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Information technology — IT Enabled Services-Business Process Outsourcing (ITES-BPO) lifecycle processes —

Part 2: Process assessment model (PAM)

Technologies de l'information — Processus du cycle de vie de la délocalisation du processus d'affaires des services activés par IT —

Partie 2: Modèle d'évaluation du processus (PAM)

Reference number
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Foreword

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The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives or www.iec.ch/members_experts/refdocs).

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For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html. In the IEC, see www.iec.ch/understanding-standards.

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 40, *IT service management and IT governance*.

This second edition cancels and replaces the first edition (ISO/IEC 30105-2:2016), which has been technically revised.

The main changes are as follows:

— terms and abbreviated terms have been added;

— Clause 4 has been restructured to improve the sequence of the document;

— duplicated contents from ISO/IEC 30105-1 and ISO/IEC 30105-3 have been removed from Clause 4 and Annex A;

— Figure 2 has been revised to improve clarity;

— the terms "work product (WP)" and "generic work product (GWP)" have been changed to "information item" and "generic information item" respectively, following ISO/IEC/IEEE 24774;

— Figure 4 has been revised according to ISO/IEC 33063;

— references to ISO/IEC TS 30105-9 have been added, providing an extension to the process assessment model (PAM) for organizations undergoing digital transformation;

— digital strategy for ITES-BPO organizations has been added;

— two new tactical enablement processes, TEN9 (Communication management) and TEN10 (Documentation management), have been added in order to align with ISO/IEC 20000-1 and ISO/IEC TS 33074;

— the definitions of process capability levels and process attributes in Clause 5 and Clause 6 have been aligned to improve consistency with ISO/IEC 33020;

— editorial errors from the previous edition have been corrected.

A list of all parts in the ISO/IEC 30105 series can be found on the ISO and IEC websites.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html and www.iec.ch/national-committees.

Introduction

IT Enabled Services-Business Process Outsourcing (ITES-BPO) services encompass the delegation of one or more IT enabled business processes to a service provider who uses appropriate technology to deliver that service. Such a service provider manages, delivers, improves and administers the outsourced business processes in accordance with predefined and measurable performance metrics. This covers diverse business process areas, such as human resource management, administration, healthcare, financial management, supply chain management, travel and hospitality, media, market research, data analytics, telecommunication, manufacturing, etc. ITES-BPO services provide business solutions to customers across the globe and form part of the core service delivery chain for customers.

The ISO/IEC 30105 series specifies the requirements for lifecycle processes performed by an ITES-BPO service provider. It defines the processes to plan, establish, implement, operate, monitor, review, maintain and improve its services. Key characteristics of the ISO/IEC 30105 series are as follows.

— It provides overarching guidance and requirements for all aspects of ITES-BPO industry from the view of the service provider that performs the outsourced business processes. This is applicable for any service provider providing services to customers through contracts and in industry verticals.

— It covers the entire outsourcing lifecycle and defines the processes that are considered to be good practices.

— It enables process capability gap determination and improvement for service providers performing outsourced business processes. It also serves as a process reference model (PRM) for service providers.

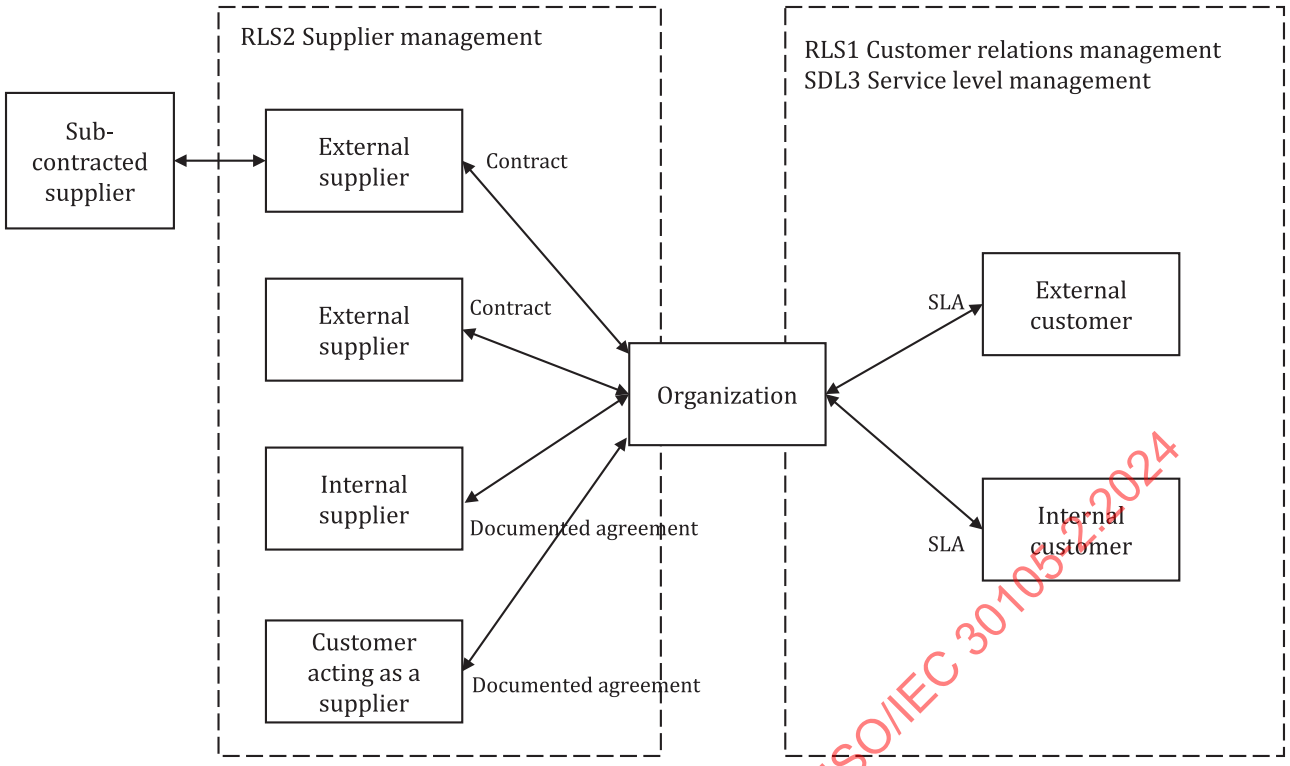
— It focuses on IT enabled business processes which are outsourced.

— It is generic and can be applied to all IT enabled business process outsourced services, regardless of type, size and the nature of the services delivered.

— Process improvement (PI) implemented using the ISO/IEC 30105 series can lead to a clear return on investment for customers and service providers.

— Alignment to the ISO/IEC 30105 series can improve consistency, delivery quality and predictability in the delivery of services.

Figure 1 illustrates the key entities and relationships involved in an ITES-BPO service. This includes the customer, the service provider and various levels of suppliers. This is in line with the supply chain relationship depicted in ISO/IEC 20000-1:2018, 8.3.1. This document and ISO/IEC 20000-1 complement each other. Annex C describes the potential correlation and differences, and their complementary nature.



Key

RLS relationship

SDL service delivery

SLA service level agreement

Figure 1 — ITES-BPO key entities

Information technology — IT Enabled Services-Business Process Outsourcing (ITES-BPO) lifecycle processes —

Part 2: Process assessment model (PAM)

1 Scope

This document specifies the process assessment model (PAM). It contains process definitions of the ITES-BPO lifecycle defined in ISO/IEC 30105-1 and a model suitable for assessing process capability. The outcomes in the PAM are clearly defined, observable results, aligned to the business benefits derived by the customer and service provider.

A PAM consists of a set of indicators for process performance and process capability. The indicators are used as a basis for collecting the objective evidence that enables an assessor to determine ratings. The set of indicators included in this document is not intended to be an all-inclusive set, nor is it intended to be applicable in its entirety. Supersets and subsets are selected according to the context and the scope of the assessment.

The PAM in this document is directed at assessment sponsors and competent assessors who wish to select a model and an associated documented assessment process for the ITES-BPO lifecycle processes, for process capability gap determination.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 20000-10, *Information technology — Service management — Part 10: Concepts and terminology*

3 Terms, definitions and abbreviated terms

For the purposes of this document, the terms and definitions given in ISO/IEC 20000-10 and the following apply.

ISO and IEC maintain terminology databases for use in standardization at the following addresses:

— ISO Online browsing platform: available at https://www.iso.org/obp

— IEC Electropedia: available at https://www.electropedia.org/

3.1 Terms and definitions

3.1.1
assessment indicator
sources of objective evidence used to support the assessor's judgement in rating process attributes

Note 1 to entry: Examples include practice, information item, or resource.

[SOURCE: ISO/IEC 33001:2015, 3.3.1]

3.1.2
base practice
activity that, when consistently performed, contributes to achieving a specific process purpose

[SOURCE: ISO/IEC 33001:2015, 3.3.2]

3.1.3
capability dimension
set of elements in a process assessment model explicitly related to the measurement framework for process capability

[SOURCE: ISO/IEC 30105-4:2022, 3.1.4]

3.1.4
generic practice
activity that, when consistently performed, contributes to the achievement of a specific process attribute

[SOURCE: ISO/IEC 33001:2015, 3.3.6]

3.1.5
generic resource
resource such as human, financial or technical, that is used when performing a process

3.1.6
objective evidence
data supporting the existence or veracity of something

Note 1 to entry: Objective evidence can be obtained through observation, measurement, test or by other means.

Note 2 to entry: Objective evidence for the purpose of audit generally consists of records, statements of fact or other information which are relevant to the audit criteria and verifiable.

[SOURCE: ISO 9000:2015, 3.8.3, modified — "verity" has been changed to "veracity" in the definition.]

3.1.7
process assessment
disciplined evaluation of an organization unit's processes against a process assessment model

[SOURCE: ISO/IEC 33001:2015, 3.2.15]

3.1.8
process assessment model
model suitable for the purpose of assessing a specified process quality characteristic, based on one or more process reference models

Note 1 to entry: Process assessment models addressing a specific process quality characteristic can include the identification of the characteristic in the title; for example, a process assessment model addressing process capability can be termed a "process capability assessment model".

[SOURCE: ISO/IEC 33001:2015, 3.3.9]

3.1.9
process attribute
measurable property of a process quality characteristic

[SOURCE: ISO/IEC 33001:2015, 3.4.3, modified — admitted term "process quality attribute" has been removed.]

3.1.10
process capability
characterization of the ability of a process to meet current or projected business goals

[SOURCE: ISO/IEC 33020:2019, 3.4]

3.1.11
process capability level
characterization of a process on an ordinal measurement scale of process capability

[SOURCE: ISO/IEC 33020:2019, 3.5]

3.1.12
process performance
extent to which the execution of a process achieves its purpose

[SOURCE: ISO/IEC 33001:2015, 3.4.7]

3.1.13
tailoring guideline
instructions that enable an organization to adapt standard processes appropriately to meet specific needs

Note 1 to entry: Tailoring a process adapts the process description for a particular objective. For example, a project creates its defined process by tailoring the organization's set of standard processes to meet the objectives, constraints, and environment of the project. The organization's set of standard processes is described at a general level that cannot be directly usable to perform a process. Tailoring guidelines aid those who establish the defined processes for specific needs.

Note 2 to entry: Tailoring guidelines describe what can and cannot be modified and identify process components that are candidates for modification.

3.2 Abbreviated terms

BP	base practice
GP	generic practice
GR	generic resource
ITES-BPO	IT Enabled Services-Business Process Outsourcing
KPI	key performance indicator
MF	measurement framework
OEN	operational enablement
PA	process attribute
PAM	process assessment model
PCI	process capability indicator
PI	process improvement
PPI	process performance indicator
PRM	process reference model
RLS	relationship
SDL	service delivery
SEN	strategic enablement
SLA	service level agreement
SLN	solution

TEN	tactical enablement
TRN	transition in
TRO	transition out
UAT	user acceptance testing

4 Overview of the process assessment model (PAM)

4.1 General

In ISO/IEC 33001, the PAM is described as a model suitable for the purpose of assessing a specified process quality characteristic, based on one or more process reference models (PRMs).

The PAM defines a two-dimensional model of process capability, consisting of:

— a process dimension, where processes are defined and classified into process categories;

— a capability dimension, where a set of process attributes (PAs) grouped into capability levels is defined.

The PRM defined in ISO/IEC 30105-1, associated with the process description and attributes defined in this document, establishes the basis for a PAM that provides a common basis for performing assessments on ITES-BPO lifecycle processes, enabling the results to be reported using a common rating scale. Clause A.2 describes the relationship with the requirements for PAMs that are specified in ISO/IEC 33004.

The PRM defined in ISO/IEC 30105-1 and the capability dimension defined in ISO/IEC 30105-3 cannot be used alone as the basis for conducting reliable and consistent assessments of process capability, since the level of detail available is insufficient. The relationship is shown diagrammatically in Figure 2.

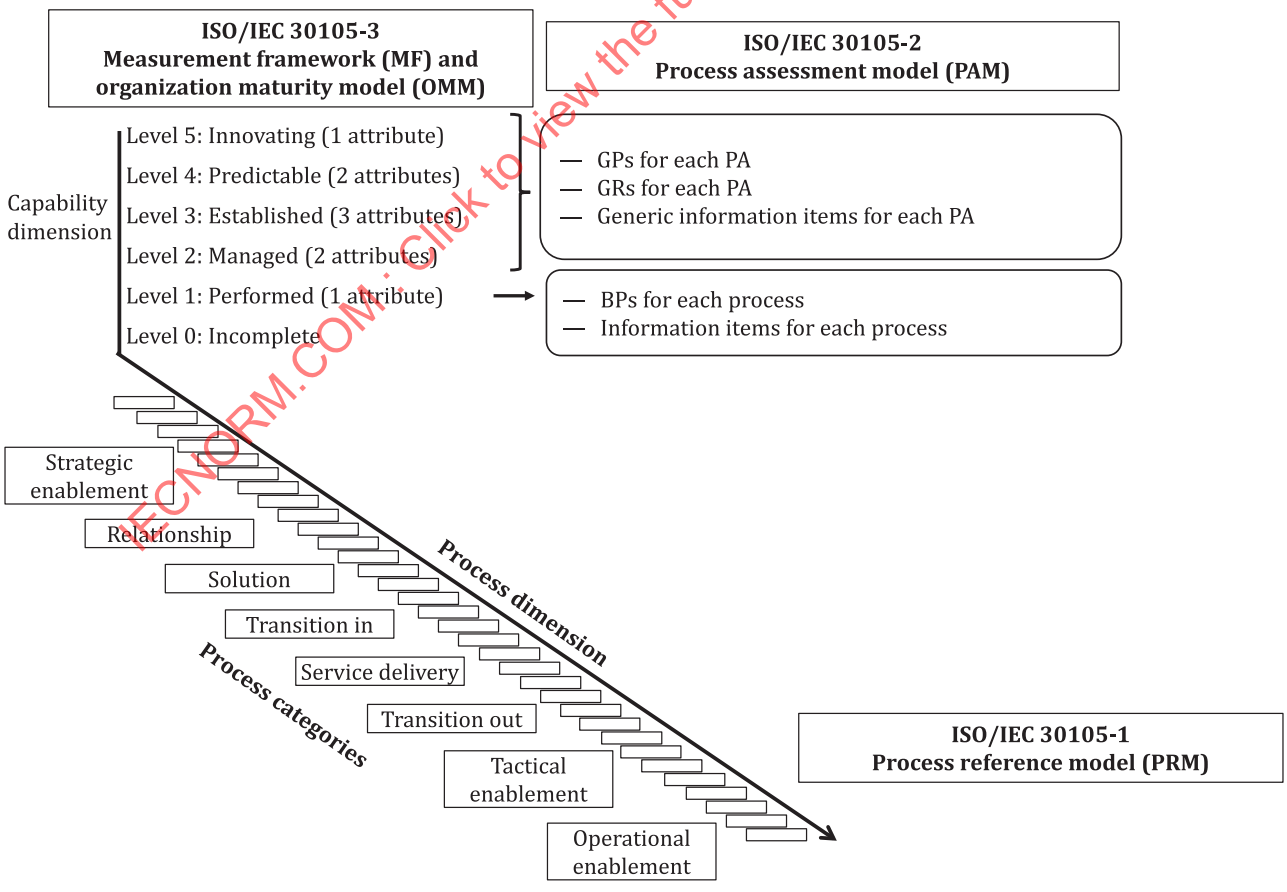


Figure 2 — Relationship between PRM, PAM and MF

The ITES-BPO PAM extends the PRM provided in ISO/IEC 30105-1 with the definition of the ITES-BPO assessment indicators and their use. The ITES-BPO process descriptions meet the following requirements:

— process descriptions shall contain process purpose and process outcomes;

— the set of process outcomes shall be defined to achieve the purpose of the process;

— process descriptions shall not contain or imply aspects of the process quality characteristic beyond the lowest level of its intended measurement scale.

The PAM incorporates the measurement framework (MF) defined in ISO/IEC 30105-3. The PAM addresses all of the levels (starting at process capability level 1) of the process MF for the process quality characteristics for each of the processes within its scope.

4.2 Structure of the ITES-BPO PAM

4.2.1 Process dimension

Process dimension includes all of the processes listed in ISO/IEC 30105-1. Each process in the PAM is described by a purpose statement which contains objectives of the process and a set of specific expected outcomes. The outcomes are associated with the process purpose statements, and indicate the expected positive result of the process performance.

Satisfying the purpose statements of a process represents the only step in achieving a level 1 process capability where the expected outcomes are observable.

4.2.2 Capability dimension

Process capability levels are defined in ISO/IEC 30105-3 and detailed definitions of the process capability levels and PAs are set out in Clause 6, together with the relevant process capability indicators (PCIs). Process capability is expressed in the PAM by grouping process assessment indicators into capability levels (levels 0 to 5). Level 0 does not include any type of indicators. Level 0 reflects a non-implemented process or a process which fails to even partially achieve its outcomes.

A capability level is a set of process assessment indicators that together describe an ability to operate and perform a process at a given capability level. The existence (or non-existence) of evidence to meet these process assessment indicators helps determine the capability levels. The levels constitute a rational path for improving capability for any process and are defined in ISO/IEC 30105-3.

PAs are process features which can be evaluated on a scale of achievement to provide a process capability measure. Each PA describes a feature of the overall capability in managing and improving process effectiveness, in achieving its process purpose and in contributing to the organization's business goals.

Within the PAM, the measure of capability shall be based upon the nine PAs defined in ISO/IEC 30105-3. PAs are used to determine whether a process has reached a given capability. Each attribute measures a particular aspect of the process capability.

At each level there is no ordering between the PAs; each attribute addresses a specific aspect of the capability level.

4.3 Assessment indicators

4.3.1 Overview

The PAM is based on the principle that the capability of a process can be assessed by demonstrating the achievement of PAs on the basis of evidence related to assessment indicators.

There are two types of assessment indicators: PCIs, which apply to capability levels 1 to 5, and process performance indicators (PPIs), which are defined for capability level 1 but apply to all capability levels 1 to 5. These indicators are defined in 4.3.2 and 4.3.3.

PCIs enable assessment of the extent of achievement of a PA in the implemented process. These indicators concern significant activities, resources or results associated with the achievement of the attribute purpose by a process.

Types of PCIs are:

— generic practice (GP);

— generic resource (GR);

— generic information item.

As additional indicators for supporting the assessment of a process at level 1, each process has a set of PPIs in the process dimension. These are used to measure the degree of achievement of the process performance attribute for the process assessed.

Types of PPIs are:

— base practice (BP);

— information item.

The performance of BPs indicates the extent of achievement of the process purpose and process outcomes. Information items are either used or produced (or both) when performing the process.

The PPIs and PCIs defined in this document represent types of objective evidence that can be found in an implementation of an ITES-BPO process. Therefore, these can be used to judge achievement of capability.

The three types of PCIs and two types of PPIs are identified in Figure 3.

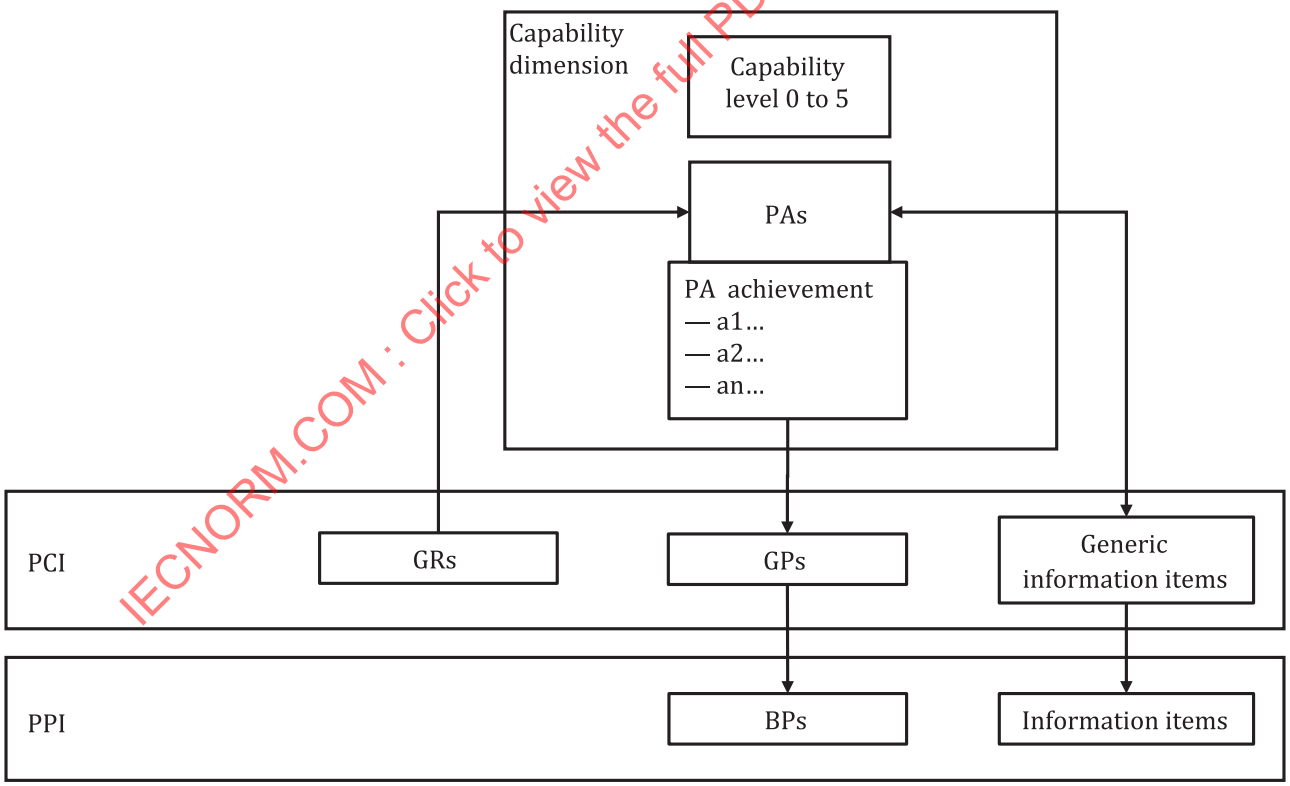


Figure 3 — Process assessment indicators

4.3.2 PCIs

They are intended to be applicable to all processes and are defined for ITES-BPO lifecycle processes in Clause 6.

All the PCIs relate to the PAs defined in the capability dimension of the PAM. They represent the type of evidence that supports judgments of the extent to which the attributes are achieved. Evidence of their effective performance or existence supports the judgment of the degree of achievement of the attribute. The GPs are the principal indicators of process capability.

The GP indicators are activities of a generic type and they provide guidance on the implementation of the attribute's characteristics. They support the achievement of the PA and many of them concern management practices, i.e. practices that are established to support the process performance as it is characterized at level 1. Tables in 6.2 list the mappings of the GPs to the achievements associated with each PA.

During the evaluation of process capability, the primary focus is on the performance of the GPs. In general, performances of all GPs are expected for full achievement of the PA.

The GR indicators are associated resources that can be used when performing the process in order to achieve the attribute. These resources can include human resources, tools, methods and infrastructure. The availability of a resource indicates the potential to achieve a specific attribute.

The assessor should interpret the GRs according to the process assessed. For example, for PA 2.1, "human resources with identified objectives, responsibilities and authorities" an assessor looks for roles with identified objectives, responsibilities and authorities in service delivery management processes, but for organizational processes looks for governance structures (e.g. mandated committees, positions) with identified objectives, responsibilities and authorities.

The generic information item indicators are sets of characteristics that are expected to be evident in information items of generic types as a result of achievement of a PA. The generic information items form the basis for the classification of the information items defined as PPIs. They represent basic types of information items that can be inputs to or outputs from all types of process.

These three types of indicators help to establish objective evidence of the extent of achievement of a specified PA.

Due to the fact that level 1 capability of a process is only characterized by the measure of the extent to which the process purpose is achieved, the process performance attribute (PA 1.1) has a single GP indicator (GP 1.1.1). In order to support the assessment of PA 1.1. To amplify the process performance achievement analysis, additional PPIs are defined in the PAM.

4.3.3 PPIs

PPIs relate to individual processes defined in the process dimension of the PAM and are chosen to explicitly address the achievement of the defined process outcomes.

Evidence of performance of the BPs and the presence of information items with their expected characteristics provide objective evidence of the achievement of the process outcomes.

A BP is an activity that addresses the purpose of a particular process. Consistently performing the BPs associated with a process helps to consistently achieve the process purpose. A coherent set of BPs is associated with each process in the process dimension. The BPs are described at an abstract level, identifying "what" should be done without specifying "how." Implementing the BPs of a process should achieve the basic outcomes that reflect the process purpose. BPs represent only the first step in building process capability, but they represent the unique, functional activities of the process, even if that performance is not systematic.

The performance of a process requires information items that are identifiable and usable in achieving the purpose of the process. In this PAM, each information item has a defined set of example characteristics that can be used when reviewing the information item to assess the effective performance of a process. Information item characteristics can also be used to identify the corresponding information item that is used or produced by the organization being assessed.

Clause 5 contains a complete description of the processes, including the BPs and the associated information items. Annex B describes information item characteristics, with Clause B.2 containing a list of generic information items and their characteristics, and Clause B.3 containing a list of process-specific information items, with the generic information items for completeness, and their characteristics.

Similar to the concept of modularity in object orientation, the shared characteristics of a group of information items have been extracted into a generic information item. An assessor should refer to both the information items and the generic information items in the PAM in the context of the actual information items when performing an assessment.

4.3.4 Measuring process capability

The PPIs and PCIs in PAM give examples of evidence that an assessor can obtain, or observe, in the performance of an assessment. The evidence obtained in the assessment can be mapped onto the set of indicators to enable correlation between the implemented processes and the processes defined in this PAM.

These indicators provide guidance for assessors in accumulating the necessary objective evidence to support judgments of capability. They are not intended to be regarded as a mandatory set of checklists to be followed.

An indicator is defined as an objective characteristic of a BP or information item that supports the judgment of the performance or capability of an implemented process. The assessment indicators and their relationship to process performance and process capability are shown in Figure 4 based on ISO/IEC 33063:2015.

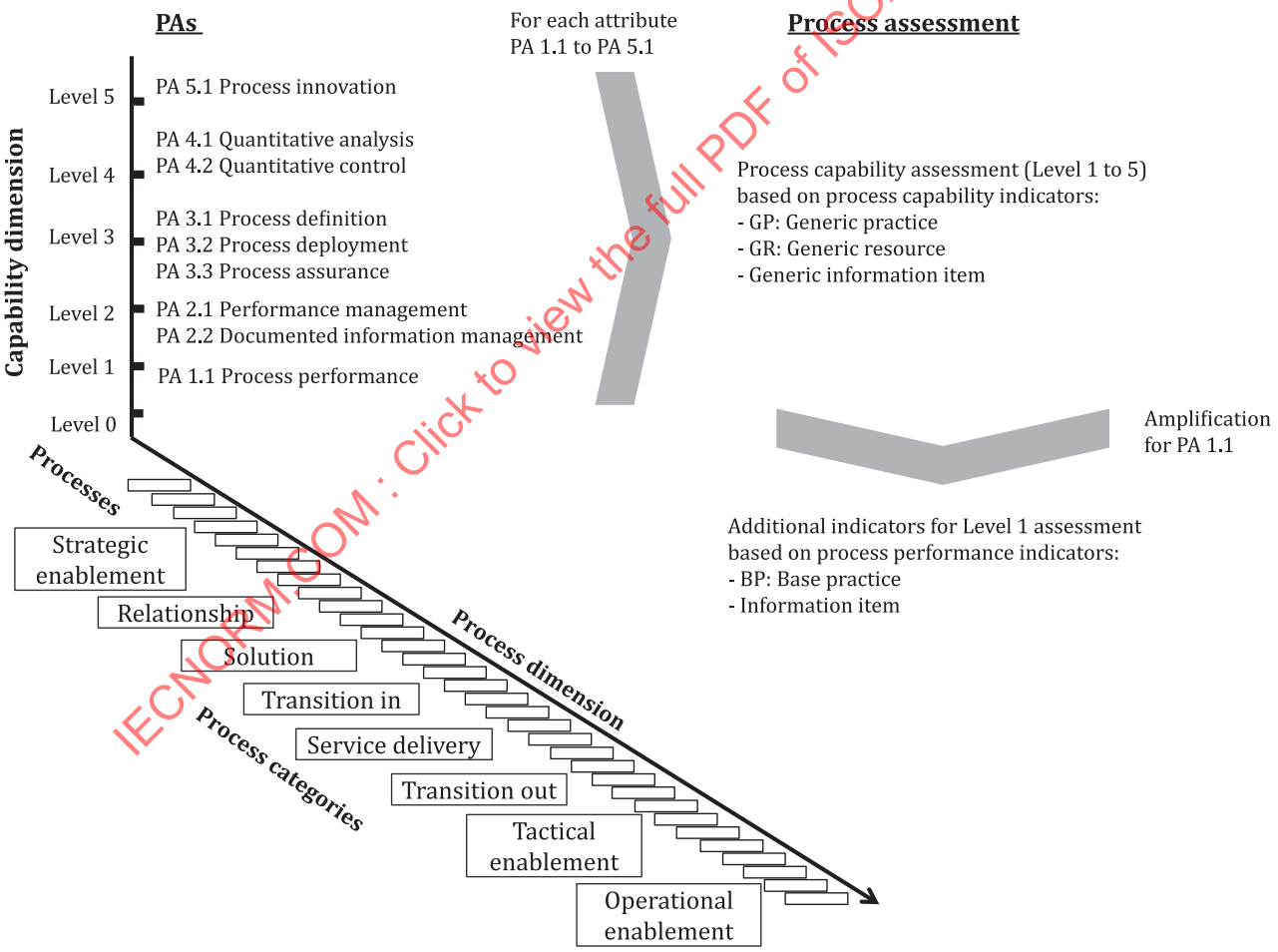


Figure 4 — Measuring process capability using process assessment indicators

Assessment indicators are used to confirm that certain practices were performed, as shown by observable evidence collected during an assessment. All such evidence comes either from the examination of information items or from statements made by the performers and managers of the processes.

The existence of BPs, information items and information item characteristics provide evidence of the performance of the processes associated with them. Similarly, the existence of PCIs provides evidence of process capability.

The evidence obtained should be recorded in a form that clearly relates to an associated indicator, so that the support for the assessor's judgment can be readily confirmed or verified as required by ISO/IEC 33002.

The output from a process assessment is a set of process profiles, one for each process within the scope of the assessment. Each process profile consists of a set of the PA ratings for an assessed process. Each attribute rating represents a judgment by the assessor of the extent to which the attribute is achieved. To improve the reliability and repeatability of the assessment, the judgments of the assessor are based on a coherent set of recorded objective evidences.

5 Processes and PPIs (level 1)

5.1 General

This clause defines the processes and the associated PPIs within the PAM as defined in Figure 4 of this document. The processes and process categories in PAM can be directly mapped to those defined in the PRM in ISO/IEC 30105-1.

The individual processes are stated in terms of process name, process purpose and process outcomes as defined in ISO/IEC 30105-1.

For each process, the PAM further provides:

a) a set of BPs defining the tasks and activities needed to accomplish the process purpose and fulfil the process outcomes; each BP is explicitly associated to a process outcome, e.g. "[Outcome a)]";

b) a number of information items associated with each process and related to one or more of its outcomes, e.g. "[Outcome a)]";

c) characteristics associated with each information item, as indicated in Table B.4.

The BPs and information items constitute the set of indicators to assess process performance for a particular process.

Each BP and information item is cross-referenced to the process outcomes it addresses. All information items relate as inputs or outputs to the process as a whole; see the mappings later in this clause.

NOTE Each information item has a unique ID. Detailed characteristics of these information items are indicated in Annex B with the same ID.

A documented assessment process and assessor judgment is needed to ensure that process context (application domain, business purpose, development methodology, size of the organization, etc.) is explicitly considered when evaluating a process. This list of information items is provided as an example and starting point for considering whether the information items are required to support the purpose of the process. The list of items is not to be considered as a checklist of what each organization should have.

The assessor should also consider the relationship between this document (ISO/IEC 30105-2) and the other parts of the ISO/IEC 30105 series. For example, ISO/IEC TS 30105-6 is referred to for additional guidelines on risk management. ISO/IEC 30105-8 is referred to for additional information items with regards to continual performance improvement. ISO/IEC TS 30105-9 provides the guidance on extending process capability assessment for digital transformation based on the PAM defined in this document, outlining the outcomes for a digitally transformed ITES-BPO organization's processes and the corresponding BPs to achieve such outcomes.

5.2 BPs and information items for ITES-BPO lifecycle processes

5.2.1 Strategic enablement (SEN) processes

There are two processes under this category:

a) SEN1: Strategic planning and direction setting;

b) SEN2: Innovation management:

Tables 1 – 6 contain the relevant processes related to strategic enablement:

— Table 1: SEN1 Strategic planning and direction setting process purpose and outcomes;

— Table 2: SEN1 Strategic planning and direction setting process BPs;

— Table 3: SEN1 Strategic planning and direction setting process information items;

— Table 4: SEN2 Innovation management process purpose and outcomes;

— Table 5: SEN2 Innovation management process BPs;

— Table 6: SEN2 Innovation management process information items.

Table 1 — SEN1 Strategic planning and direction setting process purpose and outcomes

ID	**SEN1**
Name	**Strategic planning and direction setting**
Purpose	The purpose of the SEN1 process is to define and share business objectives, strategies and organizational roadmaps to achieve strategic goals.
Outcomes	As a result of the successful implementation of this process: a) business objectives, direction and strategies are defined and shared to the organization and relevant stakeholders; b) business objectives, direction and strategies are defined for service offerings of the service provider; c) implementation plans are defined to achieve business objectives, direction and strategies; d) strategic roadmaps are developed within the constraints of the service provider resources; e) commitment and leadership with respect to the business is demonstrated; f) digital vision and strategy are outlined, defining the role and approach for using digital technologies within the ITES-BPO organization.

Table 2 — SEN1 Strategic planning and direction setting process BPs

ID	SEN1
BPs	**BP1. Determine objectives**: Bring together required stakeholders to develop long-term organization objectives in terms of lines of business, growth prospects, contributions to geography, etc. [Outcome a)] **BP2. Cascade objectives across organization:** Determine specific objectives at a business unit and department level in line with the organization objectives. [Outcome a), b)] **BP3. Determine roadmaps and targets:** Identify specific roadmaps, targets for business lines, both for long term and short term. [Outcome c), d)] **BP4. Demonstrate commitment and leadership:** Demonstrate commitment and leadership with respect to the business. [Outcome e)] **BP5. Define the approach to leveraging digital capabilities:** Outline the digital vision and strategy. Define the role it is intending to play in the digital ecosystem within the ITES-BPO organization. [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 1, row "Outcomes".	

Table 3 — SEN1 Strategic planning and direction setting process information items

Information items	
Inputs	**Outputs**
2.01 Business case [Outcome a), c), f)] 2.13 Stakeholder list [Outcome b)] 2.09 Contract obligation mapping [Outcome e)] 3.09 Business plan [Outcome e)] 3.14 Communication plan [Outcome f)] 4.06 Digital vision and strategy [Outcome f)]	3.09 Business plan [Outcome a), f)] 3.39 Strategic plan [Outcome a), f)] 8.19 Organizational objectives [Outcome a), f)] 6.05 Business review report [Outcome b), c)] 3.18 Department or unit implementation plans [Outcome c), d), e)] 3.37 Roadmap [Outcome d), e)] 2.09 Contract obligation mapping [Outcome e)] 8.24 Roles and responsibilities [Outcome e), f)] 4.06 Digital vision and strategy [Outcome f)] 9.05 Communication record [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 1, row "Outcomes".	

Table 4 — SEN2 Innovation management process purpose and outcomes

ID	SEN2
Name	**Innovation management**
Purpose	The purpose of the SEN2 process is to plan and implement programmes to make major changes to business processes leading to significant benefits by deploying innovation.
Outcomes	As a result of the successful implementation of this process: a) an innovation framework is created at an organization level; b) a measurement framework is established; c) a deployment strategy is defined at an organization and process level; d) the major change (innovation) is executed and progress is monitored and reviewed against expected outcomes; e) the customer organization is involved as appropriate; f) progress is communicated to stakeholders.

Table 5 — SEN2 Innovation management process BPs

ID	SEN2
BPs	**BP1. Create innovation framework:** Create an organization-level innovation framework which provides guidance for deployment and management of innovation. [Outcome a)] **BP2. Establish a measurement framework:** Design and deploy a measurement framework to gauge the level of innovation at a process level. [Outcome b)] **BP3. Define deployment strategy:** Establish a framework deployment strategy at organization and process level, including innovation themes and teams. [Outcome c), e)] **BP4. Execute innovation within identified scope:** Innovation teams deliver innovation, as defined in the deployment strategy, at organization and process level. [Outcome d)] **BP5. Monitor innovation progress:** Measure innovation using established measurement framework at periodic intervals. Monitor progress against expected outcomes. [Outcome d)] **BP6. Communicate progress and involve stakeholders**: Communicate innovation activities and progress and engage stakeholders to contribute and prepare to embrace deployed change. [Outcome e), f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 4, row "Outcomes".	

Table 6 — SEN2 Innovation management process information items

Information items	
Inputs	**Outputs**
2.20 Partner list [Outcome a)] 5.06 Innovation framework [Outcome a)] 3.39 Strategic plan [Outcome a), b), d)] 3.04 Budget [Outcome c)] 4.03 Innovation deployment strategy [Outcome c)] 5.11 Programme governance framework [Outcome c), d)] 9.20 Innovation tracker [Outcome c), d)] 5.13 Reward and recognition process document [Outcome d), e)] 3.14 Communication plan [Outcome d), e), f)]	2.20 Partner list [Outcome a)] 5.06 Innovation framework [Outcome a)] 3.27 Innovation roadmap [Outcome a), c)] 4.03 Innovation deployment strategy [Outcome b), c), d), e)] 6.22 Innovation measurement dashboard [Outcome b), d), e)] 9.20 Innovation tracker [Outcome c), d)] 5.11 Programme governance framework [Outcome d)] 6.21 Innovation benefits report [Outcome d), e)] 9.05 Communication records [Outcome d), f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 4, row "Outcomes".	

5.2.2 Relationship (RLS) processes

There are two processes under this category:

a) RLS1: Customer relations management;

b) RLS2: Supplier management.

Tables 7 – 12 contain the relevant processes related to relationship:

— Table 7: RLS1 Customer relations management process purpose and outcomes;

— Table 8: RLS1 Customer relations management process BPs;

— Table 9: RLS1 Customer relations management process information items;

— Table 10: RLS2 Supplier management process purpose and outcomes;

— Table 11: RLS2 Supplier management process BPs;

— Table 12: RLS2 Supplier management process information items.

Table 7 — RLS1 Customer relations management process purpose and outcomes

ID	RLS1
Name	**Customer relations management**
Purpose	The purpose of the RLS1 process is to identify and manage customer relations, including the management of customer requirements and customer expectations to improve the level of customer satisfaction.
Outcomes	As a result of the successful implementation of this process: a) requirements and expectations of customers, service users and other interested parties are identified, reviewed and agreed upon; b) customer satisfaction is collected, recorded and measured; c) customer escalations, complaints and actions taken are recorded, tracked and resolved; d) actions to improve customer satisfaction are identified, recorded and tracked until closure.

Table 8 — RLS1 Customer relations management process BPs

ID	RLS1
BPs	**BP1. Document relationship attributes:** Identify cultural, market, loyalty and beneficiaries' attributes. Identify customer attributes. [Outcome a)] **BP2. Document customers and stakeholders**: Record contacts and relationships with the business, customers, users and stakeholders. A customer relationship management system with details of contacts in the customer organization and corresponding contacts in the service provider is maintained. [Outcome a)] **BP3. Identify customer needs and expectations including communication needs:** Identify customer needs and expectations, and plan customer communications. [Outcome a)] **BP4. Establish and measure customer satisfaction targets:** Define measurement targets for achieving customer satisfaction. Collect data at a defined interval to gauge customer satisfaction. [Outcome b)] **BP5. Communicate customer satisfaction results:** Communicate results of customer satisfaction measurement to stakeholders. [Outcome b)] **BP6. Manage complaints, compliments and escalations:** Log complaints and compliments from existing information, customer feedback and service reviews. Manage status, communication, escalations and closure. [Outcome c)] **BP7. Identify and act on improvement opportunities:** Analyse customer satisfaction and service user experience results for improvement opportunities. Identify and select improvement opportunities. Take action on selected improvement opportunities. [Outcome b), d)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 7, row "Outcome".	

Table 9 — RLS1 Customer relations management process information items

Information items	
Inputs	**Outputs**
8.07 Customer requirement [Outcome a)] 8.08 Customer satisfaction measurement method [Outcome a), b), d)] 9.12 Customer feedback [Outcome a), c)] 2.08 Contract [Outcome a), d)] 3.14 Communication plan [Outcome b)] 9.13 Customer relationship repository [Outcome b), c)]	2.19 Marketing collateral [Outcome a)] 3.14 Communication plan [Outcome a)] 6.24 Market analysis report [Outcome a)] 8.05 Customer approved solution document [Outcome a)] 8.07 Customer requirement [Outcome a)] 9.13 Customer relationship repository [Outcome a)] 6.11 Customer satisfaction analysis [Outcome a), b)] 2.08 Contract [Outcome a), d)] 9.05 Communication record [Outcome b)] 9.12 Customer feedback [Outcome b), c)] 9.19 Improvement opportunity record [Outcome b), d)] 9.06 Complaints and compliments action log [Outcome c)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 7, row "Outcome".	

Table 10 — RLS2 Supplier management process purpose and outcomes

ID	**RLS2**
Name	**Supplier management**
Purpose	The purpose of the RLS2 process is to select and manage suppliers to provide the required service as per the requirements.
Outcomes	As a result of the successful implementation of this process: a) suppliers are selected for specific services according to the identified criteria; b) services to be provided are defined and negotiated with each supplier; c) roles and relationships between suppliers are determined; d) supplier obligations to meet requirements, including security and privacy standards, are monitored and managed; e) supplier performance against agreed criteria is monitored and managed; f) service level requirements remain in line with overall committed customer needs or are actively managed where not; g) the supply chain is fully integrated; h) supplier risks are identified; i) a supply value chain is established to improve customer satisfaction.

Table 11 — RLS2 Supplier management process BPs

ID	RLS2
BPs	**BP1. Identify supplier nominations**: Shortlist suppliers based on ability to deliver business requirements and defined service level agreements (SLAs) according to the identified criteria. [Outcome a)] **BP2. Undertake supplier selection:** Determine the services to be provided, scope, timelines, cost and other business parameters, and supplier selection criteria. Evaluate supplier. [Outcome a)] **BP3. Negotiate and agree services:** Negotiate and agree on the price, service, service levels, obligations and governance. [Outcome b), f)] **BP4. Define roles and responsibilities:** Define roles and responsibilities for the supplier and service provider. [Outcome c)] **BP5. Review supplier performance and identify supplier risks:** Review performance against committed targets and obligations, security and privacy, and compliance. Identify supplier risks. Seek remedial plans from supplier for any non-performance. [Outcome d), e), f)] **BP6. Establish and manage the supply value chain:** Design, establish, manage and measure a value chain of suppliers to deliver value to customers. [Outcome e), g), h), i)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 10, row "Outcomes".	

Table 12 — RLS2 Supplier management process information items

Information items	
Inputs	**Outputs**
2.14 Supplier key contacts [Outcome a)] 8.21 Proposal [Outcome a), b)] 8.34 Supplier requirements [Outcome a), b)] 8.36 Supplier selection criteria [Outcome a), g)] 8.35 Supplier roles and responsibilities [Outcome b), c), g)] 8.32 Supplier contract [Outcome c), g)] 6.29 Supplier performance report [Outcome d), e), f), g), h), i)]	2.15 Supplier shortlist [Outcome a), h)] 8.32 Supplier contract [Outcome b), c), e), f), g), h)] 8.35 Supplier roles and responsibilities [Outcome b), c), g)] 6.29 Supplier performance report [Outcome d), e), f), g), h), i)] 9.11 Corrective or preventive actions records [Outcome g)] 9.32 Supplier meet records [Outcome h), i)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 10, row "Outcomes".	

5.2.3 Solution (SLN) processes

There are two processes under this category:

a) SLN1: Solution development;

b) SLN2: Contract lifecycle management.

Tables 13 – 18 contain the relevant processes related to solution:

— Table 13: SLN1: Solution development process purpose and outcomes;

— Table 14: SLN1: Solution development process BPs;

— Table 15: SLN1: Solution development process information items;

— Table 16: SLN2: Contract lifecycle management process purpose and outcomes;

— Table 17: SLN2: Contract lifecycle management process BPs;

— Table 18: SLN2: Contract lifecycle management process information items.

Table 13 — SLN1 Solution development process purpose and outcomes

ID	SLN1
Name	**Solution development**
Purpose	The purpose of the SLN1 process is to develop solutions that meet the identified customer requirements within known constraints.
Outcomes	As a result of the successful implementation of this process: a) customer requirements and known constraints are defined; b) a project plan is developed for transition and delivery of the required outsourced business processes; c) solutions are identified for the transition and the delivery of services that meet agreed current and future business needs; d) customer success criteria are clearly defined; e) solutions are formally accepted by the customer.

Table 14 — SLN1 Solution development process BPs

ID	SLN1
BPs	**BP1. Identify requirements of services:** Understand and record the requirements, including the broader purpose, scope, timelines and components of process to be outsourced. [Outcome a), d)] **BP2. Develop a feasible solution(s):** Develop feasible solutions based on the constraints and requirements of the customer. [Outcome b), c), d)] **BP3. Develop knowledge transfer proposal:** Define an approach to understanding processes to be transitioned and to creating standard operating procedures and training manuals. [Outcome a), b), c)] **BP4. Define people mobilization and transfer proposal:** Based on transaction volumes, types of transaction and business cycles, determine an appropriate headcount to deliver the processes, including the ramp-up and ramp-down plan during transfer of processes. [Outcome a), b), c)] **BP5. Define infrastructure proposal:** Identify appropriate technology to perform processes at the service provider's organization. This encompasses technology and non-technology infrastructure, both to be transferred or any additional infrastructure required, including licence transfer. [Outcome a), b), c)] **BP6. Define transition proposal:** Define process changes in the service provider operation, timelines for transfer of the process. Establish milestone reviews, escalation process and project risk management. [Outcome b), c)] **BP7. Define service delivery proposal:** Define processes and procedures required to perform the processes for service delivery. [Outcome a), b), c)] **BP8. Define plans for risk management, information security and business continuity:** Define plans for risk management, information security and business continuity based on the service requirements identified. [Outcome a), c)] **BP9. Obtain formal acceptance of solution from the customer:** Based on mutual discussion, determine an optimum solution and achieve sign-off. [Outcome d), e)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 13, row "Outcomes".	

Table 15 — SLN1 Solution development process information items

Information items	
Inputs	**Outputs**
8.07 Customer requirement [Outcome a), e)] 6.32 Volume seasonality analysis [Outcome b)] 5.17 Transition methodology document [Outcome b), c), d)] 5.03 Current process maps [Outcome c)] 2.13 Stakeholder list [Outcome d)] 8.31 Solution proposal [Outcome d), e)]	3.22 Governance plan [Outcome a)] 8.07 Customer requirements [Outcome a)] 3.43 Transition plan [Outcome b), c), d)] 8.31 Solution proposal [Outcome c)] 8.05 Customer approved solution document [Outcome d), e)] 8.09 Customer success criteria [Outcome e)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 13, row "Outcomes".	

Table 16 — SLN2 Contract lifecycle management process purpose and outcomes

ID	**SLN2**
Name	**Contract lifecycle management**
Purpose	The purpose of the SLN2 process is to develop, agree and manage a contract, including mutually agreed terms and conditions against which the contracting parties perform their obligations.
Outcomes	As a result of a successful implementation of this process: a) goals and objectives of the contracting parties are aligned; b) obligations of the contracting parties are agreed upon; c) risks are clarified and agreed upon between the contracting parties; d) mutually satisfactory due diligence is achieved; e) service level and customer satisfaction targets are agreed; f) contracts are accepted and signed by contracting parties; g) contract changes are assessed, recorded, tracked and actioned; h) expirations and renewals are assessed, recorded, tracked and actioned; i) metrics are measured, alignment to all contracted targets is assessed and corrective action is put in place to address any deviations.

Table 17 — SLN2 Contract lifecycle management process BPs

ID	**SLN2**
BPs	**BP1. Align objectives**: Goals and objectives of contracting parties are aligned. [Outcome a), d)] **BP2. Define and monitor obligations:** Define roles and responsibilities for the contracting parties with obligations. Monitor delivery of obligations, tracking corrective actions or invoking dispute resolution for deviations. [Outcome b), i)] **BP3. Establish allocation of risks:** Identify risks and assign to the respective parties. [Outcome c)] **BP4. Agree service levels and targets:** Customer satisfaction and SLAs are agreed upon and signed between contracting parties. [Outcome e), f)] **BP5. Assess performance**: Define and agree measures, assess targets and implement corrective actions if required. [Outcome e), i)] **BP6. Manage contracts:** Undertake contracted activities in compliance with the relevant laws and regulations. Record, track and action contract change, expirations and renewals. [Outcome f), g), h)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 16, row "Outcomes".	

Table 18 — SLN2 Contract lifecycle management process information items

Information items	
Inputs	**Outputs**
8.14 Internal stakeholder requirements [Outcome a)] 6.10 Contracts review report [Outcome a), b), g), h), i)] 8.33 Supplier objectives [Outcome a), d)] 8.06 Customer objectives [Outcome a), d), i)] 2.08 Contract [Outcome b), c), f)] 9.30 Risk log [Outcome c)] 4.01 Contract policy [Outcome c), d), e), h)] 9.09 Contract tracker [Outcome f), g), h)]	2.09 Contract obligation mapping [Outcome a), b), d), e), i)] 8.33 Supplier objectives [Outcome a), d)] 8.06 Customer objectives [Outcome a), i)] 9.30 Risk log [Outcome c)] 2.08 Contract [Outcome f), g), h)] 9.09 Contract tracker [Outcome f), g), h)] 9.10 Contracts repository [Outcome f), g), h)] 9.08 Contract change control [Outcome g), h)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 16, row "Outcomes".	

5.2.4 Transition in (TRN) processes

There are six processes under this category:

a) TRN1: People mobilization;

b) TRN2: Infrastructure set-up — technology;

c) TRN3: Infrastructure set-up — non-technology;

d) TRN4: Knowledge transfer;

e) TRN5: Service delivery planning;

f) TRN6: Pilot implementation.

Tables 19 – 36 contain the relevant processes related to transition in:

— Table 19: TRN1: People mobilization process purpose and outcomes;

— Table 20: TRN1: People mobilization process BPs;

— Table 21: TRN1: People mobilization process information items;

— Table 22: TRN2: Infrastructure set-up — technology process purpose and outcomes;

— Table 23: TRN2: Infrastructure set-up — technology process BPs;

— Table 24: TRN2: Infrastructure set-up — technology process information items;

— Table 25: TRN3: Infrastructure set-up — non-technology process purpose and outcomes;

— Table 26: TRN3: Infrastructure set-up — non-technology process BPs;

— Table 27: TRN3: Infrastructure set-up — non-technology process information items;

— Table 28: TRN4: Knowledge transfer process purpose and outcomes;

— Table 29: TRN4: Knowledge transfer process BPs;

— Table 30: TRN4: Knowledge transfer process information items;

— Table 31: TRN5: Service delivery planning process purpose and outcomes;

— Table 32: TRN5: Service delivery planning process BPs;

— Table 33: TRN5: Service delivery planning process information items;

— Table 34: TRN6: Pilot implementation process purpose and outcomes;

— Table 35: TRN6: Pilot implementation process BPs;

— Table 36: TRN6: Pilot implementation process information items.

Table 19 — TRN1 People mobilization process purpose and outcomes

ID	TRN1
Name	**People mobilization**
Purpose	The purpose of the TRN1 process is to mobilize the required number of people with the required skills and experience to meet the identified service delivery requirements and the transition timescales.
Outcomes	As a result of the successful implementation of this process: a) required human resource levels and skill sets are determined based on agreed solutions; b) human resources are identified and recruited to meet requirements; c) human resources requirements mandated by the customer are verified; d) induction activities are completed within the transition timescales; e) skill sets of transferring resources are verified; f) skill sets are enhanced to meet service delivery requirements; g) continual professional development requirements are identified and assessed, recorded, tracked and met; h) transfer of employees is managed in line with relevant regulatory requirements; i) delivery organization structures, roles and responsibilities and competencies are defined and communicated; j) people mobilization activities are accepted by the customer in accordance with the acceptance criteria; k) cross-functional and multi-skilled teams are created within the organization optimizing sourcing options.

Table 20 — TRN1 People mobilization process BPs

ID	TRN1
BPs	**BP1. Undertake resource needs analysis:** Determine and verify human resource requirements based on solutions and internal resource availability. [Outcome a), c)] **BP2. Determine sourcing options**: Identify sourcing options, such as recruitment, transfer of staff, reskilling, etc. Analyse and evaluate options. Define sourcing solution. [Outcome b)] **BP3. Undertake resource selection:** Select human resources from internal options. Comply with the regulatory requirements, acceptance criteria including but not limited to required background verification. Customer selection for required resources. [Outcome b), c), d), e), h)] **BP4. Recruit resources:** Initiate hiring of resources. Ensure availability of resources is accepted by the customer in accordance with the acceptance criteria. [Outcome b), c), i)] **BP5. Develop and deliver induction:** Define overall organization and delivery-specific induction and communicate to ensure new employees understand the culture and processes. [Outcome d)] **BP6. Manage training needs:** Establish and deploy training needs analysis, process training, customer culture training, domain and other identified training. Evaluate to ensure adequacy of knowledge and skills. Maintenance of training records. [Outcome d), e), f)] **BP7. Undertake continual professional development:** Identify, plan and deliver the continual professional development requirements for the resources, based on the present and future roles expected to be performed by the resources. Maintain records of continual professional development requirements (identified, planned and delivered) for each resource. [Outcome e), f), g)] **BP8. Design delivery organization:** Roles, responsibilities, organization structures, etc. are designed for the delivery of specific services based on acceptance criteria. [Outcomes i)] **BP9. Gain acceptance of mobilized resources:** Define acceptance criteria for review and acceptance of people mobilization activities. Gain customer acceptance. [Outcomes j)] **BP10: Plan for team agility:** Provide a diversity of teams comprised of different skill-sets, functions and geographies to respond business changes. [Outcomes e), f), g), k)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 19, row "Outcomes".	

Table 21 — TRN1 People mobilization process information items

Information items	
Inputs	**Outputs**
8.05 Customer approved solution document [Outcome a)] 2.05 Skills framework [Outcome a), b), c), e), f), k)] 3.34 Resource forecast [Outcome a), b), d), f), k)] 3.43 Transition plan [Outcome a), d), h), i)] 6.28 Sourcing options report [Outcome b), g), h), k)] 2.08 Contract [Outcome c), g), i)] 3.25 Induction programme outline [Outcome d), e), h)] 8.22 Regulatory requirements [Outcome g)] 8.01 Acceptance criteria [Outcome j)] 2.10 Deployable resources list [Outcome k)]	3.34 Resource forecast [Outcome a)] 2.10 Deployable resources list [Outcome b), c), d), e), g), k)] 9.33 Training records [Outcome c), d), e), h)] 3.24 Induction programme [Outcome d)] 2.17 Training needs analysis [Outcome e), f), k)] 2.06 Training material [Outcome e), k)] 8.23 Role competencies [Outcome e), k)] 3.17 Continual professional development plan [Outcome f), k)] 9.05 Communication record [Outcome h), j)] 2.02 Delivery organization chart [Outcome i)] 9.14 Customer sign-off [Outcome i), j)] 8.01 Acceptance criteria [Outcome j)] 2.05 Skills framework [Outcome k)] 6.28 Sourcing options report [Outcome k)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 19, row "Outcomes".	

Table 22 — TRN2 Infrastructure set-up — technology process purpose and outcomes

ID	TRN2
Name	**Infrastructure set-up — technology**
Purpose	The purpose of the TRN2 process is to set-up the technology infrastructure to meet the service delivery requirements.
Outcomes	As a result of the successful implementation of this process: a) technology infrastructure requirements, as appropriate, are identified, planned, validated, tested and implemented in line with the service delivery requirements and transition plan; b) technology infrastructure requirements are implemented and configured in line with security and compliance requirements, limiting access to authorized persons based on role provisioning and authorization; c) performance relating to the technology infrastructure is defined, measured, reviewed, improved and reported; d) technology infrastructure is agreed upon by the customer in accordance with the acceptance criteria; e) emerging technology is evaluated and appropriately applied to meet service delivery needs.

Table 23 — TRN2 Infrastructure set-up — technology process BPs

ID	TRN2
BPs	**BP1. Identify and validate technology requirements:** Identify and validate all technology requirements to meet service delivery needs, including data analytics and reporting, security and compliance, evaluating emerging technology as appropriate. [Outcome a), e)] **BP2. Plan and implement technology:** Define plan for the required technology to ensure technology requirements are met. Implement planned technology. [Outcome b)] **BP3. Integrate with customer technology**: Establish seamless interface with customer's technology, with appropriate controls as identified. [Outcome b)] **BP4. Correct technology set-up defects:** Take action to correct defects in the technology set-up in a timely manner. [Outcome b)] **BP5. Manage technology performance:** Define and measure appropriate metrics related to technology performance. [Outcome b), c)] **BP6. Gain acceptance of technology:** Define acceptance criteria for the review and acceptance of the technology. Gain customer acceptance. [Outcome c), d)] **BP7. Identify and validate technology requirements:** Identify and validate all technology requirements to meet service delivery needs. [Outcome a), e)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 22, row "Outcomes".	

Table 24 — TRN2 Infrastructure set-up — technology process information items

Information items	
Inputs	**Outputs**
2.08 Contract [Outcome a), b), c)] 3.40 Technology requirements and fulfilment plan [Outcome a), b), e)] 3.43 Transition plan [Outcome a), b), e)] 8.24 Roles and responsibilities [Outcome b)] 8.25 Security and compliance IT checklist [Outcome b), e)] 8.26 Security and compliance requirements [Outcome b), e)] 6.27 Service performance report [Outcome c)] 8.15 IT SLA [Outcome c), d)] 8.01 Acceptance criteria [Outcome d)] 2.18 Emerging technology list [Outcome e)]	3.40 Technology requirements and fulfilment plan [Outcome a), e)] 6.26 Service acceptance report [Outcome b), e)] 6.31 User acceptance reports [Outcome b), e)] 8.13 Infrastructure technology service definition [Outcome b), e)] 6.17 Incident report or dashboard [Outcome c)] 6.27 Service performance report [Outcome c)] 8.01 Acceptance criteria [Outcome d)] 9.14 Customer sign-off [Outcome d)] 6.34 Emerging technology evaluation report [Outcome e)]

Table 25 — TRN3 Infrastructure set-up — non-technology process purpose and outcomes

ID	**TRN3**
Name	**Infrastructure set-up — non-technology**
Purpose	The purpose of the TRN3 process is to set-up the non-technology infrastructure to meet the service delivery requirements.
Outcomes	As a result of the successful implementation of this process: a) non-technology infrastructure requirements are identified in line with service delivery requirements and transition plan; b) non-technology infrastructure is planned, selected and implemented in line with service delivery requirements; c) non-technology infrastructure is tested and validated in line with service delivery requirements; d) non-technology facilities for special working arrangements are established; e) non-technology infrastructure is agreed upon by the customer in accordance with the acceptance criteria.

Table 26 — TRN3 Infrastructure set-up — non-technology process BPs

ID	**TRN3**
BPs	**BP1. Identify and validate non-technology requirements:** Identify and validate non-technology requirements (including physical security and time constraints) to meet service delivery requirements. [Outcome a), c)] **BP2. Plan, select and set-up non-technology requirements:** Define a plan for the required non-technology to ensure non-technology requirements are met, including lead times. Finalize the delivery location(s). Establish seats, desktops and phones. Establish physical security (e.g. physical frisking, flap barriers, access-controlled delivery centres) and planned non-technology. [Outcome b)] **BP3: Identify and implement special infrastructure needs:** Establish non-technology infrastructure for non-standard working hours and other special requirements (such as transport, canteen, medical, physical security requirements, access control and other support services) based on process requirements. [Outcome d)] **BP4: Gain acceptance of non-technology:** Establish the process for formal acceptance, including definition of non-technology acceptance criteria and monitoring for consistent achievement. Gain customer acceptance. [Outcome d), e)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 25, row "Outcomes".	

Table 27 — TRN3 Infrastructure set-up — non-technology process information items

Information items	
Inputs	**Outputs**
3.43 Transition plan [Outcome a), b), c), d)] 2.08 Contract [Outcome a), b), d)] 3.30 Non-technology requirements and fulfilment plan [Outcome a), c)] 8.26 Security and compliance requirements [Outcome a), c)] 3.20 Facilities plan [Outcome c)] 8.18 Non-standard working conditions requirement [Outcome d)] 8.01 Acceptance criteria [Outcome e)]	3.30 Non-technology requirements and fulfilment plan [Outcome a), b)] 2.04 Office facilities inventory [Outcome c), d)] 5.09 Physical security controls procedure [Outcome c), d)] 8.18 Non-standard working conditions requirement [Outcome d)] 8.01 Acceptance criteria [Outcome e)] 9.14 Customer sign-off [Outcome e)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 25, row "Outcomes".	

Table 28 — TRN4 Knowledge transfer process purpose and outcomes

ID	**TRN4**
Name	**Knowledge transfer**
Purpose	The purpose of the TRN4 process is to ensure the knowledge of business process, operations and information gets transferred between the customer's organization or current service provider and the new service provider.
Outcomes	As a result of the successful implementation of this process: a) the scope of required knowledge is identified; b) the knowledge transfer plan is defined; c) required knowledge assets are created; d) human resources attain the required knowledge to deliver the service; e) knowledge transfer completion is agreed upon by the customer and the service provider in accordance with the acceptance criteria.

Table 29 — TRN4 Knowledge transfer process BPs

ID	TRN4
BPs	**BP1. Identify knowledge transfer scope:** Identify the knowledge transfer requirements, including the processes, specific teams and locations and knowledge management objectives. [Outcome a)] **BP2. Establish knowledge transfer plan:** Define a knowledge transfer plan, including the overall duration to acquire knowledge, team sizes undertaking knowledge acquisition, data collection activities, sign-off criteria and assessment methods. [Outcome b)] **BP3. Create knowledge assets:** Obtain or produce process knowledge assets during knowledge acquisition, such as process maps, presentations, videos, etc. Retain knowledge assets with a mechanism to update. Manage and update the knowledge assets continually, based on changing customer requirements and processes. [Outcome c)] **BP4. Acquire knowledge:** Acquire knowledge to understand implemented process complexity, customer impact, current methods, tools, transfer procedures, cultural and other implications. Deploy detailed data collection plan to understand process characteristics. Track all practice cases based on the knowledge transfer plan. [Outcome d)] **BP5. Transfer knowledge to identified employees:** Transfer knowledge to the mobilized teams using the knowledge assets created by the initial core teams who undertook knowledge acquisition. [Outcome d)] **BP6. Develop assessment mechanisms for acceptance:** Determine and establish assessment mechanisms to assess the completeness of the knowledge acquired. Assessment mechanisms can include contextual practical exercises depending on the process area. Gain formal acceptance from customers based on assessment results against acceptance criteria. [Outcome d), e)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 28, row "Outcomes".	

Table 30 — TRN4 Knowledge transfer process information items

Information items	
Inputs	**Outputs**
2.08 Contract [Outcome a)] 3.34 Resource forecast [Outcome a)] 2.02 Delivery organization chart [Outcome a), b)] 3.43 Transition plan [Outcome a), b)] 5.01 As-is process documentation [Outcome a), b), c), d)] 6.12 Delivery capability assessment report [Outcome e)] 8.01 Acceptance criteria [Outcome e)]	8.23 Role competencies [Outcome a)] 3.29 Knowledge transfer plan [Outcome b)] 3.32 Process documentation plan [Outcome b)] 5.10 Process maps and procedures [Outcome c)] 9.22 Knowledge asset [Outcome c)] 2.06 Training material [Outcome d)] 2.16 Trained and skilled resources list [Outcome d)] 8.01 Acceptance criteria [Outcome e)] 9.14 Customer sign-off [Outcome e)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 28, row "Outcomes".	

Table 31 — TRN5 Service delivery planning process purpose and outcomes

ID	TRN5
Name	**Service delivery planning**
Purpose	The purpose of the TRN5 process is to establish an operational delivery and governance plan for service delivery.
Outcomes	As a result of the successful implementation of this process: a) human resource management is planned and established; b) business process management is planned and established; c) infrastructure — technology is planned and established; d) infrastructure— non-technology is planned and established; e) financial, operations, risk, business continuity, security, compliance and improvement plans are established; f) metrics and measurement systems are established; g) communication and governance mechanisms are established to provide monitoring, review, joint decision-making and issue resolution; h) a service delivery plan is agreed upon by the customer in accordance with the acceptance criteria.

Table 32 — TRN5 Service delivery planning process BPs

ID	TRN5
BPs	**BP1. Plan operations:** Establish an approach for scheduling, allocation of operational activities and responsibilities. [Outcome a), b), c), d), e)] **BP2. Establish measurement and reporting:** Establish metrics and measurement systems to monitor, report and act on the process performance, including customer feedback and corrective actions. [Outcome f)] **BP3. Establish communications plan and governance framework:** Establish steady state governance and ongoing communication channels to review, report and publish performance to stakeholders. [Outcome g)] **BP4. Achieve service delivery plan sign-off:** Ensure service delivery plan is in line with the acceptance criteria, meets the service delivery requirements and is signed off by all stakeholders and customers. [Outcome h)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 31, row "Outcomes".	

Table 33 — TRN5 Service delivery planning process information items

Information items	
Inputs	**Outputs**
3.43 Transition plan [Outcome a), b), c), d), e)]	3.38 Service delivery plan [Outcome a), b), c), d), e)]
8.05 Customer approved solution document [Outcome a), b), c), d), e), f)]	8.30 Service readiness checklist [Outcome a), b), c), d), e), h)]
8.30 Service readiness checklist [Outcome a), b), c), d), e), h)]	5.08 Measurement systems [Outcome f)]
2.08 Contract [Outcome f), g), h)]	3.14 Communication plan [Outcome g)]
3.22 Governance plan [Outcome g)]	5.05 Governance framework [Outcome g)]
8.01 Acceptance criteria [Outcome h)]	9.14 Customer sign-off [Outcome h)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 31, row "Outcomes".	

Table 34 — TRN6 Pilot implementation process purpose and outcomes

ID	**TRN6**
Name	**Pilot implementation**
Purpose	The purpose of the TRN6 process is to verify the solution design in a safe environment before deployment of a full-scale service delivery solution.
Outcomes	As a result of the successful implementation of this process: a) a pilot plan and pilot success criteria are defined; b) human resource management and knowledge transfer is tested; c) business process management is tested; d) infrastructure — technology is tested; e) infrastructure — non-technology is tested; f) financial, operations, risk, security, compliance, change, issue and improvement plans are tested; g) business continuity plans are tested; h) operations are tested; i) piloted service level performance and volumes are verified; j) customer feedback is recorded and corrective actions are tracked to closure; k) pilot completion and new or changed service deployment are agreed upon by the service provider in accordance with the acceptance criteria.

Table 35 — TRN6 Pilot implementation process BPs

ID	TRN 6
BPs	**BP1. Develop pilot plan:** Develop pilot plan with details on the process or sub-process, duration, volumes to be tested, resources required and success criteria. [Outcome a)] **BP2. Test risk, business continuity:** Establish and implement the processes to ensure risk and business continuity of the outsourced process are tested in a pilot environment. Feedback is recorded, communicated to stakeholders, resolved and incorporated in service delivery planning. [Outcome b), f), g), j)] **BP3. Test infrastructure readiness:** Establish and implement processes to ensure both technology and non-technology infrastructure of the outsourced process are tested in a pilot environment. Feedback is recorded, communicated to stakeholders, resolved and incorporated in service delivery planning. [Outcome c), f), h), j)] **BP4. Verify knowledge transfer:** Establish and implement processes to ensure knowledge of the team performing the outsourced process is tested in a pilot environment. Feedback is recorded, communicated to stakeholders, resolved and incorporated in service delivery planning. [Outcome d), f), j)] **BP5. Verify capacity and service performance levels:** Establish and implement processes to ensure volumetric and quality of performance of the outsourced process is tested in a pilot environment. Feedback is recorded, communicated to stakeholders, resolved and incorporated in service delivery planning. Variance between quality checks done by the service provider and customer are tracked and reported. Calibrate to ensure service quality levels are consistent. [Outcome e), f), j)] **BP6. Assess service delivery readiness:** Summarize conclusions from all testing and other learnings from pilot. Identify any further potential changes or improvements for execution during service delivery. [Outcome b), c), d), e), f), g), h), i)] **BP7. Achieve pilot sign-off:** Establish the process for formal pilot evaluation and acceptance against acceptance criteria. Achieve sign-off. [Outcome a), j), k)] **BP8. Achieve transition sign-off:** Ensure all transition milestones and deliverables are completed and acceptance criteria approved and signed off by all stakeholders and customers. [Outcome k)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 34 row, "Outcomes".	

Table 36 — TRN6 Pilot implementation process information items

Information items	
Inputs	**Outputs**
8.07 Customer requirement [Outcome a)] 8.05 Customer approved solution document [Outcome a), b), c), d), e), f), g), h), i)] 8.27 Service level agreement (SLA) [Outcome a), h)] 2.08 Contract [Outcome a), i)] 3.43 Transition plan [Outcome b), c), d), e), f), g), h), i)] 8.01 Acceptance criteria [Outcome j), k)]	3.31 Pilot plan [Outcome a), b), c), d), e), f), g), h), i)] 6.25 Pilot report [Outcome b), c), d), e)] 3.38 Service delivery plan [Outcome b), c), d), e), f), g), h), i)] 9.11 Corrective or preventive actions records [Outcome b), c), d), e), f), g), h), i)] 9.12 Customer feedback [Outcome b), c), d), e), f), g), h), i)] 9.30 Risk log [Outcome f)] 6.02 Business continuity test report [Outcome g)] 8.01 Acceptance criteria [Outcome j), k)] 9.28 Pilot sign-off [Outcome j), k)] 9.35 Transition sign-off [Outcome k)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 34 row, "Outcomes".	

5.2.5 Service delivery (SDL) processes

There are four processes under this category:

a) SDL1: Service delivery execution;

b) SDL2: Service delivery reporting;

c) SDL3: Service level management;

d) SDL4: Business process management.

Tables 37 –48 contain the relevant processes related to service delivery:

— Table 37: SDL1: Service delivery execution process purpose and outcomes;

— Table 38: SDL1: Service delivery execution process BPs;

— Table 39: SDL1: Service delivery execution process information items;

— Table 40: SDL2: Service delivery reporting process purpose and outcomes;

— Table 41: SDL2: Service delivery reporting process BPs;

— Table 42: SDL2: Service delivery reporting process information items;

— Table 43: SDL3: Service level management process purpose and outcomes;

— Table 44: SDL3: Service level management process BPs;

— Table 45: SDL3: Service level management process information items;

— Table 46: SDL4: Business process management process purpose and outcomes;

— Table 47: SDL4: Business process management process BPs;

— Table 48: SDL4: Business process management process information items.

Table 37 — SDL1 Service delivery execution process purpose and outcomes

ID	**SDL1**
Name	**Service delivery execution**
Purpose	The purpose of the SDL1 process is to manage, operate and control ongoing service delivery to achieve the desired performance levels.
Outcomes	As a result of the successful implementation of this process: a) roles and responsibilities for delivering services are maintained and assigned; b) daily operations are controlled; c) service delivery is monitored against operational performance targets; d) a governance framework is implemented; e) performance of daily operations is communicated to relevant stakeholders; f) service delivery plans are reviewed and maintained in line with service changes and customer feedback.

Table 38 — SDL1 Service delivery execution process BPs

ID	SDL1
BPs	**BP1. Schedule human resources:** Schedule the available human resources based on the incoming volume or transaction forecast. [Outcome a), c)] **BP2. Assign and train roles to required competency levels:** Train the deployed human resources in line with the required skills and knowledge for each role and activity. Monitor delivery against required performance and identify training needs. [Outcome a), c)] **BP3. Schedule operations:** Deploy a structured approach for scheduling, allocation of operational activities and responsibilities. [Outcome a), b), c)] **BP4. Monitor operations:** Monitor operational performance and identify performance variations and target gaps. [Outcome b), c)] **BP5. Establish communications plan and governance framework:** Establish steady state governance and ongoing communication channels to review, report and publish performance to stakeholders. [Outcome c), d), e), f)] **BP6. Update service delivery plan:** Ensure changes and feedback are recorded, communicated to stakeholders, resolved and incorporated in service delivery planning. [Outcome e), f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 37, row "Outcomes".	

Table 39 — SDL1 Service delivery execution process information items

Information items	
Inputs	**Outputs**
2.05 Skills framework [Outcome a)] 2.06 Training material [Outcome a)] 8.29 Service performance targets [Outcome a), c)] 3.45 Work schedule [Outcome b)] 3.38 Service delivery plan [Outcome b), c), f)] 5.08 Measurement systems [Outcome c)] 6.27 Service performance report [Outcome c), d), e)] 5.05 Governance framework [Outcome d)] 3.14 Communication plan [Outcome e)] 9.03 Change request records [Outcome f)] 9.12 Customer feedback [Outcome f)]	2.02 Delivery organization chart [Outcome a)] 2.10 Deployable resources list [Outcome a)] 2.17 Training needs analysis [Outcome a)] 8.24 Roles and responsibilities [Outcome a)] 9.33 Training records [Outcome a)] 3.45 Work schedule [Outcome b)] 9.11 Corrective or preventive actions records [Outcome b), c)] 5.05 Governance framework [Outcome d)] 3.14 Communication plan [Outcome e)] 9.05 Communication records [Outcome e)] 3.38 Service delivery plan [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 37, row "Outcomes".	

Table 40 — SDL2 Service delivery reporting process purpose and outcomes

ID	SDL2
Name	**Service delivery reporting**
Purpose	The purpose of the SDL2 process is to produce timely and accurate service reports to support effective communication and to make informed decisions.
Outcomes	As a result of the successful implementation of this process: a) service delivery reporting needs are identified; b) service delivery reports are produced, according to service report requirements, which are understandable and provide effective business support; c) service delivery reports are communicated to relevant stakeholders; d) improvement actions are identified and reported; e) service delivery reports are reviewed and maintained in line with service changes and customer feedback; f) decisions are made based on quantifiable and accurate reported performance data.

Table 41 — SDL2 Service delivery reporting process BPs

ID	SDL2
BPs	**BP1. Define the reporting mechanism:** Define the content, format, graphics, channels and templates for reporting performance and metrics, review and maintain. [Outcome a), e)] **BP2. Plan reporting**: Define the types of reports, frequency of reporting and relevant stakeholders to receive the reports. [Outcome a)] **BP3. Collect data and distribute report:** Collect defined data, produce defined reports and communicate reports to stakeholders. [Outcome b), c)] **BP4. Identify and record improvements:** Analyse data and reports to identify improvements and record. [Outcome d)] **BP5. Make decisions based on data:** Business decisions are based on relevant data with resulting quantifiable improvements in operational performance. [Outcome b), c), f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 40, row "Outcomes".	

Table 42 — SDL2 Service delivery reporting process information items

Information items	
Inputs	**Outputs**
2.08 Contract [Outcome a)] 3.38 Service delivery plan [Outcome a)] 8.28 Service performance reporting requirements [Outcome a), b), e)] 3.40 Technology requirements and fulfilment plan [Outcome b)] 6.04 Business performance reports [Outcome b)] 3.14 Communication plan [Outcome b), c), d), f)] 8.29 Service performance targets [Outcome b), c), f)] 5.08 Measurement systems [Outcome b), e)] 6.05 Business review report [Outcome b), f)] 6.27 Service performance report [Outcome b), f)]	2.12 Service performance report templates [Outcome a), b), e)] 6.04 Business performance reports [Outcome b)] 9.05 Communication record [Outcome b, c), d)] 9.19 Improvement opportunity record [Outcome b), d), f)] 6.27 Service performance report [Outcome b), e), f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 40, row "Outcomes".	

Table 43 — SDL3 Service level management process purpose and outcomes

ID	SDL3
Name	**Service level management**
Purpose	The purpose of the SDL3 process is to ensure that the agreed service level targets are met.
Outcomes	As a result of the successful implementation of this process: a) service level targets, workload characteristics and exceptions for services are defined in SLAs; b) service performance is monitored against SLAs; c) corrective and preventive actions are identified and tracked to closure in order to avoid or correct them according to service level performance deviations.

Table 44 — SDL3 Service level management process BPs

ID	SDL3
BPs	**BP1. Define measurable service level targets:** Identify and agree service, service level targets, dependencies and workload characteristics in line with the contract. [Outcome a)] **BP2. Identify deviations to SLA:** Monitor service levels against the target, identify deviations where SLA is missed. [Outcome b)] **BP3. Identify and take corrective and preventive actions**: Analyse deviations to the agreed SLAs, determine corrective and preventive actions and implement the actions. [Outcome c)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 43, row "Outcomes".	

Table 45 — SDL3 Service level management process information items

Information items	
Inputs	**Outputs**
2.08 Contract [Outcome a)] 3.38 Service delivery plan [Outcome a), b)] 5.08 Measurement systems [Outcome a), b)] 8.27 Service level agreement (SLA) [Outcome b)] 6.27 Service performance report [Outcome b), c)]	8.27 SLA [Outcome a)] 6.27 Service performance report [Outcome b)] 9.11 Corrective or preventive actions records [Outcome c)] 9.19 Improvement opportunity record [Outcome c)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 43, row "Outcomes".	

Table 46 — SDL4 Business process management process purpose and outcomes

ID	SDL4
Name	**Business process management**
Purpose	The purpose of the SDL4 process is to manage delivery of business processes, aligned to customer requirements and related external requirements, leading to consistency, reliability, quality, efficiency, effectiveness, continual improvement and regulatory compliance.
Outcomes	As a result of the successful implementation of this process: a) business processes are defined and implemented in accordance with customer requirements; b) business process objectives and service delivery objectives are aligned; c) performance of business processes is monitored, reviewed, controlled; d) corrective actions are taken when necessary and tracked to closure; e) business processes perform in alignment with service level and customer satisfaction targets; f) business process performance is communicated to stakeholders.

Table 47 — SDL4 Business process management process BPs

ID	SDL4
BPs	**BP1. Define process mission:** Develop process mission based on the expected business outcome for the outsourced business process. [Outcome a), b)] **BP2. Document customer requirements:** Discuss and finalize the specific expectations from the customer at different levels. Integrate customer requirements into business processes and targets. [Outcome a)] **BP3. Document processes:** Develop and document the standard operating procedures, process maps. [Outcome a), b)] **BP4. Define implementation approach:** Document deployment charts, process steps and responsibility for implementation. [Outcome a), b)] **BP5. Execute business process:** Execute business process according to standard operating procedures and implementation approach. [Outcome a), b)] **BP6. Assess the status and performance of business processes**: Review the business process performance to ensure the process objectives are achieved. Engage in regular performance reviews and discussions with the responsible parties to discuss performance against committed targets and obligations. Seek remedial plans for any non-performance. [Outcome c)] **BP7. Monitor business process execution:** Monitor operational performance and identify performance variations and deviations against targets. [Outcome c), d)] **BP8. Identify and take corrective and preventive actions:** Analyse deviations to agreed targets, determine corrective and preventive actions and implement the actions. [Outcome d)] **BP9. Communicate adherence and actions taken:** Communicate performance to targets and actions taken for deviations to the stakeholders. [Outcome f)] **BP10. Maintain and communicate modifications to targets and processes**: Review requested changes to the service level and customer satisfaction targets and processes to ensure all changes required to the processes are evaluated. Define, agree and communicate changes in the processes. [Outcome a), b), f)] **BP11. Review and update processes**: Review and update processes periodically, as agreed with customers. [Outcome d), e), f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 46, row "Outcomes".	

Table 48 — SDL4 Business process management process information items

Information items	
Inputs	**Outputs**
3.32 Process documentation plan [Outcome a)] 8.02 Business process objectives [Outcome a)] 8.07 Customer requirements [Outcome a)] 3.38 Service delivery plan [Outcome a), b), c)] 5.08 Measurement systems [Outcome c)] 6.27 Service performance report [Outcome c), e)] 6.04 Business performance reports [Outcome d), e), f)] 9.12 Customer feedback [Outcome d), e), f)] 2.08 Contract [Outcome e)] 6.11 Customer satisfaction analysis [Outcome e), f)] 3.14 Communication plan [Outcome f)]	5.10 Process maps and procedures [Outcome a), b), c)] 5.16 Standard operating procedures [Outcome a), b), c)] 6.27 Service performance report [Outcome b), e), f)] 9.11 Corrective or preventive actions records [Outcome c), d)] 9.19 Improvement opportunity record [Outcome d), e)] 6.04 Business performance reports [Outcome e), f)] 9.05 Communication record [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 46, row "Outcomes".	

5.2.6 Transition out (TRO) process

There is one process under this category:

a) TRO1: Transition out.

Tables 49 – 51 contain the relevant processes related to transition out:

— Table 49: TRO1: Transition out process purpose and outcomes;

— Table 50: TRO1: Transition out process BPs;

— Table 51: TRO1: Transition out process information items.

Table 49 — TRO1 Transition out process purpose and outcomes

ID	**TRO1**
Name	**Transition out**
Purpose	The purpose of the TRO1 process is to transfer the services, in part or full, to another service provider or back to the customer to meet defined business requirements and contractual commitments.
Outcomes	As a result of the successful implementation of this process: a) requirements and known constraints are defined; b) project plans for the transitioning out of the identified business processes are defined; c) modified service delivery plans are formally accepted by the customer; d) customer success criteria are clearly defined; e) knowledge is transferred; f) people, technology, non-technology assets are transferred or transitioned as defined in the contract; g) process interfaces are assessed and redefined; h) service performance is maintained to agreed levels during service transition out; i) transition out progress is communicated to relevant stakeholders; j) transition out is agreed upon by the customer and both the incumbent and new service provider in accordance with the acceptance criteria.

Table 50 — TRO1 Transition out process BPs

ID	TRO1
BPs	**BP1. Define transition out requirements:** Define required process changes (changed process maps), timelines for transfer of the process, milestone reviews, escalation process and project risk management. [Outcome a), b)] **BP2. Define transition out plan:** Define transition out plan, including knowledge, issue and risk management based on the requirements, and a governance structure. [Outcome a), b), c), d), g)] **BP3. Establish transition out governance structure:** Establish a governance structure to effectively manage transition out, monitor effectiveness of transition out, identify potential service impacts, and address issues. [Outcome a), b), g)] **BP4. Define ramp-down plan:** Develop ramp-down plan with financial reports and measures to reduce the volume and infrastructure supported by the current provider in a phased manner. [Outcome e), f), g)] **BP5. Define knowledge transfer out plan:** Develop plan for transfer out of the applicable standard operating procedures with transferred roles and responsibilities, training materials and manuals created. [Outcome e)] **BP6. Define resource redeployment plan:** Develop redeployment plan, in line with relevant regulatory and customer contractual requirements, to appropriately reallocate resources (with maintained knowledge, skills and continuing professional development) into new roles and responsibilities. Release resources in line with redeployment plan. [Outcome f)] **BP7. Define assets transfer and disposal plan:** Develop plan for transfer out or sale/release of any identified assets or as defined in the contract, such as buildings and furniture. [Outcome g)] **BP8. Establish communication plan:** Establish plan and mechanisms to communicate to stakeholders the progress of transition and address issues. [Outcome i)] **BP9. Undertake transition out:** Execute transition out activities aligned with the transition out plans. Monitor and report progress with corrective actions for any deviations. [Outcome h), j)] **BP10. Achieve acceptance of transition out:** Define acceptance criteria and obtain formal acceptance of transition out completion from customer. [Outcome c), j)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 49, row "Outcomes".	

Table 51 — TRO1 Transition out process information items

Information items	
Inputs	**Outputs**
7.01 Transition out request [Outcome a), b), i)] 2.08 Contract [Outcome c), d), f), h), j)] 8.01 Acceptance criteria [Outcome c), d), j)] 2.13 Stakeholder list [Outcome e), f)] 3.42 Transition out plan [Outcome e), f), g), h)] 9.22 Knowledge assets [Outcome e), g)] 9.23 Knowledge repository [Outcome e), g)] 2.10 Deployable resources list [Outcome f), g)]	2.08 Contract [Outcome a), b), f)] 3.42 Transition out plan [Outcome a), b), i)] 8.01 Acceptance criteria [Outcome c), d), j)] 9.14 Customer sign-off [Outcome c), d), j)] 3.01 Asset transfer plan [Outcome d), f), g)] 3.29 Knowledge transfer plan [Outcome e)] 3.33 Ramp down plan [Outcome e), f), g), h)] 6.27 Service performance report [Outcome g)] 9.05 Communication record [Outcome i)] 3.14 Communication plan [Outcome i), j)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 49, row "Outcomes".	

5.2.7 Tactical enablement (TEN) processes

There are ten processes under this category:

a) TEN1: Management review;

b) TEN2: Financial management;

c) TEN3: Change management;

d) TEN4: Knowledge management;

e) TEN5: Business continuity management;

f) TEN6: Audit management;

g) TEN7: Risk management;

h) TEN8: Continual improvement;

i) TEN9: Communication management;

j) TEN10: Documentation management.

Tables 52 – 81 contain the relevant processes related to tactical enablement:

— Table 52: TEN1: Management review process purpose and outcomes;

— Table 53: TEN1: Management review process BPs;

— Table 54: TEN1: Management review process information items;

— Table 55: TEN2: Financial management process purpose and outcomes;

— Table 56: TEN2: Financial management process BPs;

— Table 57: TEN2: Financial management process information items;

— Table 58: TEN3: Change management process purpose and outcomes;

— Table 59: TEN3: Change management process BPs;

— Table 60: TEN3: Change management process information items;

— Table 61: TEN4: Knowledge management process purpose and outcomes;

— Table 62: TEN4: Knowledge management process BPs;

— Table 63: TEN4: Knowledge management process information items;

— Table 64: TEN5: Business continuity management process purpose and outcomes;

— Table 65: TEN5: Business continuity management process BPs;

— Table 66: TEN5: Business continuity management process information items;

— Table 67: TEN6: Audit management process purpose and outcomes;

— Table 68: TEN6: Audit management process BPs;

— Table 69: TEN6: Audit management process information items;

— Table 70: TEN7: Risk management process purpose and outcomes;

— Table 71: TEN7: Risk management process BPs;

— Table 72: TEN7: Risk management process information items;

— Table 73: TEN8: Continual improvement process purpose and outcomes;

— Table 74: TEN8: Continual improvement process BPs;

— Table 75: TEN8: Continual improvement process information items;

— Table 76: TEN9: Communication management process purpose and outcomes;

— Table 77: TEN9: Communication management process BPs;

— Table 78: TEN9: Communication management process information items;

— Table 79: TEN10: Documentation management process purpose and outcomes;

— Table 80: TEN10: Documentation management process BPs;

— Table 81: TEN10: Documentation management process information items.

Table 52 — TEN1 Management review process purpose and outcomes

ID	TEN1
Name	**Management review**
Purpose	The purpose of the TEN1 process is to assess the business performance of the outsourced service provider and to identify and make decisions regarding potential improvements.
Outcomes	As a result of the successful implementation of this process: a) the objectives of the review are established; b) the status and performance against the business plan, identified activity or process are assessed in terms of the established objectives; c) risks, problems and opportunities for improvement are identified.

Table 53 — TEN1 Management review process BPs

ID	TEN1
BPs	**BP1. Establish review objectives:** Identify and agree objectives for financial, people, customer, supplier and other factors for review. [Outcome a)] **BP2. Assess the status and performance of an activity or process:** Review of the service provider's performance by top management to ensure the direction and derived strategy is followed. [Outcome b)] **BP3. Identify risks, problems and opportunities for improvement:** Assess opportunities for improvement and the need for changes to the direction of the policy and objectives. Record the results of management reviews, concerns and actions. [Outcome c)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 52, row "Outcomes".	

Table 54 — TEN1 Management review process information items

Information items	
Inputs	**Outputs**
3.09 Business plan [Outcome a), b)] 3.18 Department/unit implementation plans [Outcome a), b)] 3.37 Roadmap [Outcome a), b)] 3.39 Strategic plan [Outcome a), b)] 6.05 Business review report [Outcome a), b)] 6.11 Customer satisfaction analysis [Outcome a), b)] 6.27 Service performance report [Outcome a), b)] 6.29 Supplier performance report [Outcome a), b)] 8.19 Organizational objectives [Outcome a), b)] 9.19 Improvement opportunity record [Outcome c)] 9.30 Risk log [Outcome c)]	8.17 Management review objectives [Outcome a)] 9.24 Management review record [Outcome b)] 9.19 Improvement opportunity record [Outcome c)] 9.30 Risk log [Outcome c)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 52, row "Outcomes".	

Table 55 — TEN2 Financial management process purpose and outcomes

ID	TEN2
Name	**Financial management**
Purpose	The purpose of the TEN2 process is to acquire and sustain the appropriate level of funding to design, develop and deliver services that meet the strategy of the organization and agreed customer requirements.
Outcomes	As a result of the successful implementation of this process: a) the cost to design, develop and deliver services is understood in accordance with the strategy of the organization and agreed customer requirements and communicated to relevant stakeholders; b) the funds required to provide the services are obtained; c) pricing, costs and incomes are monitored and reported to stakeholders; d) the relationship between cost and incomes and their variance is identified; e) the costs of service provision are recovered; f) clear and justifiable invoices are produced; g) investment strategy is established to support the organization's strategic and innovation objectives; h) investment performance is managed, and financial risk for initiatives is identified and managed.

Table 56 — TEN2 Financial management process BPs

ID	TEN2
BPs	**BP1. Define approach for cost recovery and revenue:** Determine cost recovery terms and methods and profitability targets for the organization and specific units in accordance with organization strategy and customer requirements. [Outcome a), d)] **BP2. Produce budgets by establishing service costs:** Produce budgets and determine cost of design, development and delivery of services. Communicate to stakeholders. [Outcome a), b)] **BP3. Build financial plan and secure budget approval:** Develop the finance plan based on previous cost-revenue analysis and secure required approvals. [Outcome a), b)] **BP4. Review income and expenditure:** Review income, expenditure, revenue, profitability and costs and identify any changes required. [Outcome d)] **BP5. Report on financials:** Publish profit, loss, assets, liabilities, cash flow, revenue sources, business reinvestment and costs to stakeholders. [Outcome c), f)] **BP6. Recover costs of service provision:** Recover costs or invoice for service. Manage any disputed costs. [Outcome e), f)] **BP7. Adjust financial plan:** Update the financial plan based on changes from the cost-revenue analysis. [Outcome b), d), e)] **BP8: Establish financial strategy for strategic and innovation investment:** Establish financial strategy to support long-term strategic investments and innovation. [Outcome b), g)] **BP9. Manage investment performance and risk:** Operate a flexible budgeting process which allows initiatives to be evaluated and funded in a timely manner. [Outcome h)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 55, row "Outcomes".	

Table 57 — TEN2 Financial management process information items

Information items	
Inputs	**Outputs**
6.03 Business demand report [Outcome a)] 6.16 Financial reports [Outcome a), c), g), h)] 2.08 Contract [Outcome a), d)] 6.15 Financial data [Outcome b), c), d), e), f), g), h)] 6.30 Unpaid invoices/aged debt report [Outcome e), f)] 9.16 Disputed invoice record [Outcome e), f)] 9.30 Risk log [Outcome h)]	9.05 Communication records [Outcome a)] 3.21 Financial plan [Outcome a), b), c), g), h)] 3.04 Budget [Outcome b), g), h)] 9.17 Escalated issues log [Outcome d), e)] 6.16 Financial reports [Outcome d), h)] 9.19 Improvement opportunity record [Outcome e)] 9.29 Revenue received record [Outcome e)] 2.11 Invoice [Outcome e), f)] 9.30 Risk log [Outcome h)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 55, row "Outcomes".	

Table 58 — TEN3 Change management process purpose and outcomes

ID	**TEN3**
Name	**Change management**
Purpose	The purpose of the TEN3 process is to ensure all changes are assessed, approved and implemented in a controlled manner.
Outcomes	As a result of the successful implementation of this process: a) change requests are recorded, classified and prioritized; b) change requests are analysed; c) criteria for evaluating changes are defined; d) changes are evaluated and approved using defined criteria; e) an implementation schedule of changes and releases is communicated to relevant stakeholders; f) changes that meet defined criteria are implemented and verified; g) changes that do not meet defined criteria are reversed or remedied.

Table 59 — TEN3 Change management process BPs

ID	TEN3
BPs	**BP1. Define classification criteria, assessment and approval mechanism:** Define classification criteria, assessment and approval mechanism for changes. [Outcome a)] **BP2. Record and classify changes:** Record and classify all changes in the change log following the defined process. [Outcome a)] **BP3. Assess the impact of the change:** Assess the process, technical, business, risk, financial, contractual, regulatory, legislative impacts of the change. [Outcome b)] **BP4. Develop the change plan and approve the change:** Develop the change plan and test prior to deployment. Verify the impact of the change and readiness to deploy based on the test results. Make informed decisions on change approval, based on the assessment to ensure minimum negative impact. [Outcome c), d)] **BP5. Schedule and communicate changes:** Establish a schedule of change containing details of the approved changes and deployment dates. Communicate the schedule of changes to stakeholders. [Outcome d), e)] **BP6. Implement the change:** Implement the change based on the change plan and approval. [Outcome f)] **BP7. Evaluate the change:** Evaluate that the implemented change delivers the desired results and identify changes that do not meet defined criteria. [Outcome f)] **BP8. Remedy changes that do not meet defined criteria:** Investigate changes that do not meet defined criteria and take corrective actions. [Outcome g)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 58, row "Outcomes".	

Table 60 — TEN3 Change management process information items

Information items	
Inputs	**Outputs**
9.02 Change log [Outcome a)] 8.03 Change policy [Outcome a), b), c)] 9.03 Change request records [Outcome a), d)] 3.13 Change/release schedule [Outcome d), e)] 3.14 Communication plan [Outcome e)] 3.12 Change build and implementation plan [Outcome f), g)] 3.11 Change back out plan [Outcome g)]	9.02 Change log [Outcome a)] 9.03 Change request records [Outcome a), b), c), f)] 9.08 Contract change control [Outcome c)] 3.12 Change build and implementation plans [Outcome d), f)] 9.05 Communication record [Outcome e)] 9.04 Change test results [Outcome f)] 9.11 Corrective or preventive actions records [Outcome g)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 58, row "Outcomes".	

Table 61 — TEN4 Knowledge management process purpose and outcomes

ID	TEN4
Name	**Knowledge management**
Purpose	The purpose of the TEN4 process is to create, disseminate and leverage knowledge and intellectual property based on the contract with the customer.
Outcomes	As a result of the successful implementation of this process: a) knowledge assets are identified, classified, maintained and controlled; b) knowledge assets are verified and agreed upon by the stakeholders, in accordance with acceptance criteria; c) business process knowledge and delivery capabilities are assessed and identified gaps are addressed to meet service delivery requirements; d) knowledge assets are available and used throughout the service lifecycle.

Table 62 — TEN4 Knowledge management process BPs

ID	TEN4
BPs	**BP1. Identify needs for knowledge management:** Identify knowledge management requirements and maintain objectives for knowledge management. [Outcome a)] **BP2. Maintain knowledge assets:** Create and maintain knowledge assets and ensure they are classified, available, up to date and controlled. [Outcome a), d)] **BP3. Verify knowledge assets:** Create a process to ensure knowledge assets are verified by identified stakeholders and accepted in accordance to acceptance criteria. [Outcome b)] **BP4. Assess business process knowledge gaps:** Evaluate business process knowledge levels, and identify and implement actions to address gaps. [Outcome c)] **BP5. Create a knowledge repository and ensure availability throughout service lifecycle:** Create a knowledge repository based on learnings, workshops, standard procedures, projects, services, experience, innovation, gaps identified, etc. Ensure it can be used and referenced by identified stakeholders with appropriate access controls. [Outcome b), c), d)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 61, row "Outcomes".	

Table 63 — TEN4 Knowledge management process information items

Information items	
Inputs	**Outputs**
4.04 Knowledge policy [Outcome a)] 3.28 Knowledge management plan [Outcome a), b)] 9.22 Knowledge asset [Outcome a), b), c), d)] 2.13 Stakeholder list [Outcome b)]	9.22 Knowledge asset [Outcome a), b), c), d)] 3.28 Knowledge management plan [Outcome c)] 3.29 Knowledge transfer plan [Outcome c), d)] 9.33 Training records [Outcome c), d)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 61, row "Outcomes".	

Table 64 — TEN5 Business continuity management process purpose and outcomes

ID	TEN5
Name	**Business continuity management**
Purpose	The purpose of the TEN5 process is to ensure continuity of business services during and after disruptions to agreed service levels.
Outcomes	As a result of the successful implementation of this process: a) business continuity requirements and plans are defined; b) disaster recovery plans are defined; c) preventive measures to avoid invocation of continuity measures, including facilities and work environment controls are identified; d) alternative means of operation of critical processes are defined and invoked, when needed; e) risk or potential disruptions in business continuity is analysed and minimized; f) event status updates on disruption and alternate means of operations are communicated to relevant stakeholders; g) agreed business continuity service levels are maintained during disruption and normal service levels are returned to after disruption; h) business continuity plans and disaster recovery plans are regularly tested; i) continuity measures and plans are communicated to stakeholders.

Table 65 — TEN5 Business continuity management process BPs

ID	TEN5
BPs	**BP1. Define business continuity requirements and plan:** Define and maintain business continuity requirements and business continuity plan (BCP) in line with the contractual requirements and changes in the service ecosystem. [Outcome a)] **BP2. Define disaster recovery plan:** Establish disaster recovery plan based on the customer contractual and the service provider's requirements to ensure business process operability to agreed continuity levels of service. [Outcome b)] **BP3. Define and implement preventive measures:** Identify, plan and implement preventive measures to avoid invocation of continuity measures, including data centre controls. [Outcome c)] **BP4. Establish critical recovery procedures:** Establish plans to ensure that critical functions and alternate means of operating them are documented. [Outcome c), d)] **BP5. Analyse events disrupting business continuity and risks to business continuity**: Analyse disruptions and risks to business continuity. Identify and implement preventive or mitigating measures. [Outcome e), g)] **BP6. Maintain service levels:** Maintain agreed service levels by implementing business continuity and disaster recovery plans during disruption and return to normal service levels post-disruption. [Outcome g)] **BP7. Define communications plan:** Establish a plan for communication of the status of business continuity events to stakeholders. [Outcome f), i)] **BP8. Validate business continuity plan:** Establish and implement a cycle for testing of a business continuity plan as defined by organization, at a minimum biannually or annually. [Outcome h)] **BP9. Raise employee awareness:** Establish effective awareness programme for employees on the business continuity plans and measures. [Outcome i)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 64, row "Outcomes".	

Table 66 — TEN5 Business continuity management process information items

Information items	
Inputs	**Outputs**
5.10 Process maps and procedures [Outcome a)] 2.08 Contract [Outcome a), b)] 2.02 Delivery organization chart [Outcome a), b), c), d), f), h)] 2.04 Office facilities inventory [Outcome a), b), d), e), g)] 3.06 Business continuity plan [Outcome a), g), h)] 3.19 Disaster recovery plan [Outcome b), d), g), h)] 3.14 Communication plan [Outcome f), i)]	3.05 Business continuity maintenance schedule [Outcome a), b)] 3.07 Business continuity test schedule [Outcome a), b)] 3.06 Business continuity plan [Outcome a), e)] 3.14 Communication plan [Outcome b), f), i)] 5.12 Recovery process and procedures [Outcome c), d), g)] 3.19 Disaster recovery plan [Outcome d), e)] 9.33 Training records [Outcome e), h)] 6.13 Disaster recovery test report [Outcome f), g)] 6.02 Business continuity test report [Outcome f), g), h)] 3.08 Business continuity training plan [Outcome h)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 64, row "Outcomes".	

Table 67 — TEN6 Audit management process purpose and outcomes

ID	TEN6
Name	**Audit management**
Purpose	The purpose of the TEN6 process is to independently determine conformity of services and processes to the requirements, policies, plans and agreements, as appropriate.
Outcomes	As a result of the successful implementation of this process: a) the scope and purpose of each audit is defined; b) the objectivity and impartiality of the conduct of audits and selection of auditors are assured; c) conformity of selected services, products and processes with requirements, plans and agreements is determined; d) non-conformities are recorded; e) non-conformities are communicated to those responsible for corrective actions and resolutions; f) corrective actions for non-conformities are verified.

Table 68 — TEN6 Audit management process BPs

ID	TEN6
BPs	**BP1. Define the audit scope, purpose and schedule:** Define the scope of each audit, considering the status and importance of the processes and areas to be audited, the results of previous audits and schedule. [Outcome a)] **BP2. Assure the objectivity and impartiality of audit conduct:** Ensure selection of auditors and conduct of audits assures objectivity and impartiality of the audit. Ensure auditors do not audit their own work. [Outcome b)] **BP3. Conduct audits:** Conduct audits to determine the conformity of selected services, products and processes with requirements, plans and agreements. [Outcome c)] **BP4. Record non-conformities:** Identify non-conformities against the process framework requirements, the requirements identified by the service provider or the service requirements. Record the results of internal audits, including non-conformities, concerns and actions identified. [Outcome d)] **BP5. Communicate non-conformities:** Communicate non-conformities to those responsible for corrective actions and resolutions. Prioritize results and actions and allocate responsibility for actions. Communicate to stakeholders. [Outcome e)] **BP6. Verify corrective actions for non-conformities:** Ensure corrective actions are taken without undue delay to eliminate non-conformities and their causes for the area being audited. Verify actions are taken with follow-up activities. [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 67, row "Outcomes".	

Table 69 — TEN6 Audit management process information items

Information items	
Inputs	**Outputs**
3.03 Audit schedule [Outcome a), c)] 2.07 Auditor list [Outcome b)] 3.02 Audit plan [Outcome b), c)] 9.01 Audit non-conformity record [Outcome c), d), e), f)]	3.02 Audit plan [Outcome a)] 2.07 Auditor list [Outcome b)] 6.01 Audit reports and action plans [Outcome c), d), e), f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 67, row "Outcomes".	

Table 70 — TEN7 Risk management process purpose and outcomes

ID	TEN7
Name	**Risk management**
Purpose	The purpose of the TEN7 process is to identify, analyse, evaluate, mitigate and monitor the risks.
Outcomes	As a result of the successful implementation of this process: a) criteria for the assessment of risks and the acceptable level of risk are identified; b) risks are identified; c) identified risks are analysed; d) risks are evaluated against defined criteria; e) risks are selected for treatment; f) selected risks are treated.

Table 71 — TEN7 Risk management process BPs

ID	TEN7
BPs	**BP1. Establish criteria:** Establish criteria for risk evaluation and acceptance. [Outcome a)] **BP2. Identify risks:** Identify risks during the set-up of a process or a service and on a continuous basis. [Outcome b)] **BP3. Categorize and assess risks:** Categorize and assess identified risks and determine the priority in which to apply resources to the treatment of these risks. [Outcome c)] **BP4. Evaluate risks:** Evaluate risks against defined criteria. Establish plans to communicate risks and their proposed mitigation plans to stakeholders. [Outcome d)] **BP5. Monitor risks:** Establish and implement processes to monitor assessed risks. Identify risks for treatment. [Outcome e)] **BP6. Develop treatment plans to avoid unacceptable risks:** Define and implement appropriate treatment plans to correct, alleviate or avoid unacceptable assessed risks. [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 70, row "Outcomes".	

Table 72 — TEN7 Risk management process information items

Information items	
Inputs	**Outputs**
2.08 Contract [Outcome a), b)] 8.16 Legal, statutory and regulatory requirements [Outcome a), b)] 9.30 Risk log [Outcome b), c), d), e), f)] 5.15 Security risk management approach [Outcome f)]	8.01 Acceptance criteria [Outcome a)] 9.30 Risk log [Outcome b), c), e), f)] 9.05 Communication record [Outcome d)] 3.36 Risk treatment plan [Outcome f)] 5.15 Security risk management approach [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 70, row "Outcomes".	

Table 73 — TEN8 Continual improvement process purpose and outcomes

ID	TEN8
Name	**Continual improvement**
Purpose	The purpose of the TEN8 process is to manage the identification, analysis, prioritization and implementation of continual improvements.
Outcomes	As a result of the successful implementation of this process: a) improvement opportunities are identified and analysed; b) continual improvement programmes are planned and implemented; c) specific objectives, goals for the programme are selected based on priority and value added; d) programmes are executed, monitored and reviewed against objectives; e) the effectiveness of implemented improvements is evaluated; f) the customer organization is involved as appropriate.

Table 74 — TEN8 Continual improvement process BPs

ID	TEN8
BPs	**BP1. Identify improvement opportunities:** Define opportunities for improvement and identify those improvement opportunities captured and recorded through the execution of delivery and all service processes. [Outcome a)] **BP2. Evaluate improvement opportunities:** Evaluate improvement opportunities against defined criteria. [Outcome a)] **BP3. Establish objectives, goals for the planned improvement programme:** Define objectives and goals based on priority and value. Align goals to business strategy, customer requirements, etc. [Outcome c)] **BP4. Plan and implement improvement programmes:** Identify and implement improvement programmes. [Outcome b)] **BP5. Monitor programmes and ensure adherence to objectives:** Track adherence to selected objectives and goals. [Outcome b), d)] **BP6. Evaluate the effectiveness:** Evaluate the effectiveness of implemented improvements. [Outcome e)] **BP7. Involve customer in improvements**: Where appropriate, involve customer organization in improvement programmes, such as in planning, goal selection, implementing, monitoring and communication. [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 73, row "Outcomes".	

Table 75 — TEN8 Continual improvement process information items

Information items	
Inputs	**Outputs**
8.01 Acceptance criteria [Outcome a)] 8.09 Customer success criteria [Outcome a)] 3.04 Budget [Outcome a), b)] 8.19 Organizational objectives [Outcome a), b)] 8.11 Improvement goals [Outcome a), c), d), e)] 9.19 Improvement opportunity record [Outcome a), e)] 8.02 Business process objectives [Outcome b)] 8.06 Customer objectives [Outcome b)] 3.23 Improvement plan [Outcome b), e)] 5.11 Programme governance framework [Outcome d), e)] 3.14 Communication plan [Outcome e)] 9.18 Improvement log [Outcome e)] 2.13 Stakeholder list [Outcome f)]	8.11 Improvement goals [Outcome a)] 9.18 Improvement log [Outcome a)] 9.19 Improvement opportunity record [Outcome a)] 3.23 Improvement plan [Outcome b)] 5.11 Programme governance framework [Outcome b)] 6.09 Continual improvement report [Outcome b), c), d), e)] 9.05 Communication records [Outcome e)] 9.14 Customer sign-off [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 73, row "Outcomes".	

Table 76 — TEN9 Communication management process purpose and outcomes

ID	**TEN9**
Name	**Communication management**
Purpose	The purpose of TEN9 is to produce timely and accurate information products to support effective communication and decision-making.
Outcomes	As a result of the successful implementation of this process: a) the scope and purpose of each communication is identified; b) roles and responsibilities for communication are identified; c) communication content is produced according to the communication purpose; d) the channel to identified recipients is identified; e) information is communicated to stakeholders; f) unsuccessful communication is identified, monitored, reported and addressed.

Table 77 — TEN9 Communication management process BPs

ID	TEN9
BPs	**BP1. Identify communication scope, purpose and plan:** Define the scope and purpose of each required communication, considering the desired results, importance and schedule, and content to communicate. Define communication plan to provide guidance for deployment and management of communication. [Outcome a)] **BP2. Manage roles responsible for communication:** Define and manage specific roles, responsibilities and competencies required for communication. [Outcome c)] **BP3. Define contents for communication messages:** Define communication content in terms of identified communication needs and requirements. [Outcome b)] **BP4. Select communication channel(s) to communicate to target stakeholders:** Identify target stakeholders and define the appropriate communication approach and channels for delivery of messages. [Outcome d)] **BP5. Communicate to stakeholders:** Communicate information to stakeholders based on the communication plan. [Outcome e)] **BP6. Evaluate the effectiveness, identify and implement corrective actions:** Monitor and evaluate the effectiveness of communications. Identify ineffective communication. Identify and implement corrective actions to resolve ineffective communication and reported in a timely manner. [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 76, row "Outcomes".	

Table 78 — TEN9 Communication management process information items

Information items	
Inputs	**Outputs**
2.08 Contract [Outcome a), c)] 3.38 Service delivery plan [Outcome a), c)] 3.43 Transition plan [Outcome a), c)] 8.07 Customer requirement [Outcome a), c)] 8.14 Internal stakeholder requirements [Outcome a), c)] 8.24 Roles and responsibilities [Outcome b)] 2.13 Stakeholder list [Outcome d)]	3.14 Communication plan [Outcome a), b), c), d)] 9.05 Communication record [Outcome a), b), c), d), e), f)] 9.11 Corrective or preventive actions records [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 76, row "Outcomes".	

Table 79 — TEN10 Documentation management process purpose and outcomes

ID	TEN10
Name	**Documentation management**
Purpose	The purpose of TEN10 is to provide relevant, timely, complete, valid documented information to designated parties.
Outcomes	As a result of the successful implementation of this process: a) the scope and purpose of each document is identified, and documentation is identifiable; b) documented information is identifiable and available in appropriate formats and media; c) documented information is approved and released according to defined criteria; d) documented information is current, complete and is available to stakeholders; e) documented information is archived, changed or disposed of, as required.

Table 80 — TEN10 Documentation management process BPs

ID	TEN10
BPs	**BP1. Identify information to be documented:** Define the scope, purpose and requirements of documented information. Determine the documented information required based on the organization's size, type of activities, process, products and services. [Outcome a)] **BP2. Define the documented information attributes:** Define the identifier, description (e.g. title, date, author and references), format (e.g. language, software version, graphics), media (e.g. paper, electronic), status, and purpose. [Outcome b)] **BP3. Document the identified information:** Document the identified information to defined requirements for the documented information type. [Outcome a), b)] **BP4. Approve the documented information before releasing:** Review and approve documented information for suitability and adequacy, and release to stakeholders, including distribution, access, retrieval and use. [Outcome c)] **BP5. Control documented information and ensure availability to stakeholders:** Define storage and preservation for documented information, including preservation of security, privacy and legibility. Maintain documented information to be current, complete and suitable for use. Ensure documented information is available for use, when and where needed, and adequately protected, including confidentiality, integrity and improper use. [Outcome d), e)] **BP6. Manage and rescind documented information, as required:** Control changes to documented information. Record changes and analyse the impact of changes. Define retention, archive and disposal needs for documented information and manage documented information accordingly. Identify issues and improvements for documentation management controls, and measures. [Outcome e)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 79, row "Outcomes".	

Table 81 — TEN10 Documentation management process information items

Information items	
Inputs	**Outputs**
2.02 Delivery organization chart [Outcome a)] 2.08 Contract [Outcome a)] 3.32 Process documentation plan [Outcome a), b)] 8.07 Customer requirement [Outcome a), b), c), d), e)] 2.13 Stakeholder list [Outcome d)]	5.01 As-is process documentation [Outcome a), b)] 5.17 Transition methodology document [Outcome a), b)] 9.05 Communication records [Outcome a), b)] 9.11 Corrective or preventive actions records [Outcome a), b)] 9.19 Improvement opportunity record [Outcome a), b)] 9.02 Change log [Outcome e)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 79, row "Outcomes".	

5.2.8 Operational enablement (OEN) processes

There are seven processes under this category:

a) OEN1: Transaction quality management;

b) OEN2: Information security management;

c) OEN3: Compliance management;

d) OEN4: Human resource management;

e) OEN5: Infrastructure and technology management;

f) OEN6: Work environment management;

g) OEN7: Issue management.

Tables 82 – 102 contain the relevant processes related to operational enablement:

— Table 82: OEN1: Transaction quality management process purpose and outcomes;

— Table 83: OEN1: Transaction quality management process BPs;

— Table 84: OEN1: Transaction quality management process information items;

— Table 85: OEN2: Information security management process purpose and outcomes;

— Table 86: OEN2: Information security management process BPs;

— Table 87: OEN2: Information security management process information items;

— Table 88: OEN3: Compliance management process purpose and outcomes;

— Table 89: OEN3: Compliance management process BPs;

— Table 90: OEN3: Compliance management process information items;

— Table 91: OEN4: Human resource management process purpose and outcomes;

— Table 92: OEN4: Human resource management process BPs;

— Table 93: OEN4: Human resource management process information items;

— Table 94: OEN5: Infrastructure and technology management process purpose and outcomes;

— Table 95: OEN5: Infrastructure and technology management process BPs;

— Table 96: OEN5: Infrastructure and technology management process information items;

— Table 97: OEN6: Work environment management process purpose and outcomes;

— Table 98: OEN6: Work environment management process BPs;

— Table 99: OEN6: Work environment management process information items;

— Table 100: OEN7: Issue management process purpose and outcomes;

— Table 101: OEN7: Issue management process BPs;

— Table 102: OEN7: Issue management process information items.

Table 82 — OEN1 Transaction quality management process purpose and outcomes

ID	**OEN1**
Name	**Transaction quality management**
Purpose	The purpose of the OEN1 process is to provide independent assurance through defined controls, ensuring transactions, services and processes adhere to specified requirements.
Outcomes	As a result of the successful implementation of this process: a) an independent verification strategy is developed, implemented and maintained for all required transactions, services and processes; b) verification criteria are identified for all required transactions, services and processes; c) a calibration process is established and deployed to ensure consistency of evaluation; d) verification of selected transactions, services and processes with requirements is determined and performed; e) defects are identified, recorded, prioritized and resolved; f) results of the verification activities are communicated to relevant stakeholders.

Table 83 — OEN1 Transaction quality management process BPs

ID	OEN1
BPs	**BP1. Define a verification process:** Define a verification process to ensure service quality by analysing and calibrating strategy, plans, processes, procedures, etc. Ensure verification criteria is defined for all information items. [Outcome a), b), c)] **BP2. Align verification:** Ensure verification remains aligned to the requirements of the service provider, customer and end user. [Outcome a)] **BP3. Collect defects data:** Gather defects based on verification plan. [Outcome d), e)] **BP4. Analyse results:** Initiate appropriate actions based on analysis of verification results and track to closure. [Outcome c), d), e)] **BP5. Communicate verifications results**: Communicate results and observations from the verification activities to the stakeholders. [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 82, row "Outcomes".	

Table 84 — OEN1 Transaction quality management process information items

Information items	
Inputs	**Outputs**
3.44 Verification strategy [Outcome a)] 8.37 Verification parameters [Outcome b), c)] 3.10 Calibration plan [Outcome c)] 3.41 Transaction monitoring plan [Outcome d)] 9.11 Corrective or preventive actions records [Outcome e), f)]	3.44 Verification strategy [Outcome a), b)] 9.34 Transaction monitoring results [Outcome a), d), f)] 5.02 Calibration process [Outcome c)] 6.06 Calibration variance Report [Outcome c)] 9.15 Defect records [Outcome d)] 9.11 Corrective or preventive actions records [Outcome d), e)] 9.19 Improvement opportunity record [Outcome d), e)] 9.05 Communication records [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 82, row "Outcomes".	

Table 85 — OEN2 Information security management process purpose and outcomes

ID	OEN2
Name	**Information security management**
Purpose	The purpose of the OEN2 process is to protect the confidentiality, integrity and availability of information relevant to the services at an agreed level across all ITES-BPO activities.
Outcomes	As a result of the successful implementation of this process: a) information security requirements are identified; b) information security controls are defined and implemented; c) information security incidents are identified, resolved, closed and reported to the customer; d) the effectiveness of controls is monitored, reviewed and revised.

Table 86 — OEN2 Information security management process BPs

ID	OEN2
BPs	**BP1. Agree on new and changed information security requirements:** Analyse evolving business requirements, information flows, organizational policies, customer requirements, contractual obligations, regulatory requirements, technology environments and threat environments from the perspective of information security on a regular basis. Identify, evaluate, modify and report information security requirements in agreement with all relevant stakeholders. [Outcome a)] **BP2. Deploy selected information security controls:** Secure information with selected information security controls related to the information security risks, including threats and vulnerabilities which are identified and assessed. [Outcome b)] **BP3. Establish awareness of information security:** Define and implement training and awareness for information security. [Outcome b)] **BP4. Manage information security incidents to closure:** Manage information security incidents including identification, categorization, notification, response, resolution, close and reporting. [Outcome b), c)] **BP.5 Monitor, review and revise controls:** Monitor, review and revise the effectiveness of controls. [Outcome d)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 85, row "Outcomes".	

Table 87 — OEN2 Information security management process information items

Information items	
Inputs	**Outputs**
8.12 Information security requirements [Outcome a)] 3.26 Information security awareness plan [Outcome c)] 6.18 Information security action log [Outcome c)] 6.19 Information security audit report [Outcome c)] 3.14 Communication plan [Outcome d)] 5.14 Security controls procedure [Outcome d)]	8.12 Information security requirements [Outcome a)] 4.02 Information security policy [Outcome b)] 2.06 Training material [Outcome c)] 6.20 Information security incident report [Outcome c)] 9.33 Training records [Outcome c)] 5.14 Security controls procedure [Outcome c), d)] 9.05 Communication record [Outcome d)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 85, row "Outcomes".	

Table 88 — OEN3 Compliance management process purpose and outcomes

ID	OEN3
Name	**Compliance management**
Purpose	The purpose of the OEN3 process is to meet and avoid breaching applicable legislative, regulatory and statutory requirements.
Outcomes	As a result of the successful implementation of this process: a) contracted compliance requirements are identified, tracked and communicated to stakeholders; b) contracts, solutions, relationships and service delivery are aligned with changing compliance requirements; c) compliance requirements are adhered to; d) non-compliances are identified, monitored, reported and addressed.

Table 89 — OEN3 Compliance management process BPs

ID	OEN3
BPs	**BP1. Identify new and changed compliance requirements:** Analyse new and changed laws, regulations, contracts, policies, etc. to identify applicable compliance requirements and consequences of non-compliance. [Outcome a)] **BP2. Communicate compliance requirements:** Conduct awareness programmes for compliance management (requirements, liabilities, responsibilities, due diligence, reporting, etc.) across different organizational levels. [Outcome a)] **BP3. Update contract**: Raise contract change control as required following analysis of changes in laws, regulations, contracts, policies, etc. [Outcome b)] **BP4. Demonstrate compliance**: Collect, analyse, retain, secure and correlate artefacts such as system logs, audit trails, etc. to demonstrate compliance. [Outcome c)] **BP5. Identify non-compliances:** Conduct self-assessments, internal audits, external audits at a defined frequency to identify non-compliances. [Outcome c), d)] **BP6. Address and communicate non-compliances:** Identified non-compliances are resolved and reported in a timely manner. [Outcome a), d)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 88, row "Outcomes".	

Table 90 — OEN3 Compliance management process information items

Information items	
Inputs	**Outputs**
3.16 Compliance awareness plan [Outcome a)] 8.16 Legal, statutory and regulatory requirements [Outcome a), b)] 8.04 Compliance requirements [Outcome a), c)] 9.07 Compliance monitoring logs [Outcome c)] 3.15 Compliance assessment/audit plan [Outcome c), d)]	2.06 Training material [Outcome a)] 9.05 Communication record [Outcome a), d)] 9.08 Contract change control [Outcome b)] 6.08 Compliance assessment/audit results [Outcome c), d)] 9.25 Non-compliance log [Outcome d)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 88, row "Outcomes".	

Table 91 — OEN4 Human resource management process purpose and outcomes

ID	OEN4
Name	**Human resource management**
Purpose	The purpose of the OEN4 process is to provide the organization with necessary competent human resources and to improve their competencies aligned to business needs.
Outcomes	As a result of the successful implementation of this process: a) organizational structure, roles, responsibilities and competencies required for service delivery are maintained; b) employees understand how their roles and activities contribute to achieving organizational objectives; c) performance assessment of human resources is carried out; d) recruitment and attrition are managed; e) training or other actions are completed to address identified competency gaps to meet service delivery requirements; f) grievances are managed; g) reward and recognition mechanisms are defined and implemented; h) feedback mechanisms are implemented to identify levels of employee satisfaction and improvements; i) non-standard working arrangements are defined and managed; j) continual professional development requirements are reviewed, assessed, recorded, tracked and met.

Table 92 — OEN4 Human resource management process BPs

ID	OEN4
BPs	**BP1. Manage human resource roles, responsibilities:** Define and manage specific roles, responsibilities and competencies required for service delivery. [Outcome a), j)] **BP2. Ensure employees understand roles and activities:** Each person demonstrates an understanding of roles and activities, and contribution to achieving organizational objectives. [Outcome b)] **BP3. Assess performance:** Assess employee performance against the set goals. [Outcome c)] **BP4. Hire and manage resource retention:** Implement programmes aimed at hiring and retaining employees. [Outcome d), e)] **BP5. Provide fair treatment for employees:** Provide fair treatment for employees with opportunities for career development and role changes, including a consultation process where required. [Outcome f), g), h), i), j)] **BP6. Implement rewards and recognition:** Create and implement mechanism to reward and recognize workforce and ensure implementation. [Outcome g)] **BP7. Measure employee feedback:** Create feedback mechanisms, such as an employee satisfaction survey, to understand employee and improve satisfaction levels. [Outcome h)] **BP8. Define and manage special working requirements:** Define and manage conditions for employees working non-standard conditions or employees with non-standard needs. [Outcome i)] **BP9. Design the work and policies to improve employee experience:** Establish a flexible and engaged work environment and culture to improve the employee experience. [Outcome i)] **BP10. Manage continuous development process:** Plan, deliver and track individual training and development needs to continually develop employee skills and competencies for career development and aligned to current and future business needs. [Outcome e), g)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 91, row "Outcomes".	

Table 93 — OEN4 Human resource management process information items

Information items	
Inputs	**Outputs**
8.20 Performance goals [Outcome a), j)] 2.09 Contract obligation mapping [Outcome b)] 3.09 Business plan [Outcome b)] 3.39 Strategic plan [Outcome b)] 8.06 Customer objectives [Outcome b)] 8.19 Organizational objectives [Outcome b)] 3.17 Continual professional development plan [Outcome b), d), e), f), g), h), j)] 2.08 Contract [Outcome c), e)] 9.26 Performance results [Outcome c), e), g), h), j)] 3.35 Retention plan [Outcome d), e), g)] 2.06 Training material [Outcome e), g)] 2.17 Training needs analysis [Outcome e), g)] 5.13 Reward and recognition process document [Outcome e), g)] 8.10 Employee satisfaction survey [Outcome f), g), h)] 6.33 Digital scoreboard [Outcome g)] 9.26 Performance result [Outcome g)] 5.04 Employee care process document [Outcome g), h)] 3.14 Communication plan [Outcome h)]	9.27 Personnel records [Outcome a), c), e), f), g), h)] 2.09 Contract obligation mapping [Outcome b)] 3.18 Department/unit implementation plans [Outcome b)] 3.37 Roadmap [Outcome b)] 3.39 Strategic plan [Outcome b)] 8.24 Roles and responsibilities [Outcome b)] 5.04 Employee care process document [Outcome c), e), f), g), h), i), j)] 6.14 Employee satisfaction survey results [Outcome c), e), f), g), h), i), j)] 9.26 Performance results [Outcome c), e), g), h), j)] 3.35 Retention plan [Outcome d), e), g), h)] 3.17 Continual professional development plan [Outcome e), g)] 8.23 Role competencies [Outcome e), g)] 9.33 Training records [Outcome e), g)] 5.13 Reward and recognition process document [Outcome g)] 8.18 Non-standard working conditions requirement [Outcome h)] 9.05 Communication record [Outcome h)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 91, row "Outcomes".	

Table 94 — OEN5 Infrastructure and technology management process purpose and outcomes

ID	**OEN5**
Name	**Infrastructure and technology management**
Purpose	The purpose of the OEN5 process is to ensure that the organization has the necessary technology and infrastructure services and support to meet business needs and service delivery requirements.
Outcomes	As a result of the successful implementation of this process: a) factors related to infrastructure and technology, such as business demand, capacity, performance and availability, affecting service delivery are assessed and identified; b) infrastructure and technology requirements for business and service delivery are defined and implemented; c) changes to infrastructure are planned according to customer requirements; d) incidents and service requests are recorded, prioritized and resolved; e) unresolved incidents, changes and service requests are escalated as per agreed service levels; f) contact and escalation points for issues with infrastructure — technology are established; g) support service is provided according to safety, security and compliance requirements; h) infrastructure and technology capacity, performance and availability are managed, measured, reviewed and reported; i) the technology strategy, architecture and roadmap are clearly defined and implemented to ensure the effective use of technology across organization.

Table 95 — OEN5 Infrastructure and technology management process BPs

ID	OEN5
BPs	**BP1. Identify infrastructure and technology requirements:** Infrastructure and technology requirements based on broader market conditions, and specific customer requirements and upgrades are identified. [Outcome a), b)] **BP2. Manage infrastructure and technology changes:** Record required changes in technology and infrastructure based on business and customer needs. Meet the change requirements by procuring or developing the required capability. Establish required support for changes. [Outcome c), h)] **BP3. Manage incidents, changes and service requests:** Establish incident management, change management and service request management processes for infrastructure and technology. Provide capability to record, classify and prioritize all incidents, changes and requests, and track to resolution and closure. [Outcome c), d), e), g)] **BP4. Establish escalation process:** Establish escalation process and SLAs for any unresolved incident/service requests or undelivered changes. [Outcome e), f)] **BP5. Support security and compliance requirements:** Support conformity to security, safety and compliance requirements with periodic monitoring and regular checks. [Outcome g), h)] **BP6. Manage infrastructure and technology requirements:** Define and maintain infrastructure and technology requirements based on contracted service, services levels, availability, workload characteristics and planned business demand. Communicate requirements to stakeholders. Assess impact of any changes to requirements (e.g. due to changes in business demand) for infrastructure and technology, such including capacity, performance and availability of the service, and identify changes required. [Outcome h)] **BP7. Manage technology performance:** Define and measure all metrics related to technology performance, including IT SLA, availability and capacity. Ensure performance reporting and establish performance review frequency. Undertake regular reviews of technology performance. Identify any performance deviations, determine corrective and preventive actions and implement the actions. [Outcome h)] **BP8. Establish technology policy and roadmap:** Define and implement a technology strategy, governance, architecture and roadmap to ensure agility and co-ordination at scale. [Outcome i)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 94, row "Outcomes".	

Table 96 — OEN5 Infrastructure and technology management process information items

Information items	
Inputs	**Outputs**
3.40 Technology requirements and fulfilment plan [Outcome a), b), c)] 6.03 Business demand report [Outcome a), e)] 8.26 Security and compliance requirements [Outcome b), g)] 8.18 Non-standard working conditions requirements [Outcome b), h)] 8.25 Security and compliance IT checklists [Outcome c)] 9.08 Contract change control [Outcome c)] 9.03 Change request records [Outcome c), h)] 5.07 IT service continuity and support procedure [Outcome d), e), f), g)] 2.03 Escalation matrix [Outcome e), f)] 8.15 IT SLA [Outcome e), g), h)] 3.14 Communication plan [Outcome e), h)] 8.29 Service performance targets [Outcome h)] 4.07 Technology strategy [Outcome i)]	9.03 Change request records [Outcome a), b), c)] 6.07 Change report/dashboard [Outcome c), h)] 6.17 Incident report/dashboard [Outcome d), e)] 6.23 Major incident report [Outcome d), e)] 9.17 Escalated issues log [Outcome e), f)] 9.31 Service performance review minutes [Outcome e), f), g), h)] 6.27 Service performance report [Outcome e), g), h)] 3.37 Roadmap [Outcome i)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 94, row "Outcomes".	

Table 97 — OEN6 Work environment management process purpose and outcomes

ID	OEN6
Name	**Work environment management**
Purpose	The purpose of the OEN6 process is to provide appropriate conditions in the workplace that enable and motivate employees to deliver effectively, in healthy and safe working conditions.
Outcomes	As a result of the successful implementation of this process: a) legal, cultural and organizational factors external to the employee that impact the work environment are identified; b) work environment requirements are defined and implemented according to health, safety, security and compliance and customer requirements; c) non-standard working arrangements are identified and reconfirmed; d) required changes to the work environment to meet requirements and identified health, safety, requirement and motivation gaps are identified and implemented; e) changes to work environment are planned according to customer requirements; f) support service is provided according to health, safety, security and compliance requirements; g) the condition, safety and performance of work environments are measured, reviewed and reported; h) contact and escalation points for issues with working conditions are established.

Table 98 — OEN6 Work environment management process BPs

ID	OEN6
BPs	**BP1. Identify external factors:** Identify cultural, organizational and legal or regulatory requirements that are mandated for the work environment. [Outcome a)] **BP2. Identify employee factors:** Identify specific factors to be considered for design/alterations of the work environment, both physical and cultural. [Outcome b)] **BP3. Identify non-standard working arrangements:** Identify and confirm non-standard arrangements to be considered for design of appropriate work environment. [Outcome c)] **BP4. Design work environment to enhance employee well-being:** Design the work environment to meet requirements, including those for physical environment, cultural attributes and employee well-being, using emerging technology as appropriate. [Outcome a), b), c), f)] **BP5. Implement work environment requirements:** Implement work environment based on the designs for standard and non-standard working requirements. [Outcome d), e), f)] **BP6. Measure and monitor work environment:** Measure safety and performance and continuously monitor according to the desired work environment. [Outcome e), g)] **BP7. Provide points of contacts and escalation.** [Outcome h)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 97, row "Outcomes".	

Table 99 — OEN6 Work environment management process information items

Information items	
Inputs	**Outputs**
8.22 Regulatory requirements [Outcome a)] 8.18 Non-standard working conditions requirement [Outcome a), b), c), d), e), f), g)] 5.04 Employee care process document [Outcome a), b), c), d), f), h)] 8.10 Employee satisfaction survey [Outcome a), b), d), e), f)] 4.03 Innovation deployment strategy [Outcome a), b), f)] 8.19 Organizational objectives [Outcome a), b), f)] 2.08 Contract [Outcome b), c)] 6.14 Employee satisfaction survey results [Outcome b), c), d)]	5.04 Employee care process document [Outcome a), b), c), d), f)] 8.38 Work environment design [Outcome a), b), c), d), f), g)] 6.14 Employee satisfaction survey results [Outcome a), b), e), f)] 2.03 Escalation matrix [Outcome h)] 9.17 Escalated issues log [Outcome h)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 97, row "Outcomes".	

Table 100 — OEN7 Issue management process purpose and outcomes

ID	**OEN7**
Name	**Issue management**
Purpose	The purpose of the OEN7 process is to ensure that issues can be resolved in a timely manner at the tactical, operational or strategic levels.
Outcomes	As a result of the successful implementation of this process: a) criteria are identified for the assessment of issues; b) issues are logged, classified, prioritized, escalated and communicated based on their severity; c) issues are reviewed by the relevant stakeholders; d) unresolved issues are escalated according to agreed criteria; e) resolution of issues and their closure are agreed upon between stakeholders; f) knowledge management systems are updated with issue and resolution records to prevent recurrence.

Table 101 — OEN7 Issue management process BPs

ID	OEN7
BPs	**BP1. Identify issue criteria:** Identify issue criteria for impact evaluation. [Outcome a)] **BP2. Log, classify and prioritize issues:** Record identified issues in the issue register. Ensure issues are classified, prioritized and communicated based on their severity. [Outcome b)] **BP3. Review issue**: Relevant stakeholders assess whether an issue should be accepted, rejected or merged with another issue. Assign the issue to the appropriate person for review. Communicate status to the relevant stakeholders. [Outcome c)] **BP4. Escalate unresolved issues:** Agree criteria for escalating unresolved issues. Escalate and communicated unresolved issues to relevant stakeholders based on the agreed criteria and their severity. [Outcome b), d)] **BP5. Investigate issue and propose resolution**: Analyse the root cause of the issue and recommend a plan for resolution. Identify and contact all concerned parties needing to provide input for the resolution. Monitor and record issue status. [Outcome e)] **BP6. Resolve issue:** Ensure actions are created and agreed upon between stakeholders from the proposed resolution plan. Monitor actions periodically and track to closure. [Outcome e)] **BP7. Update knowledge management systems:** Update knowledge management system with satisfactory resolutions of the issues identified. Communicate to relevant stakeholders to prevent recurrence. [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 100, row "Outcomes".	

Table 102 — OEN7 Issue management process information items

Information items	
Inputs	**Outputs**
8.01 Acceptance criteria [Outcome a)] 9.21 Issue register [Outcome a), b), c), e)] 2.13 Stakeholder list [Outcome c)] 2.03 Escalation matrix [Outcome d)] 9.22 Knowledge asset [Outcome f)]	8.39 Issue criteria [Outcome a)] 9.21 Issue register [Outcome b), c), d), f)] 9.11 Corrective or preventive actions records [Outcome e)] 9.22 Knowledge asset [Outcome f)]
NOTE Letter references [i.e. "Outcome a)", "Outcome b)"] refer to the list items of Table 100, row "Outcomes".	

6 PCIs (levels 0 to 5)

6.1 General

This clause presents the PCIs relating to the PAs associated with capability levels 0 to 5 that are defined in the capability dimension of a PAM as shown in Figure 3. PCIs are the means of assessing the capabilities addressed by the defined PAs. Evidence from PCIs supports the judgment of the degree of achievement of the PA.

Each of the process assessment indicators in the PAM outlined in this document is identical to the PA defined in the MF. The GPs address the characteristics from each PA. The GRs and generic information items relate to the PA as a whole.

NOTE 1 PA definitions and attribute achievements (modified) identified in 6.2 are according to ISO/IEC 33020.

NOTE 2 In 6.2, each GR and generic information item is listed as "PA x.y Achievement z)". This refers to the PA and related achievement which is satisfied by this indicator. See 6.2.2.2 for an example.

6.2 Process capability levels and PAs

6.2.1 Process capability level 0: Incomplete process

The process is not implemented, or fails to achieve its process purpose.

At this level there is little or no evidence of any systematic achievement of the process purpose.

6.2.2 Process capability level 1: Performed process

6.2.2.1 Overview of process capability level 1

The implemented process achieves its process purpose. The following PA demonstrates the achievement of this level.

6.2.2.2 PA 1.1 Process performance PA

The process performance PA is a measure of the extent to which the process purpose is achieved. As a result of full achievement of this attribute:

a) the process achieves its defined process outcomes.

Table 103 provides details on the GPs, GRs and generic information item indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 103 — PA 1.1 PCIs

GPs for PA 1.1			
GP ID	**GP**	**GP indicators**	**Result of achievement**
GP 1.1.1	Achieve the process outcomes.	— Achieve the intent of the BPs. — Relevant information items prove that process outcomes have been identified.	a)
GRs for PA 1.1			
Indicators			**Result of achievement**
Resources are used to perform the intent of process-specific BPs			a)
Generic information items for PA 1.1			
Indicators			**Result of achievement**
2.00 Description Information items exist that provide evidence of the achievement of the process outcomes.			a)
NOTE The letter references in the "Result of achievement" column make reference to the list included in 6.2.2.2.			

NOTE The assessment of a performed process is based on PPIs, which are defined in 4.3.3

6.2.3 Process capability level 2: Managed process

6.2.3.1 Overview of process capability level 2

The previously described “Performed” process is now implemented in a managed fashion (planned, monitored and adjusted) and its documented information is appropriately established, controlled and maintained.

The following PAs, together with the previously defined PA, demonstrate the achievement of this level.

6.2.3.2 PA 2.1 Performance management PA

The performance management PA is a measure of the extent to which the performance of the process is managed. As a result of full achievement of this attribute:

a) results to be achieved are determined and communicated;

b) risks that can affect performance of the process are determined and addressed;

c) performance of the process is planned, monitored, measured, evaluated and adjusted (as needed);

d) responsibilities and authorities for performing the process are determined, assigned and communicated;

e) resources necessary for performing the process are determined, provided and maintained (as needed);

f) person(s) performing the process are competent on the basis of appropriate education, training or experience;

g) interfaces between the involved parties are managed to ensure both effective communication and the level of control expected.

Table 104 provides details on the GPs, GRs and generic information item indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 104 — PA 2.1 PCIs

GP ID	GP	GP indicators	Result of achievement
GP 2.1.1	Determine results to be achieved for the performance of the process.	— Results to be achieved are determined. — Process performance goals are defined. — Assumptions and constraints are considered when identifying the performance goals. — Results to be achieved are communicated to involved parties. NOTE Process performance goals for resources, effort, schedule and output are normally stated.	a)
GP 2.1.2	Determine and address risks relevant to the performance of the process.	— Risks that can affect performance of the process are identified and evaluated for effect and severity. — Actions to mitigate the risks are planned and performed. — Monitor the risks and record the mitigation activities throughout the performance of the process.	b)
GP 2.1.3	Plan the performance of the process to achieve the determined results.	— Plan(s) for the performance of the process are developed. — Process activities and tasks are defined. — Schedule and milestones are defined and aligned with the approach to performing the process. — Documented information reviews are planned.	c)
GP 2.1.4	Control the performance of the process.	— Process performance measures are established. — Process performance is monitored and the results are controlled. — Appropriate actions are taken when planned results are not achieved. — The plan(s) are adjusted and rescheduling is performed, as necessary.	c)

Table 104 *(continued)*

GP ID	GP	GP indicators	Result of achievement
GP 2.1.5	Assign competent people with the relevant responsibilities and authorities for performing the process.	— Responsibilities and authorities to perform the process are determined, assigned and communicated. — Required competencies are identified based on the responsibilities. — Competencies for management and execution of the process are ensured by training or work-based learning. — Person(s) performing the process are considered competent on the basis of appropriate education, training, or experience. — Necessary competencies are acquired externally when needed.	d), f)
GP 2.1.6	Allocate and maintain resources to perform the process according to the plan.	— The human and infrastructure resources needed for performing the process are determined, provided and maintained. — The information necessary to perform the process is identified and made available. — The use of the resources is measured and monitored to identify possible deviations.	e)
GP 2.1.7	Manage the interfaces between the involved parties.	— The individuals and groups involved in the process performance are identified. — Responsibilities of the involved parties are assigned. — Communication is assured between the involved parties. — Communication between the involved parties is effective.	g)
GRs for PA 2.1			
Indicators			**Result of achievement**
Human resources with identified objectives, responsibilities and authorities			a), b), c), d), e), f), g)
Facilities and infrastructure resources			a), b), c), e), g)
Planning, management and control tools, including time and cost reporting, shift, off-time rosters			b), c)
Workflow management system			d), g)
Email and/or other communication mechanisms			a), d), e), g)
Information and/or experience repository			b), c), e), f)
Problem and issue management mechanisms			c)
Generic information items for PA 2.1			
Indicators			**Result of achievement**

Table 104 *(continued)*

GP ID	GP	GP indicators	Result of achievement
3.00 Plan — Describes assumptions and constraints considered in defining the objectives. — Includes milestones and a timetable for producing the information items of the processes. — Identifies tasks, resources, responsibilities and infrastructure needed to perform the processes. — Considers risks related to fulfilling defined objectives. — Identifies stakeholders and communication mechanisms to be used. — Describes how the plan is controlled and adjusted when needed.			a), b), c), d), e), f), g)
6.00 Report — Monitors process performance against defined objectives and plans. Identifies deviations in process performance. — Describes results and status of the process. — Provides evidence of management activities.			b), c)
9.00 Record — States results achieved or provides evidence of activities performed in a process. — Provides evidence of communication, meetings, reviews and corrective actions. — Contains status information about corrective actions; schedule and work allocation rosters. — Monitors identified risks.			b), c), d), e), f), g)
NOTE The letter references in the "Result of achievement" column make reference to the list included in 6.2.3.2.			

6.2.3.3 PA 2.2 Documented information management PA

The documented information management PA is a measure of the extent to which the documented information produced by the process is appropriately managed. As a result of full achievement of this attribute:

a) requirements for the documented information of the process are determined;

b) requirements for control of the documented information are determined;

c) documented information is appropriately identified and controlled according to requirements;

d) documented information is reviewed and approved for suitability and adequacy in accordance with planned arrangements and adjusted as necessary to meet requirements;

e) documented information is determined, maintained and retained to the extent necessary to have confidence that the process has been performed as planned and to demonstrate the conformity of products and/or services to their requirements.

NOTE 1 Requirements for documentation and control of documented information can include requirements for the identification of changes and revision status, approval and re-approval of documented information, and the creation of relevant versions of applicable documented information available at points of use.

NOTE 2 The documented information referred to in this clause are those that result from the achievement of the process outcomes.

Table 105 provides details on the GPs, GRs and generic information item indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 105 — PA 2.2 PCIs

GP ID	GP	GP indicators	Result of achievement
GP 2.2.1	Define the requirements for the documented information.	— The requirements for the documented information to be produced are defined. Requirements may include defining contents and structure. — Quality criteria of the documented information are identified. — Appropriate review and approval criteria for the documented information are defined.	a)
GP 2.2.2	Define the requirements for documentation and control of the documented information.	— Requirements for the documentation and control of the documented information are defined. Such requirements may include requirements for (1) distribution, (2) identification of documented information and their components, (3) traceability. — Dependencies between documented information are identified and understood. — Requirements for the approval of documented information to be controlled are defined.	b)
GP 2.2.3	Identify, document and control the documented information.	— The documented information to be controlled is identified. — Change control is established for documented information. — The documented information is documented and controlled in accordance with requirements. — Versions of documented information are controlled. — The documented information is made available through appropriate access mechanisms. — The revision status of the documented information may readily be ascertained.	c)
GP 2.2.4	Review and adjust documented information to meet the defined requirements.	— Documented information is reviewed against the defined requirements in accordance with planned arrangements. — Issues arising from documented information reviews are resolved.	d)
GP 2.2.5	Maintain and retain information products to demonstrate that planned results are achieved.	— Documented information needed to confirm the performance of the process is determined. — Documented information is used to demonstrate that the products and/or services satisfy their requirements.	e)
GRs for PA 2.2			
Indicators			**Result of achievement**
Requirement management method			a), b), c), d), e)
Detailed elaboration and support tool			b), c)
Document identification and control procedure			b), c), d), e)

Table 105 *(continued)*

GP ID	GP	GP indicators	Result of achievement
Documented information review methods and experiences			d), e)
Review management method/toolset			d), e)
Intranets, extranets and/or other communication mechanisms			b), c), d), e)
Problem and issue management mechanisms			d), e)
Generic information item for PA 2.2			
Indicators			**Result of achievement**
2.00 Description — Demonstrates process-specific documented information to be managed.			a), b), c), d)
3.00 Plan — Expresses selected policy or strategy to manage documented information. — Describes requirements to develop, distribute and maintain the documented information. — Defines quality control actions needed to manage the quality of the documented information.			b)
9.00 Record — Demonstrates documented information reviews and contributes to traceability. — Records the status of documentation or documented information. — Contains and makes available documented information. — Supports monitoring of changes to documented information. — Describes non-conformity detected during documented information reviews. — Provides evidence that the changes are under control.			b), c), d), e)
8.00 Specification — Defines the functional and non-functional requirements for documented information. — Identifies documented information dependencies. — Identifies approval criteria for documents. — Defines the attributes associated with the documented information to be created.			a), b)
NOTE The letter references in the "Result of achievement" column make reference to the list included in 6.2.3.3.			

6.2.4 Process capability level 3: Established process

6.2.4.1 Overview of process capability level 3

The previously described “Managed” process is now implemented using a defined process which is assured and continually improved.

The following attributes of the process demonstrate the achievement of this level.

6.2.4.2 PA 3.1 Process definition PA

The process definition PA is a measure of the extent to which an organizational standard process is established and maintained. As a result of full achievement of this attribute:

a) a standard process, including appropriate tailoring guidelines, is established and maintained that describes the fundamental elements that need to be incorporated into a defined process;

b) the required inputs and the expected outputs for the standard process are determined;

c) sequence and interaction of the standard process with other processes is determined;

d) roles, competences, responsibilities and authorities for performing the standard process are determined;

e) resources for performing the standard process are determined;

f) knowledge necessary for the operation of the standard process is determined and maintained.

NOTE An organizational standard process can be used when deploying a defined process, in which case tailoring guidelines are not necessary.

Table 106 provides details on the GPs, GRs and generic information item indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 106 — PA 3.1 PCIs

GP ID	GP	GP indicators	Result of achievement
GP 3.1.1	Establish and maintain a standard process that will support the deployment of the defined process.	— A standard process is developed that includes the fundamental process elements. — The standard process identifies the deployment needs and deployment context. — Guidance and/or procedures are provided to support implementation of the process as needed. — Appropriate tailoring guideline(s) are available as needed. — The standard process is maintained to meet the improvement needs and opportunities.	a)
GP 3.1.2	Determine the inputs and outputs of the standard process.	— Required inputs are identified, including information needed. — Expected outputs are identified. — Start and stop criteria for the standard process are defined as needed.	b)
GP 3.1.3	Determine the sequence and interaction of the process as an integrated system of processes.	— The process's sequence and interaction with other processes are determined. — Deployment of the standard process as a defined process maintains the integrity of processes.	c)
GP 3.1.4	Determine the roles, competencies, responsibilities and authorities for performing the standard process.	— Roles and related competencies for performing the process are determined. — Authorities necessary for executing responsibilities are determined.	d)

Table 106 *(continued)*

GP ID	GP	GP indicators	Result of achievement
GP 3.1.5	Determine the resources for performing the standard process.	— Appropriate resources are identified and determined. — Requirements for the quality of the resources are defined. — Process infrastructure components are identified (facilities, tools, networks, methods, etc.). — Work environment requirements are defined.	e)
GP 3.1.6	Determine and maintain necessary knowledge for the operation of the standard process. NOTE The term "knowledge" refers to facts, information, and skills acquired by a person through experience or education; the theoretical or practical understanding of a subject.	— Information and understanding needed to perform the process is determined and maintained.	f)
GRs for PA 3.1			
Indicators			**Result of achievement**
Process modelling methods/tools			a), b), c), d), e), f)
Training material and courses			a), b), c), d)
Resource management system			b), c), d)
Process infrastructure			a), b), c)
Audit and trend analysis tools			e), f)
Process monitoring method			e), f)
Process transition method			a), b), c), d), e), f)
Generic information items for PA 3.1			
Indicators			**Result of achievement**

Table 106 *(continued)*

GP ID	GP	GP indicators	Result of achievement
2.00 Description — Describes the organizational standard process, including the fundamental process elements, interactions with other processes and appropriate tailoring guidelines. — Addresses the performance, management and deployment of the process, as described by capability levels 1 and 2 and the PA 3.2 process deployment attribute. — Addresses methods to monitor process effectiveness and suitability. — Identifies data and records to be collected when performing the defined process, in order to improve the organizational standard process. — Identifies and communicates the personnel competencies, roles and responsibilities for the organizational standard and defined process. — Identifies the personnel performance criteria for the organizational standard and defined process. — Identifies the tailoring guidelines for the organizational standard process. — Identifies process measures.			a), b), c), d)
3.00 Plan — Identifies approaches for defining, maintaining and supporting a standard process, including infrastructure, work environment, training, internal audit and management review.			e), f)
4.00 Policy — Provides evidence of commitment to maintaining an organizational standard process to support the deployment of the defined process.			a), d), e), f)
5.00 Procedure — Provides evidence of organizational commitment to maintaining a standard process to support the deployment of the defined process.			a), b), c), d), e), f)
8.00 Specification — Provides reference for the standards used by the standard process and identification about how they are used.			a)
9.00 Record — Is used to support and maintain the standard process assets.			d)
NOTE The letter references in the "Result of achievement" column make reference to the list included in 6.2.4.2.			

6.2.4.3 PA 3.2 Process deployment PA

The process deployment PA is a measure of the extent to which the organizational standard process is effectively transitioned and deployed as a defined process. As a result of full achievement of this attribute:

a) a defined process is deployed based upon an appropriately tailored standard process;

b) required roles, responsibilities and authorities necessary for performing the defined process are assigned and communicated;

c) required person(s) necessary for performing the defined process are competent on the basis of defined education, training and experience;

d) required resources necessary for performing the defined process are made available, monitored and measured;

e) information items are available to ensure that the defined process achieves its intended results.

Table 107 provides details on the GPs, GRs and generic information item indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 107 — PA 3.2 PCIs

GP ID	GP	GP indicators	Result of achievement
GP 3.2.1	Deploy a defined process that satisfies the context-specific requirements of the use of the standard process.	— The defined process is appropriately selected and/or tailored from the standard process. — Criteria to verify conformity of the defined process with the standard process are determined. — The defined process is used to achieve the process outcomes.	a)
GP 3.2.2	Deploy competent people with defined responsibilities and authorities to support the performance of the defined process.	— Competency criteria for the required roles are defined. — The roles for performing the defined process are assigned and communicated. — The responsibilities and authorities for performing the defined process are assigned and communicated. — Competency of the required person(s) is monitored and maintained with appropriate education, training or experience.	b), c)
GP 3.2.3	Provide resources and information to support the performance of the process.	— Required human resources are made available, allocated and used. — Information required for performing the process is made available, allocated and used. — Resources are measured and monitored to ensure their effective use.	d)
GP 3.2.4	Maintain information items as evidence of the process achieving expected results.	— Information items are maintained. — Information items are available for review. — Information items can be verified by person(s) independent of those performing the process.	e)
GRs for PA 3.2			
Indicators			**Result of achievement**
Process repository			a), b)
Resource management system			b), c), d)
Knowledge management system			d)
Working environment and infrastructure			e)
Generic information items for PA 3.2			
Indicators			**Result of achievement**

Table 107 *(continued)*

GP ID	GP	GP indicators	Result of achievement
2.00 Description — Describes the defined process for use by the project. — Describes the verification activities needed to ensure the conformity of the project's defined process with the organization's standard process. — Represents the interactions of the project's defined process with other processes.			a)
3.00 Plan — Expresses the strategy for the organizational support, allocation and use of the process infrastructure. — Describes the project's resources and the elements of the infrastructure needed to deploy the defined process. — Expresses the strategy to satisfy the training need.			a), b), c), d), e)
5.00 Procedure — Defines the training requirements for required roles and competencies including training goals, knowledge and acceptance criteria. — Describes the achievement of deploying required resources and the use of documented information.			c), d), e)
9.00 Record — Provides results of required education. — Retains data on deploying required resources and documented information when performing processes.			a), b), c), d), e)
NOTE The letter references in the "Result of achievement" column make reference to the list included in 6.2.4.3.			

6.2.4.4 PA 3.3 Process assurance PA

The process assurance PA is a measure of the extent to which the defined process is assured and continually improved. As a result of full achievement of this attribute:

a) appropriate data and information are collected and analysed from monitoring and measurement of the process to evaluate the effectiveness and risks of the process, and to identify needs and opportunities for improvement;

b) criteria and methods needed to ensure effective operation and control, and continuing suitability, adequacy, effectiveness and risks of the process are determined and evaluated;

c) conformity of the defined process (and associated activities, outputs and information items) is objectively assured;

d) action is taken on any non-conformity, based on its nature and effect, and tracked to closure;

e) the standard process is continually improved based on identified needs and opportunities.

Table 108 provides details on the GPs, GRs and generic information item indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 108 — PA 3.3 PCIs

GP ID	GP	GP indicators	Result of achievement
GP 3.3.1	Collect and analyse data about performance of the process to identify needs for improvement.	— Data required to understand the behaviour, suitability and effectiveness of the defined process are identified, collected and analysed. — Results of the analysis are used to identify where continual improvement of the standard and/or defined process can be made. NOTE Data about process performance can be qualitative or quantitative.	a)
GP 3.3.2	Determine suitable methods and measures to monitor and evaluate the process.	— Methods and measures for monitoring suitability, effectiveness and adequacy of the process are determined. — Appropriate criteria and data needed to monitor the process are defined. — The need to conduct internal audit, process compliance audit/reviews and management review is established. — Suitability, adequacy and effectiveness of the process are measured and analysed continually using appropriate methods. — Identified risks are evaluated and managed.	b)
GP 3.3.3	Assure conformity of the defined process.	— Associated activities, outputs and information items are evaluated. — Conformity of the defined process with the standard process requirements is verified. — Any non-conformities are identified and documented. — Assurance activities are performed independently of the process instance to ensure objectivity.	c)
GP 3.3.4	Act on non-conformities to adjust the performance of the process.	— The nature and effect of non-conformities are analysed to plan appropriate actions. — Any changes needed are implemented to ensure that the process achieves its intended results. — Actions are managed and tracked to closure.	d)
GP 3.3.5	Improve the process based on the monitoring of the process.	— Suitability, adequacy and effectiveness of the process are measured and analysed continually using appropriate methods. — Internal audits, process capability audits/reviews and management reviews are performed when needed. — Process changes are implemented to maintain the standard process.	e)
GRs for PA 3.3			
Indicators			**Result of achievement**

Table 108 *(continued)*

GP ID	GP	GP indicators	Result of achievement
Feedback mechanisms (customer, staff, other stakeholders)			a)
Problem and change management system			a), d)
Data collection analysis system			a)
Process assessment framework			a), b), c)
Audit/review system			a), c)
Process modelling methods/tools			b), c)
Audit and trend analysis tools			b)
Process monitoring method			b), c)
MF			c)
Process control tools/applications			d)
PI framework			a), e)
Generic information items for PA 3.3			
Indicators			**Result of achievement**
2.00 Description — Addresses methods for monitoring process effectiveness and suitability. — Identifies process measures.			b)
3.00 Plan — Identifies PI proposal(s) based on analysis of suitability and effectiveness. — Identifies approaches for defining, maintaining and supporting a standard process, including infrastructure, work environment, training, internal audit and management review. — Allocates resources for improvement activities.			a), b), e)
4.00 Policy — Provides evidence of commitment to maintaining an organizational standard process to support the deployment of the defined process.			b)
5.00 Procedure — Provides evidence of organizational commitment to maintaining a standard process to support the deployment of the defined process.			b)
6.00 Report — Provides results of the analysis, recommended corrective action and feedback to the process owner of the organization's standard process. — Identifies improvement opportunities of the defined process. — Provides evidence on the suitability and effectiveness of the defined process. — Provides results of process data analysis to identify process performance parameters. — Identifies corrective actions to address non-conformity.			a), c), d)
8.00 Specification — Provides evidence that information is made available for performing the defined process.			a)

Table 108 *(continued)*

GP ID	GP	GP indicators	Result of achievement
9.00 Record — Provides evidence that the project personnel possess the required authorities, skills, experience and knowledge. — Provides evidence that project personnel have received the required training to satisfy the needs of the project. — Provides evidence that project infrastructure and working environment are made available and maintained for performing the defined process. — Records the status of required corrective actions. — Captures the work allocation rosters needed to define the tasks and their dependencies. — Provides evidence that information is made available for performing the defined process. — Is used to support and maintain the standard process assets. — Documents corrective actions to be implemented. — Monitors the status of corrective actions.			a), b), d)
NOTE The letter references in the "Result of achievement" column make reference to the list included in 6.2.4.4.			

6.2.5 Process capability level 4: Predictable process

6.2.5.1 Overview of process capability level 4

The previously described “Established” process is now performed predictively. Quantitative management needs are identified and measurement data are collected and analysed to identify assignable causes of variation.

The following PAs, together with the previously defined PAs, demonstrate the achievement of this level.

6.2.5.2 PA 4.1 Quantitative analysis PA

The quantitative analysis PA is a measure of the extent to which information needs are defined, relationships between process elements are identified, and data are collected. As a result of full achievement of this attribute:

a) process information needs in support of relevant defined quantitative business goals are established;

b) process measurement objectives are derived from process information needs;

c) measurable relationships between process elements that contribute to the process performance are identified;

d) quantitative objectives for process performance are established to support relevant business goals;

e) appropriate measures and frequency of measurement are identified and defined in line with process measurement objectives and quantitative objectives for process performance;

f) techniques for analysing the collected data are selected;

g) results of measurement are collected, validated and reported in order to monitor the extent to which the quantitative objectives for process performance are met.

NOTE 1 Information needs can typically reflect customer, management, technical, service, process or product needs.

NOTE 2 Measures can be process measures, product measures or satisfaction measures, or a combination of the three.

Table 109 provides details on the GPs, GRs and generic information item indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 109 — PA 4.1 PCIs

GP ID	GP	GP indicators	Result of achievement
GP 4.1.1	Establish process information needs, in support of quantitative business goals.	— Quantitative business goals relevant to the process are identified. — Stakeholders of the identified business goals and the quantitatively measured process, and their information needs are identified, defined and agreed upon.	a)
GP 4.1.2	Derive process measurement objectives from process information needs.	— Process measurement objectives to satisfy defined process information needs are defined.	b)
GP 4.1.3	Identify measurable relationships between process elements.	— Relationships between process elements are determined which contribute to the derived measurement objectives.	c)
GP 4.1.4	Establish quantitative objectives for the performance of the defined process, according to the alignment of the process with the business goals.	— Process performance objectives are defined to explicitly reflect the quantitative business goals. — Process performance objectives are validated with process stakeholders to be realistic and useful.	d)
GP 4.1.5	Identify product and process measures that support the achievement of the quantitative objectives for process performance.	— Detailed measures are defined to support monitoring, analysis and verification needs of the quantitative objectives. — Frequency of data collection is defined. — Algorithms and methods to create derived measurement results from base measures are defined, as appropriate. — Verification mechanism for base and derived measures is defined. NOTE 1 Typically, the standard process definition is extended to include the collection of data for process measurement.	e)
GP 4.1.6	Select analysis techniques, appropriate to collected data.	— Process control analysis methods and techniques are defined. — Selected techniques are validated against process control objectives.	f)

Table 109 *(continued)*

GP ID	GP	GP indicators	Result of achievement
GP 4.1.7	Collect product and process measurement results by performing the defined process.	— A data collection mechanism is created for all identified measures. — Required data is collected in an effective and reliable manner. — Measurement results are created from the collected data and analysed within the defined frequency. — Measurement results are reported to those responsible for monitoring the extent to which qualitative objectives are met. NOTE 2 A product measure can contribute to a process measure.	g)
GRs for PA 4.1			
Indicators			**Result of achievement**
Management information (cost, time, reliability, profitability, customer benefits, risks, etc.)			a), b), c), d), e), g)
Applicable measurement techniques			e)
Product and process measurement tools and results databases			e), g)
MF			c), d), e), g)
Tools for data analysis and measurement			b), c), d), e), g)
Process control and analysis techniques			f)
Generic information items for PA 4.1			
Indicators			**Result of achievement**
2.00 Description — Defines information needs for the process. — Specifies candidate measures.			a), c), e)
3.00 Plan — Defines quantitative objectives for process performance. — Specifies measures for the process. — Defines tasks and schedules to collect and analyse data. — Allocates responsibilities and resources for measurement. — Defines analysis methods and techniques at detailed level.			b), d), e), f)
9.00 Record — Defines data to be collected as specified in plans and measures.			g)

Table 109 *(continued)*

GP ID	GP	GP indicators	Result of achievement
6.00 Report — Provides results of process data analysis to identify process performance parameters. — Monitors process performance based on results of measurement. — Ensures that selected techniques are effective and measures are validated.			f), g)
8.00 Specification — Describes information needs and performance objectives. — Provides a basis for analysing process performance. — Defines explicit criteria for data validation. — Defines the frequency of data collection.			a), b), e)
NOTE The letter references in the "Result of achievement" column make reference to the list included in 6.2.5.2.			

6.2.5.3 PA 4.2 Quantitative control PA

The quantitative control PA is a measure of the extent to which objective data are used to manage and control process performance that is predictable. As a result of full achievement of this attribute:

a) assignable causes of process variation are determined through analysis of the collected data;

b) distributions that characterize the performance of the process are established;

c) corrective actions are taken to address assignable causes of variation;

d) separate distributions are established (as necessary) for analysing the process under the influence of assignable causes of variation;

e) process performance data are used to develop predictors of process outcomes.

Table 110 provides details on the GPs, GRs and generic information item indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 110 — PA 4.2 PCIs

GP ID	GP	GP indicators	Result of achievement
GP 4.2.1	Determine assignable causes of process variation by analysing the collected data.	— Variation in process performance is attributed to a specific, unpredictable cause. — Assignable cause indicates a possible problem in the defined process.	a)
GP 4.2.2	Establish distributions that characterize the process performance.	— Variation in measurement results is used to analyse process performance. — Deviations are analysed to identify potential cause(s) of variation. — Trends of process performance are identified.	b)
GP 4.2.3	Identify and implement corrective actions to address assignable causes.	— Results are provided to those responsible for taking action. — Corrective actions are determined to address each assignable cause. — Corrective actions are implemented to address assignable causes of variation. — Corrective action results are monitored. — Corrective actions are evaluated to determine their effectiveness.	c)
GP 4.2.4	Establish separate distributions for analysing the process.	— Consequences of process variation are analysed. — Distributions are used to quantitatively understand process performance under the influence of assignable causes of variation.	d)
GP 4.2.5	Develop predictors for process outcomes.	— Process performance data are used. — Predictors are independent variables for forecasting process outcomes.	e)
GRs for PA 4.2			
Indicators			**Result of achievement**
Process control and analysis techniques			a)
Statistical analysis tools/applications			a), b), d), e)
Process control tools/applications			b), c), d), e)
Generic information items for PA 4.2			
Indicators			**Result of achievement**
2.00 Description — Defines parameters for process control. — Defines and maintains control limits for selected base and derived measurement results.			a), b), d)

Table 110 *(continued)*

GP ID	GP	GP indicators	Result of achievement
6.00 Report — Provides analysed measurement results of process performance. — Identifies corrective actions to address assignable causes of variation.			b), c), d)
9.00 Record — Provides measurement data to identify special causes of variation. — Provides information on defects and problems. — Records the changes. — Documents corrective actions to be implemented. — Monitors the status of corrective actions. — Collects the data and provides the basis for analysis, corrective actions and results reporting.			a), b), c), d), e)
NOTE The letter references in the "Result of achievement" column make reference to the list included in 6.2.5.3.			

6.2.6 Process capability level 5: Innovating process

6.2.6.1 Overview of process capability level 5

The previously described predictable process is now continually improved to respond to changes through identified innovative approaches for process innovation.

The following attributes of the process together with the previously defined attributes demonstrate the achievement of this level.

6.2.6.2 PA 5.1 Process innovation PA

The process innovation PA is a measure of the extent to which changes to the definition, management and performance of the process are identified and effectively implemented from identified innovative approaches for process innovation using internal resources and/or using external ideas according to defined process innovation objectives. As a result of full achievement of this attribute:

a) process innovation objectives for the process are defined that support the relevant business goals;

b) appropriate data are analysed to identify opportunities for best practice and innovation;

c) innovation opportunities derived from new technologies and process concepts are identified;

d) an implementation strategy is established to achieve the process innovation objectives;

e) the impact of all proposed changes is assessed against the objectives of the defined process and standard process;

f) implementation of all agreed changes is managed to ensure that any disruption to the process performance is understood and acted upon;

g) effectiveness of process change on the basis of actual performance is evaluated against the defined product requirements and process and innovation objectives.

Table 111 provides details on the GPs, GRs and generic information item indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 111 — PA 5.1 PCIs

GP ID	GP	GP indicators	Result of achievement
GP 5.1.1	Define the process innovation objectives for the process that support the relevant business goals.	— New business visions and goals are analysed to give guidance for new process objectives and potential areas of process change. — Quantitative and qualitative process innovation objectives are defined and documented.	a)
GP 5.1.2	Analyse data of the process to identify opportunities for best practice and innovation.	— Feedback on opportunities for innovation is actively sought, including analysis of the results from the process measurements. — Innovation opportunities are identified. — Best practices are identified and evaluated.	b)
GP 5.1.3	Identify innovation opportunities of the process from new technologies and process concepts.	— Possibilities of new process concepts on the innovation of process performance are identified and evaluated. — Impact of new technologies on process performance is identified and evaluated. — Emergent risks are considered in evaluating innovation opportunities.	c)
GP 5.1.4	Define an implementation strategy based on long-term innovation vision and objectives.	— Commitment to innovation is demonstrated by organizational management, including the process owner(s), and other relevant stakeholders. — Measures that validate the results of process changes are defined to determine expected effectiveness of the process change and the expected impact on defined business objectives. — The proposed process changes are planned and prioritized based on their impact on defined innovation objectives.	d)
GP 5.1.5	Assess the impact of each proposed change against the objectives of the defined and standard process.	— Objective priorities for process innovation are established. — Specified changes are assessed against product quality and process performance requirements and goals. — The impact of changes to other defined and standard processes is considered.	e)

Table 111 *(continued)*

GP ID	GP	GP indicators	Result of achievement
GP 5.1.6	Manage the implementation of agreed changes.	— A mechanism is established for incorporating accepted changes into the defined and standard process(es) effectively and completely. — The factors that impact the effectiveness and full deployment of the process change are identified and managed, such as: — economic factors productivity, profit, growth, efficiency, quality, competition, resources and capacity); — human factors (job satisfaction, motivation, morale, conflict/cohesion, goal consensus, participation, training, span of control); — management factors (skills, commitment, leadership, knowledge, ability, organizational culture and risks); — technology factors (sophistication of system, technical expertise, development methodology, need of new technologies). — Training is provided to users of the process. — Process changes are effectively communicated to all affected parties. — Records of the change implementation are maintained.	f)
GP 5.1.7	Evaluate the effectiveness of process change.	— Performance and capability of the changed process are measured and compared with historical data. — A mechanism is available for documenting and reporting analysis results to management and owners of standard and defined process. — Measures are analysed to evaluate the effectiveness of the process change. — Other feedback is recorded, such as opportunities for further innovation of the organizational standard process.	g)
GRs for PA 5.1			
Indicators			**Result of achievement**
PI framework			a), c), d)
Process feedback and analysis system (measurement data, causal analysis results, etc.)			b)
Piloting and trialling mechanism			b), c)
Change management system			e), f), g)
Process evaluation system (impact analysis, etc.)			e), g)
Generic information items for PA 5.1			
Indicators			**Result of achievement**

Table 111 *(continued)*

GP ID	GP	GP indicators	Result of achievement
2.00 Description — Identifies potential areas of innovation and new technology. — Documents changes as a result of PI actions.			c), d), f)
3.00 Plan — Defines improvement objectives for the process. — Allocates resources for improvement activities. — Schedules activities for root cause analysis. — Defines an approach to implementing selected innovations. — Identifies the scope of pilot innovation activities. — Defines the activities and schedule for pilot change implementation. — Allocates resources for pilot implementation. — Assigns responsibility for pilot implementation. — Defines the activities and schedule for organizational implementation of process change. — Allocates resources and responsibilities for organizational implementation. — Specifies the scope of pilot implementation of proposed change.			a), d), e), f)
5.00 Procedure — Establishes expectations for conduct and evaluation of pilot innovations.			a)
6.00 Report — Identifies potential innovations and process changes. — Describes results of pilot implementation of process change. — Evaluates the effectiveness of the process compared to process innovation objectives. — Provides details on implementation of organizational changes. — Describes proposed changes to the organizational standard and defined process.			b), c), e), f), g)
8.00 Specification — Defines and maintains business goals. — Provides evidence of management commitment. — Specifies measures derived from PI objectives.			a), g)

Table 111 *(continued)*

GP ID	GP	GP indicators	Result of achievement
9.00 Record — Provides analytical data to identify opportunities for best practice and innovation. — Identifies potential innovation opportunities. — Records information on new technology and techniques. — Contains records of all completed and in-progress pilot implementations. — Records history of and justification for changes.			b), f)
NOTE The letter references in the "Result of achievement" column make reference to the list included in 6.2.6.2.			

Annex A
(informative)

Conformity of the PAM

A.1 General

This document sets out a PAM that meets the requirements for conformity defined in ISO/IEC 33004. The PAM can be used in the performance of assessments that meet the requirements of ISO/IEC 33002.

This annex serves as the statement of conformity of the PAM to the requirements laid out in ISO/IEC 33004. The following clause provides cross-references to relevant requirements from ISO/IEC 33004, followed by explanations of how the PAM outlined in this document conforms to these requirements.

Since this PAM has been explicitly constructed to be an elaboration of the PRM defined in ISO/IEC 30105-1, the conformity claim is relatively simple.

A.2 Requirements for PAMs

A.2.1 Introduction

Introductory requirements concerning the purpose, scope and elements, and mapping of PAMs are laid out in ISO/IEC 33004:2015, 6.1.

In this document, the purpose, scope and elements, and mapping of the PAM are covered under the Introduction, Scope and 4.2.

A.2.2 PAM scope

Requirements concerning the Scope of the PAM are laid out in ISO/IEC 33004:2015, 6.2.

The Scope of the PAM outlined in this document is as specified in the PRM in ISO/IEC 30105-1, which defines a PRM satisfying the requirements of ISO/IEC 33004:2015, Clause 5. The process capability scope of this PAM is defined in the MF specified in ISO/IEC 30105-3 which defines an MF for process capability satisfying the requirements of ISO/IEC 33003.

A.2.3 Requirements

General requirements concerning PAMs are laid out in ISO/IEC 33004:2015, 6.3.

The PAM outlined in this document is based upon the PRM specified in ISO/IEC 30105-1, addressing all of the processes identified in Clause 5 of this document.

In the capability dimension of this PAM, the model addresses all of the PAs and capability levels defined in the MF in ISO/IEC 30105-3:2016, Clause 7, for the process quality characteristic of process capability.

A.2.4 Assessment indicators

Requirements concerning assessment indicators for PAMs are laid out in ISO/IEC 33004:2015, 6.3.4.

The PAM outlined in this document provides a two-dimensional view of process capability for the processes in the PRM, through the inclusion of assessment indicators as shown in Figure 4. The assessment indicators used, as shown in Figure 4 are:

— BPs and information items;

— GPs, GRs and generic information items.

They support the judgment of the performance and capability of an implemented process.

A.2.5 Mapping PAMs to PRMs

Requirements concerning the mapping of PAMs to PRMs are laid out in ISO/IEC 33004:2015, 6.3.5.

Each of the processes in the PAM outlined in this document is identical in scope to the process defined in the PRM. The process dimension of the PAM outlined in 4.2.1 of this document includes the processes defined in PRM.

A.2.6 Mapping PAMs to MF

Requirements concerning the mapping of PAMs to MF are laid out in ISO/IEC 33004:2015, 6.3.9.2.

Each of the assessment indicators in the PAM outlined in this document is identical in scope to the PAs defined in the MF. The PCIs of the PAM outlined in Clause 6 of this document include the PAs defined in MF.

Annex B
(informative)

Information item characteristics

B.1 Overview

Information item characteristics listed in this annex can be used when reviewing potential inputs and outputs of process implementation. The characteristics are provided as guidance for the assessment indicators to look for in a particular sample information item, to provide objective evidence supporting the assessment of a particular process. A documented process and assessor judgment are needed to ensure that the process context (application domain, business purpose, development methodology, size of the organization, etc.) is considered when using this information.

B.2 Generic information items

Generic information item indicators are sets of characteristics that would be expected to be evident in information items of generic types as a result of the achievement of an attribute. The generic information items form the basis for the classification of the information items defined as PPIs (see Table B.1). These information item classes are basic input classes used for processing owners of all types of processes (see Table B.2).

NOTE The set of generic information item classes covered in this annex, including its descriptions and typical characteristics, is derived from ISO/IEC/IEEE 15289.

Table B.1 — Descriptions of the elements of generic information item

Generic information item ID	Identifiers of the information items.
Generic information item class	Identifies the types of information item that are produced from practices or processes.
Generic information item description	Explains the content of a generic information item.
Generic information item typical characteristics	Explains the characteristics of a generic information item.

Table B.2 — Generic information items

Generic information item ID	Generic information item class	Generic information item description	Generic information item typical characteristics
1.00	Object (Obsolete)	An entity created to serve a purpose, or created in the course of serving that purpose. Its existence is observable and rationalized by its material or behavioural characteristics. It can exist as a complete, partial or exemplifying realization of a product, be a subordinate part of a product, be a by-product, or be a part of an enabling system.	— Identity, name of object. — Purpose, value that caused its creation. — Ownership and responsibility for object — status, state and classification of object. — Distinguishing observable qualities and properties. — Functional and behavioural characteristics. — Dimensional and parametric characteristics. — Relationship with and dependencies on surroundings. — Observable interactions or effects on other objects. — Interfaces, connections to surroundings. — Location, position in surroundings. — Safety, security, privacy and environmental regulations.

Table B.2 *(continued)*

Generic information item ID	Generic information item class	Generic information item description	Generic information item typical characteristics

2.00	Description	Represents a planned or actual context of use, function, design, service, or item.
		NOTE A description of something that is required is a specification.
			— Object, subject or class represented.
			— Purpose and applicability of description.
			— Concerned parties, viewpoints, views.
			— Range of use, and validity of description.
			— Accuracy, detail and abstraction level.
			— Model dimensions, degrees of freedom.
			— Description language, notation, nomenclature.
			— Applicable standards, formats and styles.
			— Representations of function, attributes, properties.
			— Descriptions of architecture, arrangement, interfaces:
			  — depiction of composition or form;
			  — definition of classification, category, ranking and type.

Table B.2 *(continued)*

Generic information item ID	Generic information item class	Generic information item description	Generic information item typical characteristics
3.00	Plan	Defines when, how and by whom specific processes or activities are to be performed.	— Definition of undertaking, purpose and objectives of plan. — Strategy and policy guiding plan. — Plan owner, stakeholders, responsible parties and their authorities. — Plan status, version, reviews and modifications. — Proposed events, actions and tasks. — Predicted timescales, durations, dates of actions. — Assumed dependencies, conditions, constraints, risks. — Allocated resources, labour, facilities, materials. — Planned budget, cost, expenditures. — Defined milestones, results and progress targets. — Decision points and authorization gates. — Options and contingency actions.
4.00	Policy	Establishes an organization's high-level intention and approach to achieve objectives for, and ensuring effective control of, a service, process, or management system.	— Date of issue, effective date, and status. — Scope. — Issuing organization. — Approval authority and identification of those accountable for enforcing the policy. — Authoritative references for compliance or conformity (such as policies, laws and regulations, standards, contracts, requirements, and vision or mission statements). — Body, including objectives. — Glossary. — Change history.

Table B.2 *(continued)*

Generic information item ID	Generic information item class	Generic information item description	Generic information item typical characteristics
5.00	Procedure	Defines in detail when and how to perform certain activities or tasks, including tools needed.	— Purpose, outcomes and results of performing actions. — Issuing authority and controls. — Roles, responsibilities and duties. — Actors, their competence and proficiency. — Dependency on requirements, standards and directives. — Achievement, goals, completion criteria. — Definition of transformations and their products. — Work definitions, instructions to act. — Progression and dependencies of action. — Guiding method and practices. — Enabling tools and infrastructure.
6.00	Report	Describes the results of activities such as investigations, assessments and tests. A report communicates decisions.	— Purpose or benefit of report. — Source, author and authority to report. — Stakeholders, recipients, distribution. — Knowledge, understanding communicated. — Information, data, facts and evidence contained. — Analysis, inspections and audits employed. — Timing, validity, condition of information use. — Dependence on circumstances, constraints and assumptions. — Reported status, results, achievements, conformity, compliance or outcomes. — Identified faults, failings or errors. — Inferred patterns, trends or predications. — Conclusions, recommendations, rationale.

Table B.2 *(continued)*

Generic information item ID	Generic information item class	Generic information item description	Generic information item typical characteristics
7.00	Request	Records information needed to solicit a response.	— Objective, purpose or outcome of request. — Expression of a demand or need. — Communication of enquiry, solicitation or an order to provide. — Initiation of supply, provision or support. — Definition of action, change or exchange. — Identification of required products, services, capability or resources. — Authorization of tasking or commitments. — Specified terms, conditions to act, agreement conveyed. — Required availability of requested provision communicated.
8.00	Specification	Provides requirements for a required service, product, or process.	— Definition of needs and circumstances. — Statement of requirements. — Definition of constraints and conditions. Standards and regulations invoked. — Dimensions of achievement and outcome. — Criteria of conformity, correctness and compliance. — Definition of measures, indicators, limitations, values and thresholds. — Statements of action and conduct. — Required functions, performance, behaviour or service levels. — Definitions of interfaces, interaction, location and connection. — Conditions of acceptance, permissible exceptions and deviations. — Conditions of change and variation.

Table B.2 *(continued)*

Generic information item ID	Generic information item class	Generic information item description	Generic information item typical characteristics
9.00	Record	Organizes the data an organizational entity retains. NOTE In accordance with ISO 9000, the purpose of a record is to state results achieved or to provide evidence of activities performed by an organizational entity.	— Record identity or title. — Content, description and reason for record. — Ownership, origin and authorship. — Practices, agreements, commitments and regulations applying to record. — Authorities and condition of storage, retrieval, replication and deletion. — Medium and format of record. — Location, conditions and periods of storage. — Applicable information privacy, security and integrity. — Declaration of status and baseline information. — Information on audit, validity and history.

B.3 Information item

Information items are typically created by process owners and applied by process practitioners in order to satisfy an outcome of a particular process, which is conformant to ISO/IEC TS 33074.

Information items in Table B.4 are defined using the schema in Table B.3, which is based on the approach defined in ISO/IEC/IEEE 15289. Information items and their characteristics should be considered as a starting point for considering whether, given the context, they are contributing to the intended purpose of the process.

NOTE The set of items in generic information item class and information items are ordered alphabetically in principle. Information items, which are classified based on generic information items, form part of PPI as defined in Clause 5 of this document.

Table B.3 — Information item identification

Information item identifier ID	Identifiers for the information item which is used to reference the information item.
Information item name	Provides an example of a typical name associated with the information item characteristics. This name is provided as an identifier of the type of information item the practice or process might produce. Organizations can call these information items by different names. The name of the information item in the organization is not significant. Similarly, organizations can have several equivalent information items which contain the characteristics defined in one information item type. The formats for the information items can vary. It is up to the assessor and the organizational unit coordinator to map the actual information items produced in their organization to the examples given here.
Information item characteristics	Provides examples of the potential characteristics associated with the information item types. The assessor can look for these in the samples provided by the organizational unit.
Process outcomes	Information items associated with each process and related to one or more of its outcomes.

Table B.4 — Information items descriptions

Information item ID	Information items	Characteristics	Process outcomes
2.01	Business case	— Identifies strengths and weaknesses of alternative options for the organization. — Identifies options for adoption and deployment. — Compares benefits and costs of the identified options. — Enables decision-making.	SEN1 [Outcome a), c), f)]
2.02	Delivery organization chart	— Describes the structure of an organization, the relationships and hierarchy. — Identifies roles and named individuals assigned to roles.	TRN1 [Outcome i)] TRN4 [Outcome a), b)] SDL1 [Outcome a)] TEN5 [Outcome a), b), c), d), f), h)] TEN10 [Outcome a)]
2.03	Escalation matrix	— Defines the authority levels for hierarchical or functional escalation. — Provides the details for up to 3 levels of contacts who can be contacted if not satisfied with first point contact.	OEN5 [Outcome e), f)] OEN6 [Outcome h)] OEN7 [Outcome d)]
2.04	Office facilities inventory	— Describes a space that serves a specific function, including: building structure for service delivery; utility services; heating, ventilation and air conditioning; energy and power; facility maintenance; desks, chairs, telephones; office equipment.	TRN3 [Outcome c), d)] TEN5 [Outcome a), b), d), e), g)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
2.05	Skills framework	— Identifies skills required for executing the process or function. — Supports recruitment of resources. — Lists training or qualifications required by skill or skill level. — Identifies skills requiring customer verification and approval. — Identifies scope for continual professional development.	TRN1 [Outcome a), b), c), e), f), k)] SDL1 [Outcome a)]
2.06	Training material	— Provides awareness on the relevancy and importance of activities. — Describes the objectives for delivering processes, activities or services. — Provides instructions on knowledge or skills relevant to undertaking an activity or role.	TRN1 [Outcome e), k)] TRN4 [Outcome d)] SDL1 [Outcome a)] OEN2 [Outcome c)] OEN3 [Outcome a)] OEN4 [Outcome e), g)]
2.07	Auditor list	— Identifies the professionals from multiple domains/processes available for auditing, including their experience and qualifications. — Identifies any auditor training required. — Lists the available auditors and scope of audits to be covered from multiple domains.	TEN6 [Outcome b)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
2.08	Contract	— Defines the contract terms. Establishes the warranties/guarantees, risks and liabilities, and insurance. Captures the delivery scope. — Defines the terms of verification and acceptance. — Defines regulatory obligations, conformity and certifications required. — Defines the duration and schedule for delivery. — Defines the performance measures, targets, reporting and review mechanisms. — Defines the payments mode and penalties. — Defines authorization levels, is agreed upon between both parties. — Specifies conditions/constraints, contract duration and review/change control mechanisms. — Can include service credits and penalties based on defined criteria. — The contract should be decided by both parties.	RLS1 [Outcome a), d)] SLN2 [Outcome b), c), f), g), h)] TRN1 [Outcome c), g), i)] TRN2 [Outcome a), b), c)] TRN3 [Outcome a), b), d)] TRN4 [Outcome a)] TRN5 [Outcome f), g), h)] TRN6 [Outcome a), i)] SDL2 [Outcome a)] SDL3 [Outcome a)] SDL4 [Outcome e)] TRO1 [Outcome a), b), c), d), f), h), j)] TEN2 [Outcome a), d)] TEN5 [Outcome a), b)] TEN7 [Outcome a), b)] TEN9 [Outcome a), c)] TEN10 [Outcome a)] OEN4 [Outcome c), e)] OEN6 [Outcome b), c)]
2.09	Contract obligation mapping	— Identifies activities and performance to be achieved to meet each contractual obligation. — Identifies accountable owners for each of the identified obligations. — Provides clarity of roles and responsibilities of each individual. — Provides a baseline for measuring performance of each contracting party.	SLN2 [Outcome a), b), d), e), i)]SEN1 [Outcome e)] OEN4 [Outcome b)]
2.10	Deployable resources list	— Identifies the resource pool available for service delivery. — Identifies the resource with skill sets mandated by the customer. — Identifies whether the induction training is provided within the transition timelines. — Identifies the training needs for skill set enhancement to meet service delivery requirements.	TRN1 [Outcome b), c), d), e), g), k)] SDL1 [Outcome a)] TRO1 [Outcome f), g)]
2.11	Invoice	— Identifies the cost of service provision to be recovered based on contractual terms.	TEN2 [Outcome e), f)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
2.12	Service performance report templates	— Describes format and contents required for service delivery performance reporting. — Describes timeliness, compliance with reporting process and accuracy. — Describes data sources.	SDL2 [Outcome a), b), e)]
2.13	Stakeholder list	— Identifies all entities playing a key role in the success of an activity, and it is reviewed and updated periodically. — Determines the primary and secondary stakeholders.	SEN1 [Outcome b)] SLN1 [Outcome d)] TRO1 [Outcome e), f)] TEN4 [Outcome b)] TEN8 [Outcome f)] TEN9 [Outcome d)] TEN10 [Outcome d)] OEN7 [Outcome c)]
2.14	Supplier key contacts	— Contains name of supplier, contact and other information. — Provides governance structure. — Contains details of specific units, sub-functions and responsibilities of contacts.	RLS2 [Outcome a)]
2.15	Supplier shortlist	— Identifies the preferred suppliers for the selection process based on the evaluation against selection criteria.	RLS2 [Outcome a), h)]
2.16	Trained and skilled resources list	— Identifies the available resources with the required knowledge and skills to deliver a service.	TRN4 [Outcome d)]
2.17	Training needs analysis	— Determines organizational training needs. — Enhances employee morale and organizational performance. — Considers current skills, competencies and performance. — Identifies the type and level of training required. — Anticipates future shortfalls or problems. — Influences overall effectiveness of training.	TRN1 [Outcome e), f), k)] SDL1 [Outcome a)] OEN4 [Outcome e), g)]
2.18	Emerging technology list	— Identifies potential emerging technologies that may provide business value.	TRN2 [Outcome e)]
2.19	Marketing collateral	— Material or media to promote an organization's products or services. — Targets and tailors promotions to the potential valuable customers.	RLS1 [Outcome a)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
2.20	Partner list	— Identifies the preferred partners for selection process based on the evaluation. — Takes partners' cultural risks, performance risks and relational risks into consideration.	SEN2 [Outcome a)]
3.01	Asset transfer plan	— Describes the details of assets to be transferred during transition out. — Provides details of movable and immovable assets which belong to the organization. — Provides details of assets along with the original cost and the current value after depreciation/appreciation.	TRO1 [Outcome d), f), g)]
3.02	Audit plan	— Identifies the scope of an audit. — Identifies the list of auditors and the point of contact as an auditee. — Defines the timeline for an audit. — Identifies the required auditor knowledge and experience.	TEN6 [Outcome a), b), c)]
3.03	Audit schedule	— Identifies the scope of audits over a timeline (e.g. year) as determined by senior management based on business requirements and performance. — Details the processes or functions to be audited and assigned auditors. — Identifies the timeline planned to complete the audits. — Schedules the management meetings following an audit to review findings.	TEN6 [Outcome a), c)]
3.04	Budget	— Identifies the scope of budget planning and allocation of budget against planned activities over a defined timeframe. — Defines breakdown in allocation of budget within activities, including by resource or work breakdown structure.	SEN2 [Outcome c)] TEN2 [Outcome b), g), h)] TEN8 [Outcome a), b)]
3.05	Business continuity maintenance schedule	— Schedules key activities to maintain the BCP. — Defines a contact list periodically for reviews of contact information. — Initiates periodic reviews of all business continuity plans.	TEN5 [Outcome a), b)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
3.06	Business continuity plan (BCP)	— Defines plans to ensure continuity of business during any disruption. — Consists of an impact analysis, threat analysis, and impact scenarios with the resulting BCP plan requirement and recovery documentation. — Is regularly reviewed and maintained to reflect changes to services, environment, requirements, personnel, etc. — Is updated with changes to: staffing, including specialized technical resources, important customers, suppliers/ authorities, organization structure changes, alternative site for business continuity recovery.	TEN5 [Outcome a), e), g), h)]
3.07	Business continuity test schedule	— Defines a planned schedule of regular BCP and/or DR tests to assess accuracy and response times. — Schedules tests in line with BCP requirements.	TEN5 [Outcome a), b)]
3.08	Business continuity training plan	— Ensures employees are trained and aware of their role in the BCP and its implementation. — Updates periodically to reflect and respond to changes in the process.	TEN5 [Outcome h)]
3.09	Business plan	— Defines a long-term plan of action designed to achieve a particular business goal or set of goals or objectives. — Communicates the direction a business will pursue and the steps it will take to achieve its goals.	SEN1 [Outcome e)] TEN1 [Outcome a), b)] OEN4 [Outcome b)]
3.10	Calibration plan	— Defines the scope and frequency of calibration to ensure consistency of evaluation. — Defines the requirements of the customer and the acceptable limits. — Details the process flow and procedure of activities. — Defines the calibration criteria.	OEN1 [Outcome c)]
3.11	Change build and implementation plan	— Defines the activities and schedule for building and testing change. — Documents the change implementation and deployment approach and schedule.	TEN3 [Outcome g)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
3.12	Change back out plan	— Defines success criteria for changes. — Defines timelines for reversing a change that is unsuccessful. — Defines restoration method to previous or best state of process.	TEN3 [Outcome d), f), g)]
3.13	Change/release schedule	— Provides the agreed implementation schedule of changes. — Provides the approval changes details and deployment details. — Details the schedule of planned changes to stakeholders. — Communicates the implementation schedule for changes to stakeholders.	TEN3 [Outcome d), e)]
3.14	Communication plan	— Identifies the target stakeholders. — Identifies a timeframe or frequency for communications. — Identifies desired outcomes. — Defines the appropriate communication approach and channels for the delivery of messages. — Defines who will be responsible for delivery of communications. — Identifies key contents for communication messages. — Is regularly maintained to reflect latest stakeholders and business communications needs and approaches.	SEN1 [Outcome f)] SEN2 [Outcome d), e), f)] RLS1 [Outcome a), b)] TRN5 [Outcome g)] SDL1 [Outcome e)] SDL2 [Outcome b), c), d), f)] SDL4 [Outcome f)] TRO1 [Outcome i), j)] TEN3 [Outcome e)] TEN5 [Outcome b), f), i)] TEN8 [Outcome e)] TEN9 [Outcome a), b), c), d)] OEN2 [Outcome d)] OEN4 [Outcome h)] OEN5 [Outcome e), h)]
3.15	Compliance assessment/audit plan	— Defines the frequency of compliance audits across all service levels/processes in an organization. — Identifies the timelines for each audit and target area.	OEN3 [Outcome c), d)]
3.16	Compliance awareness plan	— Defines the importance of compliance in an organization. — Defines a training plan for an awareness programme for employees. — Describes the methods used to monitor the compliance.	OEN3 [Outcome a)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
3.17	Continual professional development plan	— Identifies skill development required for an individual to meet the service/process delivery requirements. — Identifies personal development needs. — Provides a plan for individual continual professional development. — Tracks progress against planned professional development.	TRN1 [Outcome f), k)] OEN4 [Outcome b), d), e), f), g), h), j)]
3.18	Department/unit implementation plans	— Consists of a series of implementation plans to deploy the strategic plan across each area of the organization. — Defines the plan to move department/business unit(s) from present state to a desired future state. Factors to be considered include: size of the unit; types of ITES-BPO services delivered; physical location; market areas; competitiveness; economic trends.	SEN1 [Outcome c), d), e)] TEN1 [Outcome a), b)] OEN4 [Outcome b)]
3.19	Disaster recovery plan	— Defines the disaster recovery procedures. — Describes the alternative means of operation of critical process during a declared disaster.	TEN5 [Outcome b), d), e), g), h)]
3.20	Facilities plan	— Describes the special working arrangements during disaster recovery.	TRN3 [Outcome c)]
3.21	Financial plan	— Defines the capital requirements. — Defines policies and procedures in relation to procurement, investment, change control and administration of budget. — Defines the projected budget for the duration of the contract, the charging mechanism and recovery of funds, and expected profits. — Defines structure of budget by cost types at the level required for financial management and billing.	TEN2 [Outcome a), b), c), g), h)]
3.22	Governance plan	— Identifies the reports to be produced, their purpose, high-level contents, distribution and frequencies. — Identifies the schedule of governance, management and performance reviews, including for each review purpose, attendees and frequency. — Identifies approach to management of actions and escalations for any deviations.	SLN1 [Outcome a)] TRN5 [Outcome g)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
3.23	Improvement plan	— Defines prioritization of improvements aligned with the business goals. — Describes improvement scope and expected outcomes. — Captures costs and benefits. — Defines schedule, resources and timescales for improvement.	TEN8 [Outcome b), e)]
3.24	Induction programme	— Identifies induction training schedule. — Identifies scope of induction training. — Identifies skill sets to be addressed. — Identifies the target delivery organization. — Identifies the induction material. — Identifies assigned trainers.	TRN1 [Outcome d)]
3.25	Induction programme outline	— Identifies induction training timelines. — Identifies scope of induction training. — Identifies knowledge and skill sets that the induction training needs to cover. — Identifies the delivery organization resources required to attend. — Identifies resources responsible for the execution of programme elements.	TRN1 [Outcome d), e), h)]
3.26	Information security awareness plan	— Defines the importance of information security in an organization. — Details the individuals responsible for the Information security awareness programme. — Details the sensitivity of information and the criticality of applications, systems and processes. — Defines a training plan for employee awareness. — Describes the methods used to monitor compliance to the security policy.	OEN2 [Outcome c)]
3.27	Innovation roadmap	— Identifies the long-term plan to achieve the innovation goals. — Identifies key milestones and targets.	SEN2 [Outcome a), c)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
3.28	Knowledge management plan	— Ensures knowledge for a defined service element, e.g. process or function, is retained and maintained. — Requires regular review and update, incorporating any process change or improvements. — Conducts regular audits on adherence to the process to identify any knowledge gaps, training required or improved/changed working practices.	TEN4 [Outcome a), b), c)]
3.29	Knowledge transfer plan	— Identifies knowledge transfer goals/requirements. — Identifies the specific plan for training technical personnel and end users. — Defines a strategy for providing training through the transition project to ensure the training goals are achieved. — Identifies tasks, deliverables, resources, tools and training effort required. — Defines measurement for knowledge transfer effectiveness. — Describes the deliverables to support initial and ongoing training including user manuals, system manuals, online help and training materials for technical/non-technical personnel. — Defines knowledge transfer for: business and process knowledge; operational/procedural knowledge of business process; operation, modification of systems/tools.	TRN4 [Outcome b)] TRO1 [Outcome e)] TEN4 [Outcome c), d)]
3.30	Non-technology requirements and fulfilment plan	— Identifies non-technology requirements in accordance with service delivery and transition plan. — Identifies the timeframe for implementing non-technology infrastructure. — Identifies a plan of activities to be carried out. — Provides a baseline for monitoring for deviations in timelines enabling corrective actions.	TRN3 [Outcome a), b), c)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
3.31	Pilot plan	— Defines a pilot project scope, activities and timeframe. — Describes required resources. — Describes the impact of failure. — Identifies the acceptance criteria for a successful pilot. — Describes any risk or issues relating to pilot plan execution. — Describes performance measures for the pilot.	TRN6 [Outcome a), b), c), d), e), f), g), h), i)]
3.32	Process documentation plan	— Defines the activities/tasks and timescales to establish the required process documentation. — Provides task descriptions. — Defines the processes and level of documentation required based on the intended audience. — Describes any requirements to meet local standards or for translation into other languages. — Describes the resources required to deliver the plan. — Identifies the key milestones and the deliverables planned for each milestone. — Describes the approval process and identifies who will be responsible for approving the plan and deliverables.	TRN4 [Outcome b)] SDL4 [Outcome a)] TEN10 [Outcome a), b)]
3.33	Ramp down plan	— Describes a resource reduction plan in phase manner.	TRO1 [Outcome e), f), g), h)]
3.34	Resource forecast	— Identifies the demand for the resources and required skills over defined timelines. — Identifies any deviation between the forecast and the actuals. — Identifies the number of resources and skills to be recruited. — Monitors whether supply has met the demand.	TRN1 [Outcome a), b), d), f), k)] TRN4 [Outcome a)]
3.35	Retention plan	— Identifies the tangible and intangible measures to retain resources. — Focuses on key employees to ensure they are retained. — Documents the primary reasons for attrition and required actions to retain existing employees.	OEN4 [Outcome d), e), g), h)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
3.36	Risk treatment plan	— Describes risk identification, risk impact assessment and risk prioritization analysis. — Define risks. — Describes risk treatment planning. — Tracks implementation and monitors progress against a plan.	TEN7 [Outcome f)]
3.37	Roadmap	— Describes the approach to achieving the organization's objectives and goals. — Defines activities to be performed based on a clear timeline.	SEN1 [Outcome d), e)] TEN1 [Outcome a), b)] OEN4 [Outcome b)] OEN5 [Outcome i)]
3.38	Service delivery plan	— Defines delivery objectives. — Identifies lowest and highest performance boundaries. — Describes service delivery performance metrics. — Identifies service delivery targets as agreed upon with customer.	TRN5 [Outcome a), b), c), d), e)] TRN6 [Outcome b), c), d), e), f), g), h), i)] SDL1 [Outcome b), c), f)] SDL2 [Outcome a)] SDL3 [Outcome a), b)] SDL4 [Outcome a), b), c)] TEN9 [Outcome a), c)]
3.39	Strategic plan	— Defines priorities, focus and resources for an organization. — Communicates direction within an organization. — Ensures employees and stakeholders have common goals and understanding. — Is regularly reviewed and maintained to align to changing environments.	SEN1 [Outcome a), f)] SEN2 [Outcome a), b), d)] TEN1 [Outcome a), b)] OEN4 [Outcome b)]
3.40	Technology requirements and fulfilment plan	— Identifies technology requirements in accordance with service delivery and transition plan. — Identifies the timeframe for implementing technology infrastructure. — Identifies planned activities to deliver the requirements. — Provides a baseline for monitoring for deviations in timelines or against requirements enabling corrective actions.	TRN2 [Outcome a), b), e)] SDL2 [Outcome b)] OEN5 [Outcome a), b), c)]
3.41	Transaction monitoring plan	— Defines a monitoring plan and frequency to ensure transaction quality. — Identifies process complexity and criticality.	OEN1 [Outcome d)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
3.42	Transition out plan	— Defines the schedule of transition activities relating to transition out of processes from the service provider to a different service provider or back to the customer. — Provides a baseline to measure transition timelines. — Identifies the sequence and dependencies for transition activities. — Documents the roles and responsibilities of key stakeholders in transition.	TRO1 [Outcome a), b), e), f), g), h), i)]
3.43	Transition plan	— Defines the schedule of transition activities relating to transition of processes from the customer or a different service provider to the current service provider. — Defines the schedule of transition activities. — Provides a baseline to measure transition timelines. — Identifies the sequence and dependencies for transition activities. — Documents the roles and responsibilities of key stakeholders in transition.	SLN1 [Outcome b), c), d)] TRN1 [Outcome a), d), h), i)] TRN2 [Outcome a), b), e)] TRN3 [Outcome a), b), c), d)] TRN4 [Outcome a), b)] TRN5 [Outcome a), b), c), d), e)] TRN6 [Outcome b), c), d), e), f), g), h), i)] TEN9 [Outcome a), c)]
3.44	Verification strategy	— Describes the verification activities needed to ensure the conformity of the services. — Defines verification mechanisms for base and derived measures.	OEN1 [Outcome a), b)]
3.45	Work schedule	— Schedules operational workloads. Allocates operational activities and responsibilities. — Identifies operational resource requirements and availability for capacity planning. — Defines working and break times.	SDL1 [Outcome b)]
4.01	Contract policy	— Provides principles for executing contracts. — Identifies contract management activities to be practiced by an organization. — Provides a minimum list of clauses to be covered in a contract. — Provides guidance for creating mutually tenable contracts.	SLN2 [Outcome c), d), e), h)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
4.02	Information security policy	— Describes the system which keeps the confidential information secured. — Describes the system which protects from unauthorized modification.	OEN2 [Outcome b)]
4.03	Innovation deployment strategy	— Identifies the resource with skill sets required to deliver the innovation. — Identifies any training requirements and plans. — Identifies the deployment approach. — Identifies the deployment plan for each area. — Identifies deployment governance.	SEN2 [Outcome b), c), d), e)] OEN6 [Outcome a), b), f)]
4.04	Knowledge policy	— Describes the classification of knowledge assets. — Describes the procedures for maintaining and controlling the knowledge assets.	TEN4 [Outcome a)]
4.06	Digital vision and strategy	— Identifies a roadmap covering both business aspiration and technology adoption. — Aligns with business vision and objectives. — Shifts value towards a platform/service business model. — Focuses on using technology to improve business/organizational performance to achieve business goals.	SEN1 [Outcome f)]
4.07	Technology strategy	— Defines an aligned architecture blueprint and reference framework which drives all technology investments. — Ensures consistency across all technology decisions. — Defines policies, roles and responsibilities.	OEN5 [Outcome i)]
5.01	As-is process documentation	— Defines the business goals and the desired outcomes and objectives for the process. — Describes the structure of the process framework identifying the process portfolio. — Defines the workflow of activities. — Identifies roles within the process. — Identifies metrics and baselines to enable assessment of process performance.	TRN4 [Outcome a), b), c), d)] TEN10 [Outcome a), b)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
5.02	Calibration process	— Describes the tolerances for all calibrations. — All calibrations should be performed in a way that is traceable to a recognized standard.	OEN1 [Outcome c)]
5.03	Current process maps	— Describes the objectives and scope of each process. — Provides the logical flow of the process with key inputs and outputs. — Provides clarity of the process at a micro level. — Identifies the key roles and functions involved in the process. — Identifies any exceptions in the process. Identifies critical areas and also bottleneck areas in the process. — Identifies performance measurement and targets for the process.	SLN1 [Outcome c)]
5.04	Employee care process document	— Defines an employee grievance process. — Identifies a plan for providing opportunities for employees' career growth. — Identifies employee engagement initiatives. — Identifies a process for employee safety within the organization. — Provides medical benefits for the employees. — Identifies the frequency of 1-1 sessions with the employee.	OEN4 [Outcome c), e), f), g), h), i), j)] OEN6 [Outcome a), b), c), d), f), h)]
5.05	Governance framework	— Identifies performance requirements in order to meet each contractual obligation. — Identifies accountable and responsible personnel for each of the identified performance requirements. — Provides clarity of roles and responsibilities for each individual. — Provides a standard for measuring performance of each individual. — Ensures effective governance meetings are conducted and communication records circulated and actions closed in line with defined timelines.	TRN5 [Outcome g)] SDL1 [Outcome d)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
5.06	Innovation framework	— Identifies the target to be reached for each relevant function. — Identifies the key players to promote and motivate the delivery resources. — Identifies the timeframe and plan of action. — Identifies the launch campaigns. — Identifies the governance mechanism to drive innovation. — Identifies measurement framework and reporting for stakeholder communication.	SEN2 [Outcome a)]
5.07	IT service continuity and support procedure	— Identifies the incident, change and service request management processes. — Provides the capability to record, classify and prioritize incidents, changes and requests. — Tracks the prioritized incidents, changes and requests to resolution and closure. — Provides interfaces to align availability, capacity and performance of technology to meet business/service requirements. — Details regular measures, reports and reviews of technology to IT SLA. — Includes identification and interface to any of the processes from the wider ITSM process management system, as required for the scope of service.	OEN5 [Outcome d), e), f), g)]
5.08	Measurement systems	— Measures performance against the goals and objectives. — Provides trending information. — Collates measurement data at defined measurement points and times.	TRN5 [Outcome f)] SDL1 [Outcome c)] SDL2 [Outcome b), e)] SDL3 [Outcome a), b)] SDL4 [Outcome c)]
5.09	Physical security controls procedure	— Defines control mechanisms and records for physical access. — Documents regular physical checks. — Defines approach for return or destruction of all information assets when the asset is no longer required.	TRN3 [Outcome c), d)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
5.10	Process maps and procedures	— Defines the as-is workflow of activities. — Provides a clear and simple record of existing processes, enabling examination to: eliminate unnecessary tasks; clarify roles within the process; reduce delays and duplication; optimize the number of staff. — Provides base information for development of new working procedures, particularly to achieve improved efficiency.	TRN4 [Outcome c)] SDL4 [Outcome a), b), c)] TEN5 [Outcome a)]
5.11	Programme governance framework	— Provides clarity of roles and responsibilities of each individual. — Defines governance meetings to be conducted, including purpose, attendees and frequency. — Defines documents and reports required for governance.	SEN2 [Outcome c), d)] TEN8 [Outcome b), d), e)]
5.12	Recovery process and procedures	— Documents critical functions and processes, with tolerable lengths of unavailability. — Identifies and ranks subsets of critical/essential business function activities and processes, based on how long the organization can survive without them. — Defines an approach to recover business following service interruption or disaster.	TEN5 [Outcome c), d), g)]
5.13	Reward and recognition process document	— Identifies mechanisms and budgets available for reward and recognition. — Identifies the eligibility criteria for reward or recognition awards. — Documents the authorization levels required for awards.	SEN2 [Outcome d), e)] OEN4 [Outcome e), g)]
5.14	Security controls procedure	— Identifies countermeasures to avoid or minimize security risks relating to organizational or customer property. — Describes the preventive and corrective controls. — Defines physical, procedural, technical and legal and regulatory or compliance controls.	OEN2 [Outcome c), d)]

Table B.4 *(continued)*

Information item ID	Information items	Characteristics	Process outcomes
5.15	Security risk management approach	— Provides specific steps for managing security risks in a consistent manner. — Provides details of risk management within the overall information security policy. — Describes risk identification, impact assessment and classification for security risks. — Identifies risk mitigation plans. — Tracks implementation and monitors progress against a plan.	TEN7 [Outcome f)]
5.16	Standard operating procedures	— Describes the regularly occurring operations. — Describes tasks to carry out operations in accordance with customer requirements. — Supports process and service delivery objectives. — Describes performance monitoring procedures. — Describes a review procedure for operational performance. — Identifies the control procedures for any operational failures.	SDL4 [Outcome a), b), c)]
5.17	Transition methodology document	— Provides the standard framework for transition projects. — Provides a structured approach to the activities required in a logical sequence for a transition project. — Supports the creation of a transition plan, estimating cost and resources, and enables identification of deviations.	SLN1 [Outcome b), c), d)] TEN10 [Outcome a), b)]