2 – Enablement**
 - Evidence documents and records are reviewed, approved, version-controlled, and easily retrievable.
 - Configured systems enforcing standard fields, workflows, and reports for Q/E/R/BCM data capture.

- Information security and integrity controls (access profiles, backups, audit logs) for critical information.[1]

- **E3 – Operational Effect**

- Examples where Q/E/R/BCM data and reports are used in operational and strategic decisions.
 - Trend analyses and dashboards used to identify issues, hotspots, and improvement needs.
 - Logs of data/document issues and corrections, including root cause fixes to prevent recurrence.[1]
-

10. Performance Measurement, Monitoring, Exercising & Review

- **E1 – Gateway**

- Defined KPI set and targets for quality, environmental, risk, and BCM performance.
- Documented internal audit and management review program.
- BCM exercising and testing program document specifying objectives, scope, and frequency.
[1]

- **E2 – Enablement**

- Evidence that monitoring, audits, reviews, and exercises occur per plan, with documented outputs and actions.
- Analysis reports that go beyond compliance to examine trends, causes, and exposure.
- Action registers assigning owners and due dates to findings and exercise outcomes.[1]

- **E3 – Operational Effect**

- Traceable examples where monitoring/audit results led to changes in controls, priorities, or strategies.
 - Exercise reports demonstrating realistic scenarios, identified gaps, and resulting updates to BIA, strategies, and plans.
 - Management review minutes showing use of results to steer direction, investment, and risk posture.[1]
-

11. Learning, Improvement, Innovation & Resilience Evolution

- **E1 – Gateway**
 - Procedure for capturing incidents, nonconformities, near misses, and lessons, across Q/E/R/BCM.
 - Mechanisms for collecting improvement and innovation ideas (campaigns, suggestion schemes, retrospectives).
 - Defined root cause analysis and improvement planning method and templates.[1]

- **E2 – Enablement**
 - Register/portfolio of improvement and innovation initiatives with prioritisation criteria.
 - Investigation records showing consistent use of root cause methods where thresholds are met.
 - Action tracking system with ownership, deadlines, and status for improvement items.[1]

- **E3 – Operational Effect**
 - Trend data showing reduction in repeat incidents, nonconformities, or near misses in targeted areas.
 - Case examples where specific improvements measurably enhanced risk, quality, environmental, or continuity outcomes.
 - Evidence that lessons and insights feed back into strategy, frameworks, and capability building (e.g., revised standards, new training).[1]

Sources

[1] Consolidated-Capability-Assessment-Framework-Discussion.pdf