

ACI Global Self-Assessment Tool

Based on ISO 9004:2018

Self-Assessment Date – May 2021

Introduction

This assessment tool (based on the ISO 9004:2018 International Standard) provides guidance for ACI Global to achieve sustained success in Certification to ISO 21001:2018 and guidance with ISO 26000:2010 and the Global Reporting Initiatives (GRI) Corporate Social Responsibility and Sustainability.

While ACI Global conforms to ISO 9001:2015, 14001:2015, 45001:2018 and 27001:2013 this also focuses on providing confidence in its products and services, looking after the environment and ensuring an organisation looks after its people and protects all of its information this document focuses on providing confidence in ACI Global's ability to achieve sustained success.

ACI Global firmly believes that the Leadership of an organisation must focus on the organisation's ability to meet the needs and expectations of customers and other relevant interested parties so as to provide confidence in achieving sustained success. This Assessment tool based on ISO 9004:2018 addresses the systematic improvement of ACI Global's overall performance. It includes the planning, implementation, analysis, evaluation and improvement of an effective and efficient business management system having the following ISO Standards:

ISO 26000:2010 and ISO 22301:2019 – In guidance to and embracing the following standards

ISO 9001:2015 – Conforms;
ISO 21001:2018 – Certified;
ISO 14001:2015 – Conforms;
ISO 45001:2018 – Conforms;
ISO 27001:2013 – Conforms;
ISO 31000:2018 – Conforms;
ISO 55000 Suite – Conforms;
ISO 44001:2017 – Conforms.

It is important to note factors affecting ACI Global's success, continually emerge, evolve, increase or diminish over the years, and adapting to these changes is important for sustained success. Examples include social responsibility, environmental and cultural factors, in addition to those that might have been previously considered, such as efficiency, quality and agility; taken together, these factors are part of the organisation's context.

The ability to achieve sustained success is enhanced by Leaders at all levels of ACI Global, learning about and understanding the organisation’s evolving context. Improvement and innovation also support sustained success based on an organisations Values and Culture.

This document promotes self-assessment and provides a self-assessment tool for reviewing the extent to which the organisation has adopted the concepts in this ISO 9004:2018 Standard.

A representation of the structure of ISO 9004:2018, incorporating the elements essential to achieve sustained success of an organisation as covered in this assessment tool, is presented in Figure 1.

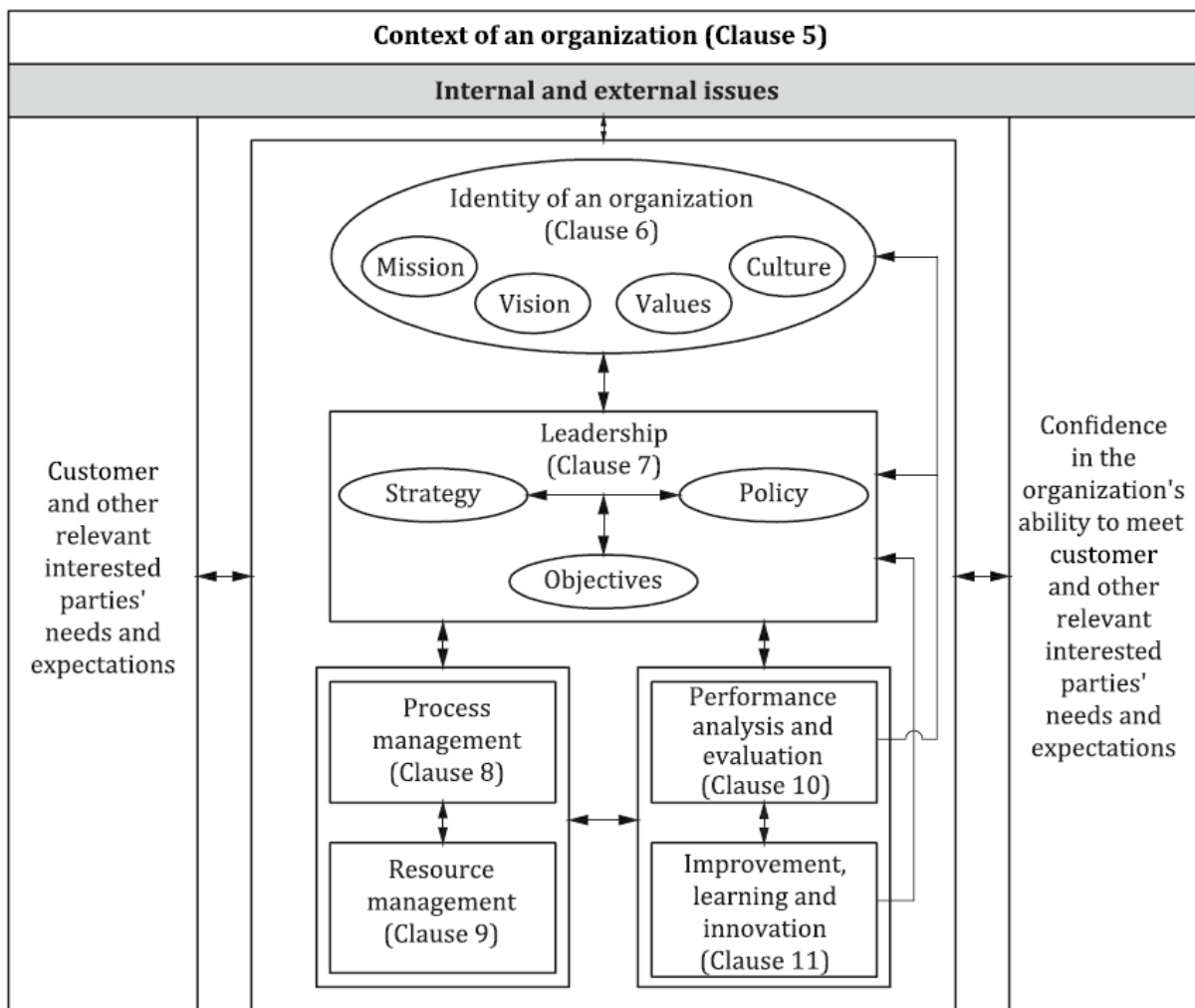


Figure 1 (ISO 9004:2018)

Quality of an organisation and sustained success

Quality of an organisation

The quality of an organisation is the degree to which the inherent characteristics of the organisation fulfils the needs and expectations of its customers and other interested parties, in order to achieve sustained success. It is up to the organisation to determine what is relevant to achieve sustained success.

The organisation should go beyond the quality of its products and services and the needs and expectations of its customers. To achieve sustained success, the organisation should focus on anticipating and meeting the needs and expectations of its interested parties, with the intent of enhancing their satisfaction and overall experience.

The organisation should apply all of the quality management principles (see ISO 9000:2015) to achieve sustained success. Particular attention should be given to the principles of “customer focus” and “relationship management” to meet the different needs and expectations of interested parties.

The needs and expectations of individual interested parties can be different, aligned to, or in conflict with those of other interested parties, or can change quickly. The means by which the needs and expectations of interested parties are expressed and met can take a wide variety of forms, for example co-operation, negotiation, outsourcing, or by terminating an activity; consequently, the organisation should give consideration to the interrelationships of its interested parties when addressing their needs and expectations.

The composition of interested parties can differ significantly over time and between organisations, industries, cultures and nations; the following Figure 2 provides examples of interested parties and their needs and expectations.

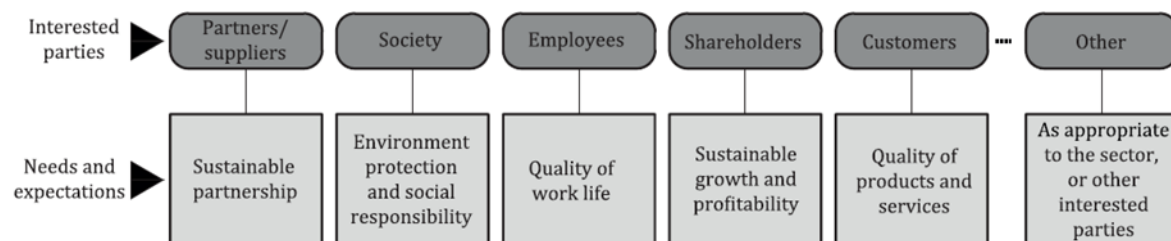


Figure 2 (ISO 9004:2018)

Managing for the sustained success of an organisation

The quality of an organisation is enhanced and sustained success in accordance to the organisations “Values and Culture” can be achieved by consistently meeting the needs and expectations of its interested parties over the long term. Short- and medium-term objectives based on an organisations Mission and Vision or its Capability Statement should support this long-term strategy.

As the context of an organisation will be ever-changing, to achieve sustained success the Leadership Team should:

- a) regularly monitor, analyse, evaluate and review the organisation’s context in order to identify all interested parties, determine their needs and expectations and their individual potential impacts on the organisation’s performance;
- b) determine, implement and communicate the organisation’s mission, vision, values, and promote an aligned culture;

- c) determine short- and long-term risks and opportunities;
- d) determine, implement and communicate the organisation's policies, strategy and objectives;
- e) determine the relevant processes and manage them so that they function within a coherent system;
- f) manage the organisation's resources to enable its processes to achieve their intended results;
- g) monitor, analyse, evaluate and review the organisation's performance;
- h) establish a process for improvement, learning and innovation in order to support the organisation's ability to respond to changes in the context of the organisation.

Consideration of the needs and expectations of interested parties can enable the organisation:

- a) to achieve objectives effectively and efficiently;
- b) to eliminate conflicting responsibilities and relationships;
- c) to harmonise and optimise practices including the health and wellbeing of its people;
- d) to create consistency;
- e) to improve communication;
- f) to facilitate training, learning, personal development and capability and maturity;
- g) to facilitate focus on the most important characteristics of the organisation;
- h) to manage risks and opportunities to its brand or reputation;
- i) to acquire and share knowledge.

Key Business Processes to be assessed

1 - Context of the Organisation

2 - Identity of the organisation

3 - Leadership

4 - Process Management

5 – Resource Management

6 – Analysis and evaluation of the organisation's performance

7 – Improvement, Learning and innovation

Self-assessment tool - explained

Self-assessment will provide an overall view of the performance of your organisation and the degree of maturity of its business management system. It will help to identify areas for improvement and/or innovation and to determine priorities for subsequent actions.

Whilst you will continue to undertake Audits to determine the extent to which, for example, requirements related to a business management system are fulfilled (against a defined standard, or your organisation's own strategic plans and or criteria). Your audit findings will continue to be used to assess the effectiveness of, your business management system, and to continue to identify risks and opportunities for improvement.

For Business best practice you should use self-assessment to identify improvement and innovation opportunities, set priorities and establish action plans, with the objective of sustained and ethical success. The output of self-assessment will show strengths and weaknesses, the related risks and opportunities for improvement, the maturity level of your organisation and, when repeated, the organisation's accelerating continuous improvement and progress over time.

The results of your organisation's self-assessments will be a valuable input into management "Business" reviews. Self-assessment will also provide the potential for it to be used as a learning tool, which can provide an improved overview of your organisation, promote the involvement of interested parties and support the overall planning activities of the organisation.

The self-assessment tool is based on the guidance detailed in ISO 9004:2018 and provides a framework for accelerating continuous improvement (ACI). It can be used as given, or it can be customised to suit.

Maturity model

A mature organisation performs effectively and efficiently and achieves sustained success by:

- a) understanding and satisfying the needs and expectations of interested parties;
- b) monitoring changes in the context of the organisation;
- c) identifying possible areas for improvement, learning, capability and innovation;
- d) defining and deploying policies, strategy and objectives;
- e) managing its processes and resources;
- f) demonstrating confidence in its people, leading to increased engagement;
- g) establishing beneficial relationships with interested parties, such as external providers and other partners.

This self-assessment tool uses five maturity levels as outlined in ISO 9004:2018, which can be extended to include additional levels or otherwise customised as needed.

The following table (A1) gives a generic framework for setting out how performance criteria can be related to the levels of maturity in a tabular format. The organisation should review its performance against the specified criteria, identify its current maturity levels, and determine its strengths and weaknesses and the related risks and opportunities for improvement.

The criteria given for the higher levels can help the organisation to understand the issues it needs to consider and to determine the improvements needed to reach higher levels of maturity.

Maturity level towards sustained success					
Key element	Level 1	Level 2	Level 3	Level 4	Level 5
Element 1	Criteria 1 Base level				Criteria 1 Best practice
Element 2	Criteria 2 Base level				Criteria 2 Best practice
Element 3	Criteria 3 Base level				Criteria 3 Best practice

Table A1 (ISO 9004:2018)

Self-assessment

This self-assessment (Based on ISO 9004:2018) is intended to be performed by process owners and team leaders at all levels within the organisation to obtain an in-depth overview of the organisation and its current performance.

The elements or processes of this self-assessment are contained in Tables A.2 to A.32 and relate to the subclauses of ISO 9004:2018; however, the organisation can define additional or different criteria to fulfil its own specific needs. If appropriate, the self-assessment can be limited to any of the tables in isolation.

Using the self-assessment tools

The purposes of a step-by-step methodology for an organisation to conduct a self-assessment are:

a) to define the scope of the self-assessment in terms of the parts of the organisation to be assessed and the type of the assessment, such as:

- 1) a self-assessment of key elements or processes of the organisation based on ISO 9004:2018 or the organisations own strategic plans or criteria;
- 2) a self-assessment of detailed elements or processes, based on ISO 9004:2018 or the organisations own strategic plans or criteria;
- 3) a self-assessment of detailed elements or processes, based on ISO 9004:2018 with additional or new criteria or levels as suits;

b) to identify who will be responsible for the self-assessment and when it will be carried out;

c) to determine how the self-assessment will be carried out, either by a team (cross-functional or other appropriate team) or by individuals (the appointment of a facilitator or mentor can assist the process);

d) to identify the maturity level for each of the organisation's individual processes, which should be done by:

1) comparing the present situation in the organisation to the scenarios that are listed in the tables;

2) marking the elements or processes that the organisation is already applying, i.e. start at level 1 and build on progress, to attain maturity level 5 by incorporating the criteria identified in levels 3 and 4;

3) establishing the current maturity level;

e) to consolidate the results into a report, which this provides a record of progress over time and can facilitate the communication of information, both externally and internally (the use of graphics in such a report can aid the communication of the results);

f) to assess the current performance of the organisation's processes and identify areas for improvement and/or innovation (these opportunities should be identified through the self-assessment process and an action plan developed as a result of the assessment).

An organisation can be at different maturity levels for the different elements or processes. A review of the gaps can help the leadership team in planning and prioritising the improvement and/or innovation activities needed to move individual elements or processes to a higher level.

The completion of a self-assessment should result in an action plan for improvement and/or innovation that should be used as an input to the Leadership Team for planning and review, based on the elements or processes of your organisation.

The information gained from the self-assessment can also be used:

a) to stimulate comparisons and share learning throughout the organisation (the comparisons can be between the organisation's processes and, where applicable, between its different units);

b) to benchmark with other organisations;

c) to monitor progress of the organisation over time, by conducting periodic self-assessments.

Following the reviews, the organisation should assign responsibilities for the chosen actions, estimate and provide the resources needed, and determine the expected benefits and any perceived risks associated with them.

Table A.2 9004:2018 — Self-assessment of the detailed elements of [5.2](#)

Subclause	Maturity level		Conclusion		
	Level	Item ^a	YES	Results/comment ^b	
5.2 Relevant interested parties	1	The interested parties are determined, including their needs and expectations and whether the associated risks and opportunities are informal or ad hoc.			
	2	Processes to meet the needs of some interested parties are established.			
		Ongoing relationships with interested parties are established as informal or ad hoc.			
	3	Processes for determining which interested parties including employees are relevant are in place.			
		Processes for determining the relevance of interested parties include consideration of those that are a risk to sustained success if their needs and expectations are not met and those that can provide opportunities to enhance sustained success.			
		The needs and expectations of the relevant interested parties including employees are identified.			
		Processes to fulfil the needs and expectations of the interested parties including employees are established.			
	4	Processes for assessing the relevance of the needs and expectations for relevant interested parties including employees are in place and are used to determine which ones need to be addressed.			
		The needs and expectations of key interested parties including employees are addressed and reviewed such that improved performance, common understanding of objectives and values, and enhanced stability have been realized in some of these ongoing relationships.			
	5	Processes and relationships with relevant interested parties including employees are fulfilled according to the relevant needs and expectations determined. This has been done as part of understanding the benefits, risks and opportunities of ongoing relationships.	Yes		Audit May 2021
		The needs and expectations of all relevant interested parties including interested parties are addressed, analysed, evaluated and reviewed, such that there is improved and sustained performance, common understanding of objectives and values, and enhanced stability, including recognition of the benefits derived from these ongoing relationships.			
	(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.					

Table A.3 — Self-assessment of the detailed elements of 5.3

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
5.3 External and internal issues	1	Processes for determining and addressing external and internal issues are informal or ad hoc.		Audit May 2021
	2	Processes for determining and addressing issues are in place.		
		The risks and opportunities related to the issues identified are determined as informal or ad hoc.		
	3	Processes to determine internal issues that can affect the organisation's ability to achieve sustained success are identified.		
		Processes to determine external issues that can affect the organisation's ability to achieve sustained success are identified.		
	4	External and internal issues are determined and show consideration for factors such as statutory, regulatory and sector specific requirements, globalisation, innovation, activities and associated processes, strategy and levels of competence and organisational knowledge.		
		Risks and opportunities are determined and show consideration for information from the organisation's past and its current situation.		
		Processes to address issues considered to be risks to sustained success, or opportunities to enhance sustained success, are established, implemented and maintained.	Yes	
	5	Processes for the ongoing monitoring, reviewing and evaluation of external and internal issues are established, implemented and maintained, with actions arising from this process acted on.		
	(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.			
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.4 — Self-assessment of the detailed elements of [6.2](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
6.2 Mission, vision, values and culture	1	Processes for determining the identity of the organisation, along with the establishment of mission, vision, values and culture, are informal or ad hoc.		Audit May 2021
	2	A basic understanding of the organisation’s mission, vision and values exists.		
		An understanding of the current culture, and whether there is a need to change it, is informal or ad hoc.		
	3	The Leadership Team is involved in determining the mission, vision and values, based on processes that account for the definition and sustainment of the context of the organisation in relation to its defined identity.		
		An understanding of the current culture, along with a process for considering the need for a change to that culture, is in place.		
		Changes to the organisation’s identity are communicated informally to perceived interested parties.		
	4	The organisation’s culture is aligned with its mission, vision and values.		
		A clearly defined understanding of the current culture, along with a process for considering the need for a change to that culture, is implemented and maintained.		
		The strategic direction of the organisation and its policy are aligned with its mission, vision, values and culture.		
		Changes to any of these identity elements are communicated within the organisation and to its interested parties, as appropriate.	Yes	
	5	A process for reviewing these elements at planned intervals by the Leadership Team is well established and maintained. This includes consideration of external and internal issues as part of the verification of alignment between the elements of the identity of the organisation, its context, its strategic direction and its policy.		

(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.

(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.

Table A.5 — Self-assessment of the detailed elements of [7.1](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
7.1 Leadership — General	1	Processes for defining, maintaining and communicating the leadership’s vision, mission and values, and for promoting an internal environment in which people are engaged and committed to the achievement of the organisation’s objectives are carried out in an informal or ad hoc manner.		Audit May 2021
	2	Key processes, such as those related to establishing the organisation’s identity, a culture of trust, health and wellbeing, integrity and teamwork, the necessary resources, training and authority to act ensuring behavioural attributes are defined, and supporting leadership development, are determined.		
		Only some interrelationships between leadership and commitment, including the maintenance of a competitive organisational structure, maintaining unity of purpose and direction, and reinforcement of values and expectations are determined.		
	3	Processes and the interactions of activities related to the organisation’s identity, health & wellbeing of its people, cultural aspects, the provision of resources, training, the authority to act and behavioural factors are accounted for.		
		A competitive organisational structure and unity of purpose are established.		
		Values and expectations are established and communicated.		
		Leadership development is defined.		
		Processes to maintain the culture and promote accountability are acted on.		
		Maintenance of the organisational structure, health and wellbeing of its people and unity of purpose in relation to the context of the organisation, personally and/or regularly reinforcing values and expectations, are included in process determination.		
	4	Processes and their interactions are systematically determined in such a way that outputs and outcomes are concise and create an internal environment in which people are engaged and committed to the achievement of the organisation’s objectives, and in a way that promotes understanding of a healthy workplace and supports the organisation’s ability to achieve sustained success.		
		All relevant factors and their interrelationships are considered in process determination.	Yes	
	5	Processes and the interactions of leadership with all levels of the organisation are dynamically determined and used to establish and sustain the success of the organisation.		

(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.

(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.

Table A.6 — Self-assessment of the detailed elements of [7.2](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
7.2 Policy and strategy	1	Processes for determining the organisation's policy and strategy are done in an informal or ad hoc manner.		Audit May 2021
	2	The policy and strategy, and the basic strategy framework, are determined.		
	3	Processes and the interactions related to the policy, strategy and legal compliance are defined to address all applicable effects, hazards, aspects, risk models and factors.		
		The organisation's identity, the context of the organisation and long-term perspective, a competitive profile and consideration of competitive factors are determined in accordance to their risk profile.		
		The policy and strategy, legal compliance and risk appetite decisions are reviewed for continuing suitability and changed as deemed necessary by the leadership team.		
	4	Processes and their interactions are systematically determined to ensure the policy, strategy and legal compliance provide a comprehensive framework for process management, to support deployment and facilitate changes, as well as to effectively account for applicable effects, hazards, aspects and risk factors.		
		The processes for maintaining a standardised or custom model for a strategy, legal compliance and risk framework and the policy are determined and address and aid in the mitigation of risks, while taking advantage of opportunities.	Yes	
	5	Processes and the relationships between the policy and strategic direction are dynamically determined, with all applicable effects, hazards, aspects, and Risk factors accounted for, such that a comprehensive business continuity framework exists to support the establishment, maintenance and managing of processes.		
The needs of all interested parties including regulators are addressed and the policy and business continuity strategy are utilized to manage the business in a comprehensive and sustainable way.				

(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.

(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.

Table A.7 — Self-assessment of the detailed elements of [7.3](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
7.3 Objectives	1	Processes for determining the organisation’s objectives are done in an informal or ad hoc manner.		Audit May 2021
		Only the short-term objectives are defined.		
	2	Processes for determining the objectives are defined and the objectives show some interrelationship with policy, strategy and legal, regulatory and statutory requirements.		
		The objectives are quantifiable, where possible, but are not clearly understood.		
		Processes and the interactions of short- and long-term objectives with the policy and strategy are defined, including the ability to demonstrate leadership, accountability and commitment outside the organisation.		
	3	Processes for defining, maintaining and deploying the objectives, including the relationship with the policy and strategy and legal obligations, are in place and maintained, including the need to establish clearly understood and quantifiable short and long-term objectives that also demonstrate leadership and commitment outside the organisation.		
		The short- and long-term objectives are defined, and the relationship with the policy and strategy is evident.	Yes	
	4	Processes and the relationship between the policy, strategy, legal and legislative obligations, chain of responsibility and the demonstrated leadership and commitment both inside outside the organisation are dynamically determined and maintained.	Yes	
	5	Short- and long-term objectives are quantifiable, clearly understood, deployed and updated to maintain the relationship with the policy, strategy, legal and legislative compliance such that the Leadership teams empowerment and commitment are demonstrated both internally and outside the organisation.		
	(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.			
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.8 — Self-assessment of the detailed elements of [7.4](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
7.4 Communication, Consultation & Participation of workers	1	The processes for communicating the policy, strategy and objectives including consultation and Participation are done in an informal or ad hoc manner.		Audit May 2021
	2	The processes for determining the types and degree of communication, consultation & participation is needed are defined.		
	3	Communication, Consultation and Participation processes are defined and facilitate meaningful, timely and continual communication tailored to the differing needs of recipients, as it relates to the policy, strategy and relevant objectives.		
		The interrelationships of this communication, Consultation & Participation process are clear with regard to the differing needs of recipients and how the policy, strategy and relevant objectives are used to aid in the sustained success of the organisation.		
		A feedback mechanism is in place and incorporates provisions to proactively address changes resulting from Communication, Consultation & Participation in the organisation's context.		
	4	The communication, Consultation & Participation processes systematically facilitate communication, consultation & Participation regarding the policy, strategy and objectives to all relevant interested parties, in support of the organisation's sustained success, while also accounting for the need to apply additional resources or plan changes to activities when change is required and realised.		
		Communication, Consultation & Participation methods show a direct relationship to the context of the organisation and its stakeholders and the feedback mechanism is well defined and effectively deployed.	Yes	
	5	The processes for communicating the policy, strategy and objectives are dynamic, with the interrelationships of the policy, strategy and objectives being clearly conveyed to all recipients, such that the differing needs of each are accounted for.		

(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.

(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.

Table A.9 — Self-assessment of the detailed elements of [8.1](#)

Subclause	Maturity level		Conclusion			
	Level	Item ^a	YES	Results/comment ^b		
8.1 Process management — General	1	Processes are managed in an informal or ad hoc manner.		Audit May 2021		
	2	Key processes, such as those relating to legal and legislative requirements, customer satisfaction, health and wellbeing of employees and operations related to product and service, are managed.				
		The effectiveness of the processes is individually measured and acted upon. Interactions between processes are not well managed.				
	3	Processes and their interactions are managed as a system. Interaction conflicts between processes are identified and resolved in a systematic way.				
		Processes are delivering predictable results.				
		Process performance has reached that of average organisations in the sector where the organisation operates.				
	4	Process management is integrated with the deployment of the organisation's policies, strategy and objectives.				
		The effectiveness and efficiency of processes and their interactions are systematically reviewed and improved.				
		Process performance has exceeded that of average organisations in the sector where the organisation operates.				
	5	All relevant processes and their interactions are pro-actively managed, including outsourced processes, to ensure that they are effective and efficient, in order to achieve the organisation's policies, strategy and objectives.	Yes			
		Processes and their interactions are adapted and optimized to the context of the organisation.				
		Process performance has reached that of leading organisations in the sector where the organisation operates.				
	(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.					
	(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.					

Table A.10 — Self-assessment of the detailed elements of [8.2](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
8.2 Determination of processes	1	Processes are determined in an informal or ad hoc manner.		Audit May 2021
	2	Key processes, such as those relating to customer satisfaction, resulting from effects, hazards and aspects and operations related to product and service and risks are determined.		
		Interactions between processes are not well determined.		
	3	Processes and their interactions are determined to address not only operations related to product and service including effects, hazards and aspects, but also provision of resources and managerial activities (e.g. planning, measuring, analysis, improvement).		
		The needs and expectations of identified interested parties including employees are used as inputs into process determination of effects, hazards and aspects.		
	4	Processes and their interactions are systematically determined to ensure that their outputs including the health and wellbeing of employees continue to meet the needs and expectations of the organisations, customers and other interested parties.		
		All interested parties including employees are considered in process determination.	Yes	
	5	Processes and their interactions are determined and changed flexibly according to the organisation's policies, strategy and objectives.		

(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.

(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.

Table A.11 — Self-assessment of the detailed elements of 8.3

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
8.3 Process responsibility and authority	1	Process responsibilities are defined in an informal or ad hoc manner.		Audit May 2021
	2	A process owner is appointed for each process.		
		The competences and capabilities required for the people associated with the individual processes are not defined.		
	3	For each process, a process owner is appointed, who has defined responsibilities and authorities to establish, maintain, control and improve the process.		
		A policy to avoid and resolve potential disputes in managing processes exists.		
		The competences and capabilities required for process owners are defined.		
	4	A process owner is appointed for each process, with sufficient responsibility, authority, competence and capability to establish, maintain, control and improve the process and its interaction with other processes.		
		The competences required for the people associated with individual processes are well defined and continually improved.		
	5	Responsibilities, authorities and roles of process owners are recognized throughout the organisation.	Yes	
		Responsibilities and authorities for interactions between processes are well defined.		
		The people associated with individual processes have sufficient competences and capabilities for the tasks and activities involved.		
	(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.			
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.12 — Self-assessment of the detailed elements of 8.4 (alignment/linkage)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
8.4 Managing processes (managing alignment/linkage between the processes)	1	Processes are aligned and linked in an informal or ad hoc manner.		Audit May 2021
	2	Alignment/linkage between processes is discussed but major concerns of managers are on individual processes.		
	3	The network of processes, their sequence and interactions are visualized in a graphic to understand the roles of each process in the system and its effects on the performance of the system.		
		Processes and their interactions are managed as a system to enhance alignment/linkage between the processes.		
	4	Criteria for the outputs of processes are determined. The capability and performance of processes are evaluated and improved.		
		The risks and opportunities associated with processes are assessed and necessary actions are implemented to prevent, detect or mitigate undesired events.		
		Processes and their interactions are reviewed on a regular basis and suitable actions are taken for their improvement to support sustained and effective processes.		
	5	The capability and performance of processes are sufficient to effectively and efficiently achieve the performance expected by the system.	Yes	
		Cross-functional teams or committees under top management's leadership facilitate their review and improvement of the processes.		
	(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.			
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.13 — Self-assessment of the detailed elements of [8.4](#) (attaining a higher level of performance)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
8.4 Managing processes (attaining a higher level of performance)	1	Processes and their interactions are improved in an informal or ad hoc manner.		Audit May 2021
	2	Improvement of processes and their interactions are loosely related with the organisation's policies, strategy and objectives.		
	3	Processes and their interactions are improved based on the organisation's policies, strategy and objectives.		
		The achievement of the objectives for improvement of processes and their interactions are reviewed on a regular basis.		
	4	Processes and their interactions are systematically improved to achieve the organisation's policies, strategy and objectives.		
		The action plans for attaining the objectives are determined, taking into account the resources needed and their availability.		
		People are motivated to engage in the improvement activities and propose opportunities for improvement in the processes for which they are in charge.		
	5	Improvement of processes and their interaction are dynamically managed through the organisation's policies, strategy and objectives.		
		The need to develop or acquire new technologies, or develop new products and services or their features, for added value, are considered.	Yes	
		The achievement of the objectives for improvement, the progress of the action plans, and the effects on the related organisation's policies, strategy and objectives are reviewed on a regular basis, and necessary corrective actions are taken.		
(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.14 — Self-assessment of the detailed elements of 8.4 (maintaining the level)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
8.4 Managing processes (maintaining the level attained)	1	Processes and their interactions are operated in an informal or ad hoc manner.		Audit May 2021
	2	Procedures are determined for relevant processes but not well followed.		
		Deviations are no concern of process owners.		
	3	Procedures are determined for each process, including the criteria for its outputs and operational conditions.		
		Consideration is given to education and training.		
		Managers take necessary corrective actions when the procedures are not followed.		
		Resources necessary for people to follow the procedures are made available.		
		Processes are monitored on a regular basis to detect deviations.		
	4	Procedures ensure conformance of the outputs to the criteria.		
		People have sufficient knowledge and skills to follow the procedures and understand the impacts of not following the procedures.		
		Consideration is given to motivation and human error prevention.	Yes	
		Check points and related performance indicators are determined to detect deviations (which are mainly caused by changes in people, equipment, methods, material, measurement and environment for operation of processes) and to take appropriate actions when necessary.		
	5	A system for determining the knowledge and skills needed for each process, evaluating the knowledge and skills of the process operators and, providing qualifications for operating the process is established.	Yes	
		People are engaged in the development or revision of the procedures.		
		Risks and opportunities in the procedures are identified, assessed and reduced by improving the procedures.		
		Changes in processes are clarified and shared to prevent deviations.		

(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.

(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.

Table A.15 — Self-assessment of the detailed elements of [9.1](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
9.1 Resource management — General	1	Processes to manage the resources to support the operation in an organisation are performed in an informal and ad hoc manner.		Audit May 2021
		Some of the resource management processes to support the achievement of objectives are determined.		
	2	Support for the effective and efficient use of resources is defined in a limited manner.		
		A basic approach for considering risks and opportunities, including the effects of not having sufficient resources in a timely manner, is in place.		
		Key processes to determine and manage the resources needed for the achievement of its objectives are determined.		
		The efficient and effective uses of resources are not well defined.		
		Resource management processes and the interactions for getting and assigning resources, aligned with the organisational objectives, are present.		
	3	Some processes include an approach for effectively and efficiently applying resources.		
		Resource management processes and the interactions for getting and assigning resources, aligned with the organisational objectives, are systematically implemented.		
	4	Controls to support the effective and efficient use of resources in all processes are established.	Yes	
		The accessibility of externally provided resources is confirmed by the organisation.		
		External providers are encouraged by the organisation to implement improvements on the efficient and effective use of resources.		
		A strategic planning process for getting and assigning resources is in place and is aligned with the organisational objectives in order to achieve effective and efficient performance in support of the sustained success.		
	5	The use of externally provided resources shows continual improvement.		
		There are joint initiatives with external providers to evaluate and incorporate improvements and promote innovations on the use of resources.		
	<p>(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.</p> <p>(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.</p>			

Table A.16 — Self-assessment of the detailed elements of [9.2](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
9.2 People	1	Competent, engaged, empowered and motivated people are considered to be a resource in an informal or ad hoc manner.		
		Competence development is provided in an informal or ad hoc manner.		
	2	Processes to attract competent, engaged, empowered and motivated people are implemented.		
		Processes for determining, developing, evaluating and improving resources are evident in some cases.		
		Some competence reviews have been implemented.		
	3	A planned, transparent, ethical and socially responsible approach is applied at all levels throughout the organisation.		
		Reviews and evaluations of the effectiveness of actions taken ensure the personal competences and capability (in both the short and long term) are in accordance with the mission, vision and objectives.		
	4	Information, knowledge and experience are shared to provide personal growth.		
		Learning, knowledge transfer, teamwork and empowerment within the organisation are evident.		
		Competence development is provided to develop skills and capability for creativity and improvement.		
		People are aware of their personal competences and capabilities and where they can best contribute to the organisation's improvement.		
		Career planning is well developed.	Yes	
	5	The results achieved for competent, engaged, empowered and motivated people are shared and compare well with other organisations.		
		People across the organisation participate and empower in the development of new processes.		
		Best practices are recognized.		

(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.

(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.

Table A.17 — Self-assessment of the detailed elements of 9.3

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
9.3 Organisational knowledge	1	Processes to capture the current baseline of organisational knowledge are informal or ad hoc.		
		Processes to develop organisational knowledge are informal or ad hoc.		
	2	Some processes for maintaining and protecting documented organisational knowledge are in place.		
	3	Activities to determine whether explicit or tacit knowledge exists are in place and some are documented.		
		Processes for identifying important information and ensuring the effective distribution of such information throughout the life cycle(s) of relevant products and/or services exist.		
	4	Processes exist for gathering and analysing competitive data.		
		Processes to evaluate staff understanding of relevant organisational knowledge are present.		
		Methods for process owners to evaluate the competencies of utilizing processes exist.		
		Methods for determining and communicating the roles of process owners in managing staff are present.	Yes	
	5	There are processes for gathering and analysing data from interested parties.		
(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.18 — Self-assessment of the detailed elements of [9.4](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
9.4 Technology	1	Advances in current technology are done in an informal or ad hoc manner.		Audit May 2021
	2	Some of the processes for identifying the latest innovations and technological developments exist within the organisation or the sectors to which it directly or indirectly relates.		
	3	Processes for evaluating the benefits, risks and opportunities for the identified innovations and emergent technologies are in place and support the suitability of product and/or service strategies.		
		Processes for estimating the cost/benefits for adopting suitable innovations and/or emergent technologies are in place.		
		Processes for evaluating the marketability of selected innovations and/or emerging technologies are in place.		
	4	The organisational knowledge and resource capability needed to adapt to the innovations and/or technological changes or advancements are in place.		
		Processes for evaluating the risks and opportunities for adopting the selected innovations and/or technological changes or advancements are in place.		
	5	Processes for considering the needs of interested parties and offering a suite of innovations as solutions to meet customer expectations are in place.	Yes	
		The organisation takes measures to keep informed of new technologies and methodologies and their possible benefits.		
		The impact of new technologies and new practices is monitored and evaluated regularly, taking into account internal and external effects, including interested parties and the environment.		

(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.

(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.

Table A.19 — Self-assessment of the detailed elements of [9.5](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
9.5 Infrastructure and work environment	1	Infrastructure and work environment needs are addressed in an informal or ad hoc manner.		Audit May 2021
	2	Some processes for addressing infrastructure and work environment needs are in place.		
	3	Processes that address applicable risks and opportunities and that implement activities for the determination, allocation, provision, measurement or monitoring, improvement, maintenance and protection of the infrastructure and work environment are in place.		
	4	Processes implementing advanced techniques to improve performance and ensure the maximum efficiency in the use of infrastructure and work environment resources are in place.		
		These processes operate in a proactive manner and contribute to the achievement of the organisation's objectives, including the fulfilment of statutory and regulatory requirements.	Yes	
5	The way in which infrastructure and the work environment are managed becomes a key contributor in the achievement of desired results.			
(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.20 — Self-assessment of the detailed elements of [9.6](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
9.6 Externally provided resources	1	The concept of partnership with external providers is informal or ad hoc.		
		External providers are seen as transient and the organisation sees no value in developing relationships.		
	2	There is a limited understanding regarding the value in having regular external providers that will deliver a consistent supply.		
	3	There is a good working relationship between the organisation and its suppliers, with regular communications about issues relating to the product or service provided taking place.		
	4	The Leadership Team is committed to developing a close relationship with external providers, with action to develop this at the level of Leadership, where close co-operation is carried out.		
		Some project coordination is carried out as it relates to specific product and or service realisation processes.		
	5	Both the organisation and suppliers fully appreciate the value of the relationship.		
		There is close interaction between the Leadership Team and staff of both the organisation and its suppliers.	Yes	
		There is sharing of some relevant sensitive commercial information.		
		Both the organisation and its suppliers engage in business development projects of common interest.		
(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.21 — Self-assessment of the detailed elements of 9.7

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
9.7 Natural resources	1	There is no managing of natural resources.		Audit May 2021
		The organisation uses natural resources as required by their processes without considering the potential impacts on their products and services in the future.		
	2	The organisation implements some good practices in its current application and use of natural resources.		
	3	The managing of natural resources is aligned within the organisation's management system strategy. There is some evidence of improving the actual use of, and minimization of the potential impact of the use of, natural resources.		
	4	The organisation recognizes its responsibility to society for managing natural resources.		
		The organisation has implemented some best practices in its current application of natural resources.		
	5	The organisation recognizes its responsibility to society for managing natural resources related to the life cycle of products and services.		
		The managing of natural resources is widespread in all the areas of the organisation.	Yes	
		The organisation addresses both current and future use of natural resources required by its processes.		
		The organisation is aware of new trends and technologies for the efficient use of natural resources, and in relation to the needs and expectations of interested parties.		
(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.22 — Self-assessment of the detailed elements of [10.1](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
10.1 Analysis and evaluation of an organisation's performance — General	1	The necessity for updating and understanding the organisation's context, policies, strategy and objectives is determined in an informal or ad hoc manner.		Audit May 2021
	2	Some information on the organisation's performance, the status of its internal activities and resources, changes in its external and internal issues, and the needs and expectations of the interested parties is collected and analysed to update and understand the organisation's context, policies, strategy and objectives.		
	3	Available information is collected to update and understand the organisation's context, policies, strategy and objectives in a planned manner.		
	4	Based on comprehensive analysis and reviews of available information, the necessity for updating and understanding of the organisation's context, policies, strategy and objectives is determined.	Yes	
	5	A systematic approach is established to collect, analyse and review available information and to determine the necessity for updating and understanding of the organisation's context, policies, strategy and objectives, and to identify opportunities for improvement, learning and innovation of the organisation's leadership activities.		
(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.23 — Self-assessment of the detailed elements of [10.2](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
10.2 Performance indicators	1	Only basic performance indicators (e.g. financial criteria, on-time deliveries, number of customer complaints, legal warnings, fines) are used.		Audit May 2021
		Data is not always reliable.		
	2	There is a limited set of performance indicators related to the organisation's policies, strategy and objectives, and main processes.		
		Performance indicators are mostly based on the use of internal data.		
		Decisions are partially supported by measurable key performance indicators (KPIs).		
	3	Progress in achieving planned results against the policies, strategy and objectives in relevant processes and functions is identified and tracked by practical performance indicators.		
		The needs and expectations of customers and other interested parties are taken into account when selecting measurable KPIs.		
		Decisions are adequately supported by reliable, usable and measurable KPIs.		
	4	Measurable KPIs are systematically selected to monitor progress in achieving planned results against the mission, vision, policies, strategy and objectives, at all levels and in all relevant processes and functions in the organisation, to gather and provide the information necessary for performance evaluations and effective decision making.	Yes	
		Measurable KPIs provide information that is accurate, reliable and usable, in order to implement action plans when performance does not conform to objectives, or to improve and innovate process efficiency and effectiveness.		
	5	A process has been established to monitor progress in achieving planned results and make decisions using measurable KPIs.		
		Measurable KPIs contribute to good strategic and tactical decisions.		
Information relating to risks and opportunities is considered when selecting measurable KPIs.				
<p>(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.</p> <p>(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.</p>				

Table A.24 — Self-assessment of the detailed elements of [10.3](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
10.3 Performance analysis	1	The organisation's performance is analysed in an informal or ad hoc manner.		Audit May 2021
	2	There is limited analysis of the organisation's performance.		
		Some basic statistical tools are used.		
	3	The organisation's performance is analysed to identify issues and potential opportunities.		
		A systematic analysis process is supported by the wide use of statistical tools.		
	4	The organisation's performance is analysed: b to identify insufficient resources; c to identify insufficient or ineffective competences, organisational knowledge and inappropriate behaviour; d to determine the new organisational knowledge needed; e to identify processes and activities showing outstanding performance that could be used as a model to improve other processes.		
		The effectiveness of the analysis process is enhanced by the sharing of the analysis results with interested parties.	Yes	
	5	The organisation's performance is comprehensively analysed to identify potential strengths to be fostered with regard to the organisation's leadership activities, as well as weakness in the organisation's leadership roles and activities, including: — policy establishment and communication; — management of processes; — management of resources; — improvement, learning and innovation.		
For the analysis, a clear framework to demonstrate the interrelations between its leadership roles, activities and their effects on the organisation's performance is used.				
(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.25 — Self-assessment of the detailed elements of [10.4](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
10.4 Performance evaluation	1	The organisation's performance is evaluated in an informal or ad hoc manner.		Audit May 2021
	2	There is limited evaluation of the organisation's performance.		
		Top management supports the identification and promulgation of best practices.		
		Some products from key competitors are evaluated and compared.		
	3	The results achieved on the organisation's performance are evaluated against the applicable objectives.		
		The organisation's performance is evaluated from the viewpoint of the needs and expectations of customers.		
		The organisation's performance is evaluated using comparisons to be established or agreed benchmarks.		
	4	Where the objectives have not been attained, the causes are investigated with appropriate review of the deployment of the organisation's policies, strategy and objectives and the organisation's managing of resources.		
		The results of evaluation are understood comprehensively, and resolution of any identified gaps is prioritised based on their impacts on the organisation's policies, strategy and objectives.		
		Improvement achieved on the organisation's performance is evaluated from a long-term perspective.	Yes	
		The organisation's performance is evaluated from the viewpoint of the needs and expectations of all interested parties.		
	5	Benchmarking is used systematically as a tool for identifying opportunities for improvement, learning and innovation.		
		The organisation is frequently solicited by external entities to be a benchmark partner.		
(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.26 — Self-assessment of the detailed elements of [10.5](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
10.5 Internal audit	1	Internal audits are reactively performed in response to problems, customer complaints, etc.		Audit May 2020
		Collected data are mostly used to resolve problems with products and services.		
	2	Internal audits for key processes are performed on a regular basis.		
		Collected data are used systematically to review the managing of processes.		
		Collected data are beginning to be used in a preventive way.		
	3	Internal audits are performed in a consistent manner, by competent personnel who are not involved in the activity being examined, in accordance with an audit plan.		
		Internal auditing identifies problems, nonconformities and risks, as well as monitoring progress in closing previously identified problems, nonconformities and risks.		
	4	Problems, nonconformities and risks identified are analysed comprehensively to determine weaknesses in the management system.		
		Internal auditing focuses on the identification of good practices (which can be considered for use in other areas of the organisation) as well as on improvement opportunities.	Yes	
	5	A process is established for the review of all internal audit reports to identify trends that can require organisation-wide corrective actions or opportunities for improvement.		
The organisation involves other interested parties in its audits, in order to help identify additional opportunities for improvement.				

(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.

(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.

Table A.27 — Self-assessment of the detailed elements of [10.6](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
10.6 Self-assessment	1	Self-assessment is not implemented.		Audit May 2021
	2	Self-assessment is limited, informal or ad hoc.		
	3	Self-assessment is conducted in a consistent manner and the results are used to determine the organisation's maturity and to improve its overall performance.		
	4	Self-assessment is used to determine the strengths and weaknesses of the organisation, as well as its best practices, both at an overall level and at the level of individual processes.		
		Self-assessment assists the organisation to prioritize, plan and implement improvements and/or innovations.		
	5	Self-assessment is performed by the organisation at all levels.	Yes	
		The elements of a management system are understood comprehensively, based on the relations between the elements and their impacts on the organisation's mission, vision, values and culture.		
The results of self-assessment are communicated to relevant people in the organisation and used to share understanding about the organisation and its future direction.				
(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.28 — Self-assessment of the detailed elements of [10.7](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
10.7 Review	1	There is an ad hoc approach to reviews.		Audit conducted July 2020
		When a review is performed, it is often reactive.		
	2	Reviews are conducted to assess progress in the achievement of policies, strategy and objectives, and to assess the performance of the management system.		
		Relevant projects and improvement actions are assessed during reviews, in order to evaluate progress against their plans and objectives.		
	3	Systematic reviews of measurable KPIs and related objectives are undertaken at planned and periodic intervals, to enable trends to be determined, as well as to evaluate the organisation's progress towards achieving its policies, strategy and objectives.		
		Where adverse trends are identified, they are acted upon.		
		Reviews enable evidence-based decision making.	Yes	
	4	The information, resulting from performance measurement, benchmarking, analysis and evaluations, internal audits and self-assessments, is comprehensively reviewed to identify opportunities for improvement, learning and innovation, as well as for identifying any need to adapt the organisation's policies, strategy and objectives.		
		The outputs from the reviews are shared with interested parties, as a way of facilitating collaboration and learning.		
	5	Systematic reviews are used to identify opportunities for improvement, learning and innovation of the organisation's leadership activities.		
(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.29 — Self-assessment of the detailed elements of [11.1](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
11.1 Improvement, learning and innovation - General	1	Improvement activities are done in an informal or ad hoc manner.		Audit conducted July 2020
	2	Basic improvement processes, including corrections and corrective actions are in place, based on complaints from interested parties.		
	3	Improvement, learning and innovation efforts can be demonstrated in most products and some key processes.		
	4	Processes are implemented for the ongoing monitoring of external and internal issues that could lead to improvement, learning and innovation, which are aligned with strategic goals.	Yes	
	5	Improvement, learning and innovation are embedded as routine activities across the whole organisation and are evident in relationships with interested parties.		
(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.30 — Self-assessment of the detailed elements of [11.2](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
11.2 Improvement	1	Improvement activities are done in an informal or ad hoc manner.		Audit conducted July 2020
		Necessary resources to achieve improvement are provided.		
	2	Objectives for the improvement of products or services and processes are provided.		
		A structured approach is applied consistently.		
	3	The focus of improvement processes is aligned with the strategy and objectives, and top management is visibly involved in improvement activities.		
		Schemes are in place to empower teams and individuals to generate strategically relevant improvements.		
		Continual improvement processes include relevant interested parties.	Yes	
	4	Improvements and innovation result in learning and further improvements.		
	5	The focus of performance improvement is the sustained ability to learn, change and achieve long-term success.		
	(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.			
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.31 — Self-assessment of the detailed elements of [11.3](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
11.3 Learning	1	Some lessons are learned as a result of complaints.		Audit conducted July 2020
		Learning is on an individual basis, without the sharing of knowledge.		
	2	Learning is generated in a reactive way from the systematic analysis of problems and other information.		
		Processes exist for the sharing of information and knowledge, but still in a reactive manner.		
	3	The Leadership Team supports initiatives for learning and leads by example and empowerment.		
		There are planned activities, events and forums for sharing information.		
		Processes are implemented to determine knowledge gaps and to provide the necessary resources for learning to occur.	Yes	
		Systems are in place for recognizing positive results from suggestions and lessons learned.		
	4	Learning is addressed in the strategy and policies.		
		Learning is recognised as a key issue.		
		Networking, connectivity and interactivity are stimulated by the leadership team to share knowledge.		
	5	The organisation’s learning ability integrates personal competence and capability and the organisation’s overall maturity level.		
		Learning is fundamental to the improvement and innovation processes.		
		The organisation’s culture permits the taking of risks and learning from the mistakes.		
		There are external engagements for the purpose of learning.		
	(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.			
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				

Table A.32 — Self-assessment of the detailed elements of [11.4](#)

Subclause	Maturity level		Conclusion	
	Level	Item ^a	YES	Results/comment ^b
11.4 Innovation	1	There is limited innovation.		Audit conducted July 2020
		New products and services are introduced with no planning of the innovation process.		
	2	Innovation activities are based on data relating to the needs and expectations of interested parties.		
	3	The innovation processes for new products and services are able to identify changes in external and internal issues, in order to plan innovations.		
		Risks associated with planned innovations are considered.		
		The organisation supports the innovation initiatives with the resources needed.	Yes	
	4	Innovations are prioritized, with balanced consideration of urgency, availability of resources and the organisation's strategy.		
		External providers and partners are involved in innovation processes.		
		The effectiveness and efficiency of innovation processes are assessed regularly as a part of the learning process.		
		Innovation is used to improve the way the organisation operates.		
	5	Innovation activities anticipate possible changes in the context of the organisation.		
		Preventive plans are developed to avoid or minimize the identified risks that accompany the innovation activities.		
		Innovation is applied at all levels, through changes in technology, processes, organisation, the management system and the organisation's business model.		
(a) Items outlined in levels 3 to 5 are intended to be a progression of thought that is based on the guidance provided in the applicable subclause.				
(b) This may include recognition of aspects where the organisation is partially meeting a maturity level.				