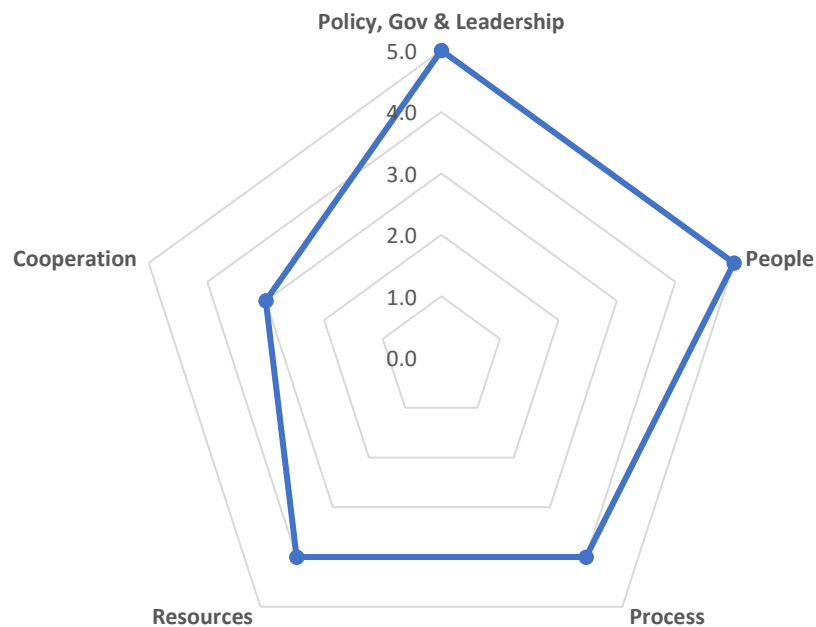


RDG Guidance Note: ICT Maturity Assessment Criteria & Process

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Issue 1 – October 2023



About this document

Explanatory note

The Rail Delivery Group is not a regulatory body and compliance with Guidance Notes or Approved Codes of Practice is not mandatory; they reflect good practice and are advisory only. Users are recommended to evaluate the guidance against their own arrangements in a structured and systematic way, noting that parts of the guidance may not be appropriate to their operations. It is recommended that this process of evaluation and any subsequent decision to adopt (or not adopt) elements of the guidance should be documented. Compliance with any or all of the contents herein, is entirely at an organisation's own discretion.

Other Guidance Notes or Approved Codes of Practice are available on the [Rail Delivery Group \(RDG\) website](#).

Executive summary

This Guidance Note explains the purpose of the Incident Care Team (ICT) Maturity Assessment criteria and how these can be used as part of organisational governance processes by participating organisations to determine the capability maturity of their ICT arrangements. It also explains how to use the assessment tool itself, provided as a separate spreadsheet.

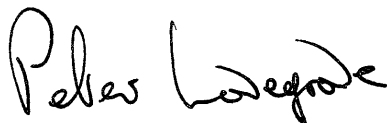
This approach to maturity assessment is based on the Risk Management Maturity Model (RM³) established by the Office of Rail and Road (ORR) which defines excellence in health and safety management.

Issue record

Issue	Date	Comments
1	October 2023	New document

This document is reviewed on a regular 3 year cycle.

Document Owner:



Peter Lovegrove
Operational Resilience Manager,
Rail Delivery Group

Authorised by:



James Burt
Chair of the RDG Incident Care Team Management
Group

Contents

About this document	2
Explanatory note	2
Executive summary.....	2
Issue record	2
Contents	3
1 Purpose and background	4
1.1 Purpose.....	4
1.2 Background.....	4
2 Assessment process	5
2.1 Tool format.....	5
2.2 Who should carry out a maturity assessment?.....	5
2.3 How to use the tool	5
Appendix A – Screenshot of Maturity Assessment Dashboard page	7
Appendix B – Screenshot of example Assessment page	8

1 Purpose and background

1.1 Purpose

This Guidance Note describes the purpose of the ICT Maturity Assessment criteria and explains how these might be used as part of organisational governance processes by participating organisations to determine the capability maturity of their ICT arrangements.

1.2 Background

In October 2017, members of the RDG ICT Management Group developed a set of assurance assessment criteria (now referred to as maturity assessment criteria), by which an individual organisation's ICT maturity capability might be assessed. The original objectives of the process were:

1. To encourage and support consistency and capability across the TOC community.
2. To provide reassurance across the TOC community that in the event of calling in support from another TOC's ICT, a certain minimum standard can be expected.
3. To inform the ICT Management Group's Forward Business Plan.

The criteria adopted were intended to cover the ICT capability as a whole. The process was structured around five areas (criteria) of Incident Care management: Policy, Governance & Leadership, People, Process, Resources and Cooperation, each of which was broken down into a number of sub-criteria. These have now been comprehensively reviewed – the original five criteria have been retained unchanged but some changes to the sub-criteria have been made. There are now 24 of these as shown below:

Policy, governance & leadership

1. Leadership
2. Structure
3. Team size
4. Time
5. Budgetary provision

People

6. Recruitment
7. Training and Development
8. Exercising
9. Competence
10. Engagement

Processes

11. Activation
12. Survivor Assistance
13. ICT Member Welfare
14. Post deployment process
15. Team Administration
16. Data Protection
17. Business Policies
18. Review and Governance

Resources

19. Finance
20. Equipment
21. Deployment Centre

Cooperation

22. Internal business
23. RDG
24. LRFs

It was determined that the assessment criteria should follow the Risk Management Maturity Model (RM³) methodology established by the ORR as this is well understood within the rail industry. Within each sub-criterion, the process defines 5 levels of increasing maturity, building up to Excellence.

1. **Initial:** Ad hoc and uncoordinated
2. **Managed:** Local groups are managed to ensure repeatable performance BUT, each work group performs similar tasks differently
3. **Standardised:** Good practice synthesised into standard processes
4. **Predictable:** Delivery can be predicted by management system and variation and change is controlled
5. **Excellent:** Proactive/continual improvement

It was intended that the maturity assessment could be undertaken internally by the ICT Champion, the organisation's Internal Audit Team, or by an external provider.

Originally, the assessment criteria were provided as a list of what was needed to meet the different levels within a standalone MS Word document. No guidance was provided about how to incorporate the criteria into any kind of consistently applied assessment process. Learning from using the assessment and from work elsewhere in developing a maturity assessment approach has led to the development of an assessment tool based on an Excel Spreadsheet to replace the original Word list. The assessment criteria have also been reviewed.

The rest of this document explains how to use the tool to complete a maturity assessment of ICT capability.

2 Assessment process

2.1 Tool format

The tool is based on MS Excel. It has a front page (tab marked 'Dashboard') and five further tabs, one for each of the five areas of Incident Care management (Policy, Governance & Leadership, People, Process, Resources and Cooperation). The tabs are colour coded to match the colour associated with the area concerned. The scores input in the subsequent pages automatically populate the front dashboard.

2.2 Who should carry out a maturity assessment?

The following process can be completed by anyone familiar with the ICT capability within the organisation concerned. This familiarisation may be as a result of day to day working with the ICT (e.g. the ICT Champion) or it may be gained by conducting evidence gathering via documentary review and interviews with key individuals (e.g. by an Internal Audit Team or an external assessor).

2.3 How to use the tool

1. *On the Dashboard (see Appendix A for screenshot of Dashboard page), input information about the assessment in the top part of the page.* This will include the list of individuals that have been spoken to as part of the assessment where the assessment is being conducted by Internal Audit or an external assessor. It is recommended that these include:
 - a. The ICT Champion
 - b. The ICT Executive Sponsor
 - c. Two or three members of the ICT that represent the team makeup as a whole – e.g. a Team Member, a Team Leader and a Deployment Manager.
2. *The headings in Rows 8 and 18 of the Dashboard will hyperlink directly to the top of the relevant page for each of the five areas.* Alternatively, the pages can be navigated to by clicking on the required tab at the bottom of the screen.
3. *Go through each page in turn (see Appendix B for screenshot of an example page).* For every sub-criterion (Row 2 in the example), there are a range of questions provided (Column B). You should choose which answer most closely matches the position/status of the organisation being assessed. Column C provides a score for that answer. Select which is the most appropriate for the organisation and input this into Column D 'Rating'. You can include any relevant evidence or any additional information in Column E 'Comment / Evidence'. This is particularly useful if the answers offered in the table do not match 100% with the organisation being assessed. You can explain why you have given the rating you have chosen.

You will see that not every sub-criterion includes as many as 5 potential scores (see Rows 18 to 21 in the example, which only provide scores of 5, 3 and 1) – this is deliberate as some criteria have a greater range of answers than others. However, this doesn't mean that you cannot give a score of (in this example) 2 or 4 if you consider that the position is somewhere between the answer options provided.

4. *Underneath each set of questions in Column D, will be an average score for the set of questions all together (Row 22 in the example).* These cells auto-populate the scores provided in the front Dashboard.

5. *Once all of the sets of questions on all 5 pages - 'Policy, Governance & Leadership', 'People', 'Process', 'Resources' and 'Cooperation' – have been answered you can now return to the Dashboard. There will be numbers auto-populated in Cells D12, H12, L13, D21 and H21 in respect of these – these correspond to the question sets for each sub-criterion.*
5. *A radial chart ('spider diagram') providing a visual depiction of the overall scores will be automatically generated in the bottom left corner of the page.*
6. *Write a summary of assessment as a whole in 'Overall Summary'.*
7. *Identify five (or more) main positive points to be celebrated and five (or more) key points that need to be addressed in any subsequent follow up activity and enter these into the tables at the bottom right of the page.*
8. *The results from the assessment can be used to inform the organisation's governance processes and to drive continuous evidence based improvement within the ICT.*

Appendix A – Screenshot of Maturity Assessment Dashboard page

	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U												
1																																
2	RDG ICT Maturity Assessment Dashboard																															
3	Organisation name								Interviewee name				BAU position				ICT role															
4	Date of assessment(s)																															
5	Name of assessor																															
6																																
7																																
8	Policy, governance & leadership				People				Process				Overall Summary																			
9	Area		Average rating per area		Overall rating		Area		Average rating per area		Overall rating		Area		Average rating per area		Overall rating															
10	Leadership		0.00		0.00		Recruitment		0.00		0.00		Activation		0.00		0.00															
11	Structure		0.00				Training and development		0.00				Survivor assistance		0.00																	
12	Team size		0.00				Exercising		0.00				ICT Member welfare		0.00																	
13	Time		0.00				Knowledge, skills, attributes & behaviours		0.00				Post deployment process		0.00																	
14	Budgetary provision		0.00				Engagement		0.00				Team administration		0.00																	
15																																
16																																
17																																
18	Resources				Cooperation																											
19	Area		Average rating per area		Overall rating		Area		Average rating per area		Overall rating																					
20	Finance		0.00		0.00		Awareness within the TOC		0.00		0.00																					
21	Equipment		0.00				RDG		0.00																							
22	Deployment Centre		0.00				Local Resilience Forums (LRF)		0.00																							
23																																
24																																
25	Overall Scores Radial Chart																															
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Appendix B – Screenshot of example Assessment page

	A	B	C	D	E
2	People: Recruitment		POTENTIAL SCORE	RATING	Comment / Evidence
3	Process	Is there a defined process that someone has to go through to be recruited to the ICT?			
4		Yes - there is a transparent, non-discriminatory, structured and documented process in place for ICT recruitment incorporating advertising, application and selection.	5		
5		Yes - a consistent recruitment process exists for membership of the ICT.	3		
6		Yes - a recruitment process exists for membership of the ICT but is not always applied consistently.	2		
7		No - there is no process in place for recruiting into the ICT.	1		
8	Recruiting per role	Is your recruitment advertising and process tailored for each role (i.e. Team Member, Team Leader, Deployment Manager, support staff)?			
9		Yes - each role is advertised and recruited for specifically.	5		
10		Partially - the recruitment process enables identification of people best suited for humanitarian and/or support roles. A process exists to identify persons suitable to be developed as Deployment Managers and/or Team Leaders.	4		
11		No - we recruit into the Team and then determine the best fit later.	3		
12		No - appointment of members into support/ management roles is ad hoc.	2		
13		No - we just recruit into the Team.	1		
14	Horizon scanning	Does the recruitment process take into account future organisational changes?			
15		Process in place to anticipate future recruitment requirements to maintain or increase Team size and capability.	5		
16		The recruitment process is structured but ad hoc and undertaken only when needed.	3		
17	Exclusions	Recruitment of ICT members is unstructured and unplanned.	1		
18		Does the recruitment process identify BAU positions that would be excluded from participating in ICT roles?			
19		Yes - roles that the organisation does not deem appropriate for membership of ICT (e.g. operational roles that would be required to support the wider response to an incident) are clearly identified.	5		
20		Yes - we are aware of some roles where this may not be suitable but there are no consistently applied rules.	3		
21		No - we have not thought about it.	1		
22	0				

Rail Delivery Group



Rail Delivery Group Limited Registered Office, 2nd Floor, 200 Aldersgate Street, London EC1A 4HD
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