Level 3

Establishing a BCMS

| **Focus Area** | **Maturity Level** | **Observations** | **Strengths** | **Weaknesses** | **Gaps** | **Recommendations** |
| --- | --- | --- | --- | --- | --- | --- |
| **Management Commitment** | 3 (Defined) | BCM Steering Committee formally established with regular documented meetings | Clear governance via established committee | Meeting frequency and engagement level may vary | Potential lack of proactive senior management involvement | Enhance senior leadership engagement with BCM committee; schedule regular reviews and updates |
| **BCM Policy** | 3 (Defined) | Approved BCM Policy exists and communicated | Documented policy guides BCM activities | May require periodic review and updates | No formal review schedule noted | Implement a formal BCM policy review cycle aligned with organizational changes |
| **Governance Structure** | 3 (Defined) | Roles and responsibilities clearly defined in Terms of Reference; members formally appointed | Well-documented governance framework | Role clarity may not extend beyond steering committee | Lack of cascading governance responsibilities to other teams | Extend governance clarity to subordinate teams; conduct role clarity workshops |
| **BCM Charter** | 3 (Defined) | Documented and approved BCM Charter in place | Charter sets clear BCM scope and objectives | Awareness of the Charter outside BCM committee may be limited | Need for wider dissemination and awareness campaigns | Communicate BCM Charter widely across the organization and provide training |
| **BCM Manager/Coordinator** | 3 (Defined) | BCM Manager/Coordinator formally appointed with documented roles and responsibilities | Clear accountability assigned | Role may be over-centralized on one individual | Backup or deputy roles may be missing | Develop deputy or backup roles to ensure continuity |
| **BCM Teams** | 3 (Defined) | Business Continuity, Emergency Response, Crisis Management, and Disaster Recovery Teams appointed | Dedicated teams for BCM response | Team members’ BCM training and exercises may vary | Need for regular training and cross-team coordination | Schedule regular BCM training, simulations, and inter-team exercises |
| **BCM Champions** | 3 (Defined) | Champions appointed for each business unit | BCM presence embedded in business units | Champions’ roles and influence may be inconsistent | Lack of standardized roles and performance metrics | Define clear responsibilities and KPIs for BCM Champions |
| **Business Continuity Plan** | 3 (Defined) | Approved Business Continuity Plan exists | Documented and approved plan | May lack full integration with operational procedures | Plan integration and maintenance process needs improvement | Integrate BCP with operational processes; conduct regular plan reviews and updates |
| **BCM Budget** | 3 (Defined) | Specific budget allocated to BCM activities | Financial resources allocated | Budget size and sufficiency not assessed | Potential risk of insufficient funding for all BCM needs | Review and adjust budget annually to align with BCM program requirements |
| **BCM Programme Work Plan** | 3 (Defined) | Programme Work Plan exists to guide implementation | Clear roadmap for BCM implementation | Progress tracking and accountability mechanisms may be weak | Lack of formal project management tools or status reporting | Implement project management tools and regular progress reporting |

Embracing Business Continuity

| **Focus Area** | **Maturity Level** | **Observations** | **Strengths** | **Weaknesses** | **Gaps** | **Recommendations** |
| --- | --- | --- | --- | --- | --- | --- |
| **Management Commitment** | 3 (Defined) | BCM Steering Committee exists with regular meetings documented | Formal governance structure in place | Engagement level and meeting effectiveness may vary | Limited senior leadership involvement outside committee | Increase senior leadership participation; ensure meeting agendas focus on key BCM issues |
| **BCM Awareness & Induction** | 3 (Defined) | BCM awareness campaigns have been conducted and included in employee inductions | Awareness is raised across employees through campaigns | Awareness depth and frequency may be inconsistent | No formal refresher or ongoing awareness program | Develop ongoing BCM awareness and refresher campaigns; integrate BCM into continuous learning |
| **Competence and Skills** | 3 (Defined) | Key role players have received BCM training; training effectiveness is assessed | Training records maintained; feedback and assessments used | Possible variation in training quality and follow-up | Lack of tailored training for different BCM roles | Implement role-specific training modules; enhance follow-up and skill validation |
| **Training & Awareness Budget** | 3 (Defined) | Budget allocated specifically for BCM training and awareness | Financial resources dedicated to training | Budget size and utilization effectiveness not fully evaluated | Budget may be insufficient for expanded or specialized training | Conduct annual budget reviews; adjust allocation based on training needs and program outcomes |

Analysis

| **Focus Area** | **Maturity Level** | **Observations** | **Strengths** | **Weaknesses** | **Gaps** | **Recommendations** |
| --- | --- | --- | --- | --- | --- | --- |
| **Business Impact Analysis (BIA)** | 3 (Defined) | Key critical business activities identified; detailed impact analysis performed; RTOs and RPOs documented | Clear identification and prioritization of critical activities; recovery objectives set | BIA process may not be fully integrated across all departments | Potential lack of regular BIA updates and validation | Schedule regular BIA reviews and updates to reflect organizational and environmental changes |
| **Risk Assessment** | 3 (Defined) | Detailed risk assessment performed including BCM-related risks | Comprehensive BCM risk profile established | Risk assessments may lack linkage to mitigation action plans | Insufficient communication of risk findings to stakeholders | Strengthen integration of risk assessments with mitigation strategies and stakeholder communication |

Solutions Design

| **Focus Area** | **Maturity Level** | **Observations** | **Strengths** | **Weaknesses** | **Gaps** | **Recommendations** |
| --- | --- | --- | --- | --- | --- | --- |
| **Business Continuity Strategy Development** | 3 (Defined) | Business continuity strategies for critical activities have been identified and documented | Strategies are based on BIA and risk assessment outcomes | Strategies may not fully consider evolving business needs | Periodic review and alignment with changing business context | Establish a formal review cycle for strategies to keep them aligned with organizational changes |
|  |  | BIA and BCM risk assessment outcomes used as basis for strategy selection | Integration of analysis outputs into strategy formulation | Documentation may lack detail on strategy rationale | Greater clarity needed on strategy prioritization criteria | Enhance documentation to clearly link strategies to risk and impact assessments |
|  |  | Tactics evaluated against resource and service-level requirements | Tactical plans address critical resource and service needs | Evaluation processes may not include all key stakeholders | Stakeholder involvement in evaluation could be strengthened | Broaden stakeholder participation in solution evaluation and selection |
| **Solution Implementation Planning** | 3 (Defined) | Funded projects exist for implementing business continuity solutions | Financial and resource commitment demonstrated | Project scope and timelines may be loosely defined | Need for tighter project governance and tracking | Implement project management controls and regular progress reporting |

Enabling Solutions

| **Focus Area** | **Maturity Level** | **Observations** | **Strengths** | **Weaknesses** | **Gaps** | **Recommendations** |
| --- | --- | --- | --- | --- | --- | --- |
| **Incident Response** | 3 (Defined) | Documented incident response structure is in place | Clear incident response roles and procedures documented | May lack full organization-wide awareness or testing | Incident response exercises and communication could be improved | Conduct regular incident response drills and increase awareness campaigns |
| **Business Continuity Plan (BCP)** | 3 (Defined) | Approved and up-to-date Business Continuity Plan exists | Documented BCP guides continuity activities | Integration with operational processes may be limited | BCP testing and maintenance cycles may be irregular | Establish formal BCP testing schedule and integrate with daily operations |
| **Emergency Response Plan (ERP)** | 3 (Defined) | Emergency Response Plan documented and accessible | ERP covers immediate response requirements | ERP may not cover all possible emergency scenarios | Scenario coverage and plan updates could be enhanced | Expand ERP scope to cover diverse emergencies; update plans regularly |
| **Disaster Recovery Plan (DRP)** | 3 (Defined) | Approved Disaster Recovery Plan for IT services | IT service recovery objectives and procedures documented | DRP testing frequency and scope may be limited | DRP exercises and alignment with IT changes require attention | Increase frequency of DRP tests; align DRP with evolving IT infrastructure |
| **Crisis Management Plan (CMP)** | 3 (Defined) | Documented Crisis Management Plan exists | Crisis roles, communication, and escalation procedures defined | Crisis management team training and exercises may be limited | Team readiness and scenario-based training require strengthening | Conduct regular crisis management simulations and training |
| **Pandemic Response Plan** | 3 (Defined) | COVID-19 or equivalent pandemic response plan documented | Pandemic response incorporated into BCM framework | Plan updates reflecting latest health guidance may be needed | Continuous monitoring and plan refreshment lacking | Regularly review and update pandemic response plan based on evolving health advisories |

Validation

| **Focus Area** | **Maturity Level** | **Observations** | **Strengths** | **Weaknesses** | **Gaps** | **Recommendations** |
| --- | --- | --- | --- | --- | --- | --- |
| **Exercising and Testing** | 3 (Defined) | An established and documented programme for exercising and testing BCM arrangements exists | Formal testing schedule and documented exercises | Testing scope and frequency may vary across BCM components | Limited integration of test results into continuous improvement | Enhance the scope and frequency of exercises; establish mechanisms to capture and act on lessons learned |
| **Review and Assurance** | 3 (Defined) | BCM arrangements reviewed through internal audit, self-assessment, or external audit within 12 months | Periodic reviews provide oversight and assurance | Reviews may lack depth or follow-up on identified issues | Inconsistent implementation of audit recommendations | Strengthen follow-up processes to ensure audit findings are addressed promptly |