

Management Capability Assessment Report

Site 1

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Total Domains: 11
Overall Maturity: 75.0%

Capability Maturity Heatmap

Filled cell = current maturity level | T = target level

Domain	N Absent	P Ad hoc	L Defined	F Operational	Evidence Strength
Context, Scope, Stakeholders & Strategy				●	Strong
Leadership, Governance, Culture & Accountability				●	Strong
Integrated Risk & Opportunity Management				●	Strong
Framework, Design & Integration into Operations				●	Strong
Planning, Objectives, Strategies & Change				●	Strong
People, Capability, Culture, Communication & Awareness				●	Strong
Customers, Markets, Stakeholders & Supply Chain				●	Strong
Operational Control, Design, BCM Plans & Emergency Response				●	Strong
Information, Data, Documentation & Digital				●	Strong
Performance Measurement, Monitoring, Exercising & Review				●	Strong
Learning, Improvement, Innovation & Resilience Evolution				●	Strong





● N Absent ● P Ad hoc ● L Defined ● F Operational

Assessment Summary

Assessment Statistics

Total Domains	11
Overall Maturity	75.0%
Completion	Complete

Maturity Distribution

N		0% (0)
P		0% (0)
L		0% (0)
F		100% (11)

Domain Overview

Current: F Operational

Target: F Operational

Embedded, consistent, tested, and reviewed

Evidence Questions

#	Question	Answer	Evidence Notes
E1	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)?	YES	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.
E2	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?	YES	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 and stakeholders to scope to objectives.
E3	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?	YES	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.

Current: F Operational

Target: F Operational

Embedded, consistent, tested, and reviewed

Evidence Questions

#	Question	Answer	Evidence Notes
E1	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?	YES	Approved, current policies for Quality, Environment, Risk, BCM; governance structure document such as a RACI or terms of reference defining roles, committees, and escalation paths; Board or Executive-approved risk appetite statement or equivalent criteria.
E2	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?	YES	Forward calendar and minutes of regular Q/E/R/BCM governance forums showing leader attendance; resource plans or budgets explicitly allocating people and funding to these frameworks; leadership communications and recognition mechanisms promoting an open, learning culture.
E3	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?	YES	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 such as walk-throughs or safety/environment dialogues consistent with stated policies and values.

Integrated Risk & Opportunity Management

Current: F Operational

Target: F Operational

Embedded, consistent, tested, and reviewed

Evidence Questions

#	Question	Answer	Evidence Notes
E1	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?	YES	Enterprise risk management procedure including risk criteria, treatment, and explicit BIA/continuity risk assessment method; standard templates for risk registers and BIA covering critical activities, RTOs, and RPOs; planning guidance that requires documenting opportunities as well as risks.
E2	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?	YES	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.
E3	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?	YES	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.

Framework, Design & Integration into Operations

Current: F Operational

Target: F Operational

Embedded, consistent, tested, and reviewed

Evidence Questions

#	Question	Answer	Evidence Notes
E1	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?	YES	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 or initiative governance and delivery framework with stage gates, roles, and decision rights.
E2	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 configured to support application of the integrated framework?	YES	Process documentation and templates embedding Q/E/R/BCM requirements such as risk sections and environmental checks; training records showing operational and project teams briefed on the integrated framework; configured tools or workflows such as PPM, ERP, or ticketing enforcing required checkpoints and approvals.
E3	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 detected and corrected?	YES	Samples of projects delivered following defined stage-gates, with required framework artefacts present; operational records such as change requests, incident handling, and 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.

Current: F Operational

Target: F Operational

Embedded, consistent, tested, and reviewed

Evidence Questions

#	Question	Answer	Evidence Notes
E1	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?	YES	Documented process for setting Q/E/R/BCM objectives and action plans, including risk and opportunity assessment; methodology for developing continuity and recovery strategies such as alternate site, manual workaround, or supplier arrangements; change management procedure requiring assessment of risk, continuity, and environmental impacts.
E2	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?	YES	Objective and action plan register with targets, timelines, responsibilities, and required resources; documented continuity and recovery strategies tested for feasibility such as technical tests or supplier confirmations; change templates or forms with mandatory sections for risk, continuity, and environmental assessment.
E3	Do objectives demonstrably influence organisational priorities and budget allocation, with change decisions altered or rejected due to risk, continuity, or environmental considerations, and are continuity strategies used to guide investments in facilities, IT, suppliers, and people?	YES	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, or environmental assessment outcomes; procurement, facilities, IT, and workforce plans explicitly guided by continuity strategies such as dual suppliers or resilient networks.

Current: F Operational

Target: F Operational

Embedded, consistent, tested, and reviewed

Evidence Questions

#	Question	Answer	Evidence Notes
E1	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?	YES	Role profiles or competency matrices specifying requirements for BCM, Risk, QMS, and EMS roles; training and awareness framework for Q/E/R/BCM including curriculum, frequency, and target audiences; defined communication plan and channels such as intranet, alerts, or briefings with owners.
E2	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?	YES	Training records including completion data and refresher schedule for staff in key and general roles; knowledge repositories such as wikis, guides, or playbooks capturing organisational knowledge for these disciplines; evidence that messages such as campaigns, tooltips, or dashboards reach intended audiences in a timely, understandable way.
E3	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?	YES	Observed competence in exercises, incidents, audits, and daily operations such as correct use of risk and BCM tools; survey or interview results showing risk and BCM awareness outside specialist teams; behavioural evidence such as proactive risk raising, near-miss reporting, and environmental good practices aligned with desired culture.

Customers, Markets, Stakeholders & Supply Chain

Current: F Operational

Target: F Operational

Embedded, consistent, tested, and reviewed

Evidence Questions

#	Question	Answer	Evidence Notes
E1	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?	YES	Defined processes for capturing customer and stakeholder requirements and feedback such as VOC, complaints, or surveys; supplier or partner onboarding and management procedures including Q/E/R/BCM expectations; documented continuity and environmental obligations with key suppliers in contracts or SLAs.
E2	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?	YES	Regular customer and supplier performance reports including quality, environmental, risk, and continuity indicators; controls for critical suppliers such as SLAs with penalties, audit programs, or contingency clauses; evidence of market, stakeholder, and supply-chain insights being fed into planning and risk assessments.
E3	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?	YES	Records where customer or stakeholder feedback triggered specific improvements or control changes; documented mitigation actions for critical supplier risks such as diversification, alternate suppliers, or stockpiles; joint initiatives or co-designed improvements with key customers or suppliers that measurably improved performance or resilience.

Operational Control, Design, BCM Plans & Emergency Response

Current: F Operational

Target: F Operational

Embedded, consistent, tested, and reviewed

Evidence Questions

#	Question	Answer	Evidence Notes
E1	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?	YES	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.
E2	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?	YES	Role-based, accessible versions of procedures and BCM or emergency plans such as mobile or control-room copies; contracts or operational procedures referencing relevant BCM and emergency requirements and triggers; clear assignment of incident and BCM roles, with criteria for activating and escalating plans.
E3	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?	YES	Incident and exercise records showing plans and procedures were followed and effective; evidence of operational and emergency controls preventing or mitigating key risks through KPIs, loss data, or safety/environmental metrics; post-incident or exercise reviews resulting in updates to operational controls, BCM plans, and training.

Current: F Operational

Target: F Operational

Embedded, consistent, tested, and reviewed

Evidence Questions

#	Question	Answer	Evidence Notes
E1	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?	YES	Documented information management procedure covering creation, approval, retention, and 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.
E2	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?	YES	Evidence that 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 such as access profiles, backups, and audit logs for critical information.
E3	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?	YES	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 or document issues and corrections, including root cause fixes to prevent recurrence.

Performance Measurement, Monitoring, Exercising & Review

Current: F Operational

Target: F Operational

Embedded, consistent, tested, and reviewed

Evidence Questions

#	Question	Answer	Evidence Notes
E1	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?	YES	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.
E2	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?	YES	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.
E3	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?	YES	Traceable examples where monitoring or 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.

Current: F Operational

Target: F Operational

Embedded, consistent, tested, and reviewed

Evidence Questions

#	Question	Answer	Evidence Notes
E1	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?	YES	Procedure for capturing incidents, nonconformities, near misses, and lessons across Q/E/R/BCM; mechanisms for collecting improvement and innovation ideas such as campaigns, suggestion schemes, or retrospectives; defined root cause analysis and improvement planning method and templates.
E2	Are investigations and root cause analyses consistently performed where required, with a prioritised portfolio or register of improvement and innovation initiatives, and improvement actions tracked to closure with clear ownership and timelines?	YES	Register or 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.
E3	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?	YES	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 such as revised standards or new training.