
**Information technology — Process
assessment — An exemplar
documented assessment process**

*Technologies de l'information — Évaluation des procédés — Un
exemple documenté d'évaluation des procédés*

IECNORM.COM : Click to view the full PDF of ISO/IEC TS 33030:2017



IECNORM.COM : Click to view the full PDF of ISO/IEC TS 33030:2017



COPYRIGHT PROTECTED DOCUMENT

© ISO/IEC 2017, Published in Switzerland

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
Ch. de Blandonnet 8 • CP 401
CH-1214 Vernier, Geneva, Switzerland
Tel. +41 22 749 01 11
Fax +41 22 749 09 47
copyright@iso.org
www.iso.org

Contents

	Page
Foreword	iv
Introduction	v
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Documented assessment process	1
4.1 General.....	1
4.2 Initiate the assessment.....	4
4.2.1 Overview.....	4
4.2.2 Tasks.....	5
4.3 Plan the assessment.....	12
4.3.1 Overview.....	12
4.3.2 Tasks.....	13
4.4 Brief the assessment participants.....	16
4.4.1 Overview.....	16
4.4.2 Tasks.....	17
4.5 Collect the data.....	18
4.5.1 Overview.....	18
4.5.2 Tasks.....	18
4.6 Validate the data.....	19
4.6.1 Overview.....	19
4.6.2 Tasks.....	20
4.7 Determine the results.....	21
4.7.1 Overview.....	21
4.7.2 Tasks.....	21
4.8 Report the Assessment.....	23
4.8.1 Overview.....	23
4.8.2 Tasks.....	23
Annex A (informative) Work product descriptions	25
Annex B (informative) Conformity of the documented assessment process	31
Bibliography	33

Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1.

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 ISO documents 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).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on 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 the following URL: www.iso.org/iso/foreword.html.

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 7, *Software and systems engineering*.

The ISO/IEC 15504 series is being revised as the ISO/IEC 330XX family.

This document replaces the contents of ISO/IEC 15504-3:2004, Annex A.

Introduction

This document provides an exemplar documented assessment process which includes the minimum elements needed as a basis for performing a process assessment. It is applicable for performing process assessments across all types of organizations using a variety of methods, techniques and tools.

The formal entry to the assessment process occurs with the assessment sponsor's commitment to proceed. The assessment input may then be compiled including the definition of responsibilities for performing the assessment. After the assessment inputs are compiled, the assessment activities may proceed which end with the production of the assessment report, its delivery to the Sponsor, and the verification of the conformity of the assessment.

IECNORM.COM : Click to view the full PDF of ISO/IEC TS 33030:2017

IECNORM.COM : Click to view the full PDF of ISO/IEC TS 33030:2017

Information technology — Process assessment — An exemplar documented assessment process

1 Scope

This document contains an exemplar documented assessment process, and serves as guidance on the nature of activities required by this document. The content of this exemplar contains the minimum elements of a documented assessment process applicable for performing all classes of assessments as defined in ISO/IEC 33002. See also [Annex B](#).

This document is suitable for all classes of assessments defined in ISO/IEC 33002.

This exemplar includes the activities by describing the tasks, inputs, outputs and the assessment-related roles and responsibilities. This description implicitly contains other elements that could comprise the process, like purpose, initial/end conditions, additional supporting roles/responsibilities or necessary resources.

While this exemplar contains all of the activities that are considered to be required for a process assessment, it is the case that variation exists in individual process assessments, and therefore, some degree of tailoring of this assessment process could be required. Tailoring of the assessment process is permitted, though it is the responsibility of the Lead Assessor and it would need to be conformant to the requirements of ISO/IEC 33002.

This document is not intended for use in performing organizational maturity assessments.

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 33001:2015, *Information technology — Process assessment — Concepts and terminology*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 33001 apply.

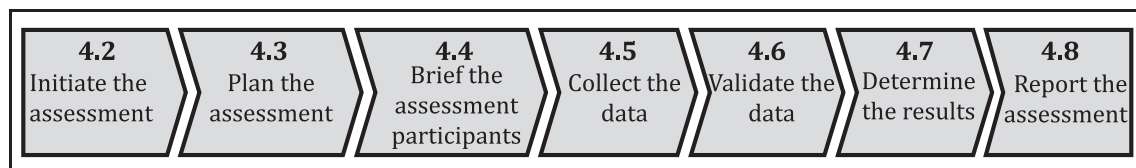
ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- IEC Electropedia: available at <http://www.electropedia.org/>
- ISO Online browsing platform: available at <http://www.iso.org/obp>

4 Documented assessment process

4.1 General

This documented assessment process includes the definition of the activities which are performed between the start and formal end of an assessment. It does not cover additional tasks involved in utilizing the results of the assessment. The assessment process consists of the following activities:



Each activity is described by defining the principal tasks to be executed, the roles and responsibilities for each task and the corresponding necessary inputs and achieved outputs.

The documented assessment process may be tailored in order to address variations in organizational scope, business context or process implementation. Tailoring may include:

- variation or deletion of individual tasks within an activity,
- modification of inputs, outputs and sources of information, and
- changes in the assignment of roles and responsibilities within the assessment.

All high-level tasks should be addressed in the assessment and all task outcomes achieved. If the process is tailored, the extent of tailoring and demonstration of achievement of outcomes should be documented.

For the description of the roles involved in the tasks, the following abbreviations and definitions are used:

LAC: Local Assessment Co-ordinator

Individual or entity, who takes responsibility for the organization of the assessment within the organizational unit assessed.

SP: Sponsor

Individual or entity, internal or external to the organizational unit to be assessed, who requires the assessment to be performed, and provides financial or other resources to carry it out (see ISO/IEC 33001:2015, 3.2.9).

A: Assessor

Individual who participates in the rating of process attributes (see ISO/IEC 33001:2015, 3.2.11). Assessors have appropriate education, training and both capability assessment experience and domain experience to perform the required class of assessment and make professional judgments (see ISO/IEC 33001:2015, 3.2.11).

LA: Lead Assessor

Assessor who has demonstrated the competencies to conduct an assessment and to monitor and verify the conformity of a process assessment (see ISO/IEC 33001:2015, 3.2.12).

P: Participant

Individual from the organizational unit to be assessed, who takes part in the assessment.

For the description of the roles involved in the tasks, the following abbreviations are used:

R: Responsible

Those who do the work to achieve the task. There is at least one role with a participation type of responsible, although others can be delegated to assist in the work required (see also RACI below for separately identifying those who participate in a supporting role).

A: Accountable (also approver or final approving authority)

The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one who delegates the work to those responsible. In other words, an accountable should sign off (approve) work that responsible provides. There should be only one accountable specified for each task or deliverable.

IECNORM.COM : Click to view the full PDF of ISO/IEC TS 33030:2017

C: Consulted (sometimes counsel)

Those whose opinions are sought, typically subject matter experts, and with whom there is two-way communication.

I: Informed

Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

NOTE While the role definitions provided above are considered to represent the standard approach to responsibility distribution, it is possible that individual assessments extend or reduce these role definitions as is appropriate for a given assessment. For example, the SP could be knowledgeable of process assessment and could therefore participate in the detailed aspects of the assessment. The LAC could also be capable of performing a greater role in the process assessment depending on their knowledge and training with respect to process assessment.

4.2 Initiate the assessment

4.2.1 Overview

4.2 Initiate the assessment 4.3 Plan the assessment 4.4 Brief the assessment participants 4.5 Collect the data 4.6 Validate the data 4.7 Determine the results 4.8 Report the assessment	
Activity	Initiate the assessment
Brief description	The first step in the assessment process is to identify the relevant parties involved in the assessment, collect the required information and make necessary decisions to set up the assessment plan.
Outcomes	The following outcomes shall be achieved when performing this activity: 1) Identify the sponsor and define the purpose of the assessment and define the class of assessment; 2) Define the scope of the assessment and what constraints, if any, apply to the assessment; 3) Identify any additional information that needs to be gathered; 4) Identify the assessment participants and the assessment team and define the roles of team members; 5) Define all assessment inputs and obtain sponsor approval for all assessment inputs.

Tasks	The following tasks shall be executed to achieve the outcomes of this activity: 4.2.2.1 Identify the sponsor and the sponsor's relationship 4.2.2.2 Select the type and level of independence 4.2.2.3 Identify criteria for the competence of the Lead Assessor 4.2.2.4 Select the Lead Assessor 4.2.2.5 Select the Local Assessment Co-ordinator 4.2.2.6 Identify business context 4.2.2.7 Define the assessment purpose 4.2.2.8 Define the class of assessment 4.2.2.9 Identify the Process Assessment Model 4.2.2.10 Identify the need for and approve confidentiality agreements 4.2.2.11 Submit Pre-Assessment Questionnaires to the Local Assessment Co-ordinator (optional) 4.2.2.12 Identify the assessment team structure 4.2.2.13 Establish the communication plan 4.2.2.14 Define the assessment scope 4.2.2.15 Specify the rating method(s) 4.2.2.16 Specify the aggregation method(s) 4.2.2.17 Specify constraints on the conduct of the assessment 4.2.2.18 Map the organizational unit to the Process Assessment Model 4.2.2.19 Identify any additional information 4.2.2.20 Review all inputs 4.2.2.21 Obtain sponsor approval
--------------	--

4.2.2 Tasks

4.2.2.1 Identify the sponsor and the sponsor's relationship

Identify the sponsor and the sponsor's relationship to the organizational unit(s) to be assessed.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	A, R	I	—	—	—
Task inputs	— Formal or informal assessment inquiry — Information about the organization or organizational unit(s) to be assessed				
Task outputs	— Commitment of the sponsor or contract with the sponsor's organization				

4.2.2.2 Select the type and level of independence

Select the type and level of independence of the body performing the assessment according to the selected class of assessment.

NOTE The requirements for the type and level of independence of the body performing the assessment are defined in ISO/IEC 33002:2015, 4.6.

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	A, R	I	—	—	—
Task inputs	— Definition of the class of assessment				
Task outputs	— Definition of type and level of independence of the assessment body documented in the preliminary assessment plan				

4.2.2.3 Identify criteria for the competence of the Lead Assessor

Identify criteria for competence of the Lead Assessor.

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	A, R	I	—	—	—
Task inputs	— Information obtained from sponsor — Application or domain specific requirements for assessor competencies — Information about the qualification of Lead Assessors				
Task outputs	— Criteria for competence of the Lead Assessor				

4.2.2.4 Select the Lead Assessor

Select the Lead Assessor, who will lead the assessment team and ensure that the persons nominated possess the necessary competency and skills. The Lead Assessor shall have the required competencies to perform the assessment.

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	A, R	I	—	—	—
Task inputs	— Information about the Lead Assessor				
Task outputs	— Commitment between the assessing organization and the Lead Assessor				

4.2.2.5 Select the Local Assessment Co-ordinator

Select the Local Assessment Co-ordinator. The Local Assessment Co-ordinator (LAC) manages the assessment logistics and interfaces with the organizational unit.

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	A, C	R	—	I	—
Task inputs	— Information about the organization to be assessed				
Task outputs	— Commitment between the organization to be assessed and the local assessment coordinator				

4.2.2.6 Identify business context

Identify business context including the goals of the organization to be assessed					
Responsible (<i>R, A, C, I</i>)	SP <i>I</i>	LA <i>A, R</i>	A —	LAC <i>C</i>	P —
Task inputs	— Information about the organization or organizational unit(s) — Previous audit reports and assessment reports, if available				
Task outputs	— Information about the business context				

4.2.2.7 Define the assessment purpose

Define the assessment purpose including alignment with business context (where appropriate). NOTE An assessment purpose may be for example: (i) to identify strengths and weaknesses in existing processes; (ii) to obtain a process quality (e.g. capability) rating.					
Responsible (<i>R, A, C, I</i>)	SP <i>A</i>	LA <i>R</i>	A —	LAC <i>C</i>	P —
Task inputs	— Information about the business context				
Task outputs	— Information about the assessment purpose				

4.2.2.8 Define the class of assessment

Define the class of assessment such as is appropriate to the assessment purpose. NOTE The requirements for the assessment class are defined in ISO/IEC 33002:2015, 4.6. Any class from ISO/IEC 33002 can be chosen according to the purpose of the assessment.					
Responsible (<i>R, A, C, I</i>)	SP <i>A</i>	LA <i>R</i>	A —	LAC <i>I</i>	P —
Task inputs	— Information about the assessment purpose				
Task outputs	— Definition of class of assessment documented in the preliminary assessment plan				

4.2.2.9 Identify the Process Assessment Model

Identify the Process Assessment Model conformant to ISO/IEC 33004 including the identification of any requirements for coverage of the organizational scope or the process scope of the assessment as defined for the class of the assessment to be used. — Specify the relevant process reference model(s) conformant to ISO/IEC 33004. — Specify the relevant process measurement framework conformant to ISO/IEC 33003. — Define the process quality characteristic to be investigated, including the highest process quality level for each individual process within the assessment scope.					
Responsible (<i>R, A, C, I</i>)	SP <i>I</i>	LA <i>A, R</i>	A —	LAC <i>I</i>	P —
Task inputs	— Definition of the class of assessment — Process reference model — Measurement framework				
Task outputs	— Definition of the process assessment model, process reference model and measurement framework to be used, documented in the preliminary assessment plan				

4.2.2.10 Identify the need for and approve confidentiality agreements

Identify the need for and approve confidentiality agreements (where necessary), especially if external consultants are being used.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	C	A, R	—	C, A	—
Task inputs	— Information about the confidentiality policies of the assessing organization and the organization assessed				
Task outputs	— Approved confidentiality agreement(s)				

4.2.2.11 Submit Pre-Assessment Questionnaires to the Local Assessment Co-ordinator (optional)

Submit Pre-Assessment Questionnaires to the Local Assessment Co-ordinator, if appropriate. The Pre-Assessment Questionnaires (PAQs) help structure the on-site interviews by gathering information about the Organizational unit(s) and projects of the assessed unit(s).					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	—	A, R	I	I, C	—
Task inputs	— Pre-Assessment Questionnaire Templates				
Task outputs	— Completed Pre-Assessment Questionnaire(s)				

4.2.2.12 Define the assessment scope

Define the assessment scope as it applies to the business, including a defined and agreed organization scope including the following sub-tasks: — Define the processes to be investigated within each organizational unit according to the assessment purpose and the requirements for the selected class of the assessment. — Identify the organizational unit(s) that deploy the defined processes to be investigated. — Identify the context for the organizational unit(s) that deploy the processes to be investigated. Identify factors in the organizational unit that affect the assessment process. These factors include, at a minimum: — the size of the organizational unit; — the application domain of the products or services of the organizational unit; — key characteristics (e.g. size, criticality, complexity and quality) of the products or services of each organizational unit. — Identify the sample of products, services, lifecycle stages or projects within the assessment scope. The assessment scope may be renegotiated during the performance of the assessment. Any renegotiation of the scope shall be approved by the sponsor. The assessment scope shall be established according to the specific requirements for the defined class of assessment in ISO/IEC 33002:2015, 4.6 in terms of the required number of process instances to be assessed.					
---	--	--	--	--	--

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	A, I	R	I	C	—
Task inputs	— Information about the organization assessed — Completed Pre-Assessment Questionnaire(s) — Purpose and Class of the assessment — Process reference model(s) — Measurement Framework — Team member list				
Task outputs	— Assessment scope, highest quality level to be assessed for each individual process and corresponding process quality characteristics defined in the preliminary assessment plan				

4.2.2.13 Identify the assessment team structure

Identify the assessment team structure. The principal structure of the assessment team such as team size, necessary roles and workload share is identified based on the scope of the assessment. NOTE The assessment team structure can depend on the size of the assessed organization, the complexity of the assessed project(s), local distribution of sites of the assessed organization or other dependencies.					
Responsible (R, A, C, I)	SP	LA	A	LAC	P
	—	A, R	I	—	—
Task inputs	— Completed Pre-Assessment Questionnaire(s) — Assessment scope				
Task outputs	— Assessment team structure documented in the preliminary assessment plan				

4.2.2.14 Establish the communication plan

Establish the communication plan to the personnel involved in the assessment.					
Responsible (R, A, C, I)	SP	LA	A	LAC	P
	—	A, R	I	I, C	—
Task inputs	— Assessment team structure documented in the preliminary assessment plan — Completed Pre-Assessment Questionnaire(s) — Assessment scope				
Task outputs	— Communication plan and records				

4.2.2.15 Specify the rating method(s)

Specify the rating method(s) to be employed.					
NOTE For example, any rating method specified in ISO/IEC 33020 can be chosen to cover the assessment purpose defined.					
Responsible (R, A, C, I)	SP	LA	A	LAC	P
	—	A, R	I	I	—
Task inputs	— The process quality characteristic to be assessed (e.g. process capability) — The class of assessment				
Task outputs	— Definition of rating method documented in the preliminary assessment plan				

4.2.2.16 Specify the aggregation method(s)

Specify the aggregation method(s) to be employed.					
NOTE For example, any aggregation method specified in ISO/IEC 33020 can be chosen to cover the assessment purpose defined.					
Responsible (R, A, C, I)	SP	LA	A	LAC	P
	—	A, R	I	I	—
Task inputs	— The process quality characteristic to be assessed (e.g. process capability) — The class of assessment				
Task outputs	— Definition of aggregation method documented in the preliminary assessment plan				

4.2.2.17 Specify constraints on the conduct of the assessment

Specify constraints on the conduct of the assessment. The assessment constraints may include					
— availability of key resources, — the maximum duration of the assessment, — specific processes or organizational units to be excluded from the assessment, — the ownership of the assessment outputs and any restrictions on their use, — controls for handling confidential information and non-disclosure, and — identity and roles of assesseees, assessment team members and assessment support staff with specific responsibilities for the assessment.					
Responsible (R, A, C, I)	SP	LA	A	LAC	P
	A	R	I	C	—
Task inputs	— Information about the assessor team from the assessing organization and the organization assessed — Completed Pre-Assessment Questionnaire(s) — Scope of the assessment				
Task outputs	— Assessment constraints documented in the preliminary assessment plan — Updated scope (if applicable)				

4.2.2.18 Map the organizational unit(s) to the Process Assessment Model

Map the organizational unit to the Process Assessment Model. Establish a correspondence between the organizational unit's processes specified in the assessment scope and the processes in the Process Assessment Model. Identify any conflicting terminology between the organizational unit(s) and the Process Assessment Model.					
Responsible (R, A, C, I)	SP	LA	A	LAC	P
	—	A, R	I	I	—
Task inputs	— Information about the organization assessed — Process Assessment Model				
Task outputs	— Mapping of organizational unit(s) processes to the Process Assessment Model				

4.2.2.19 Identify any additional information

Identify any additional information that the sponsor requests to be gathered during the assessment.					
Responsible (R, A, C, I)	SP	LA	A	LAC	P
	C, A	R	—	I	—
Task inputs	— Information obtained from sponsor				
Task outputs	— Additional information in the preliminary assessment plan				

4.2.2.20 Review all inputs

Review all inputs.					
Responsible (R, A, C, I)	SP	LA	A	LAC	P
	—	A, R	I	C	—
Task inputs	— Preliminary assessment plan — Completed Pre-Assessment Questionnaire(s)				
Task outputs	— Review record				

4.2.2.21 Obtain sponsor approval

Obtain sponsor approval of inputs.					
Responsible (R, A, C, I)	SP	LA	A	LAC	P
	A	R	—	I	—
Task inputs	— Preliminary assessment plan				
Task outputs	— Approval of the preliminary assessment plan by the sponsor				

4.3 Plan the assessment

4.3.1 Overview

4.2 Initiate the assessment 4.3 Plan the assessment 4.4 Brief the assessment participants 4.5 Collect the data 4.6 Validate the data 4.7 Determine the results 4.8 Report the assessment	
Activity	Plan the assessment
Brief description	In this phase of the assessment process, a specific plan including activities, resources, schedule and communication interfaces is developed.
Outcomes	The following outcomes shall be achieved when performing this activity: 1) An assessment plan describing all activities performed in conducting the assessment is developed and documented together with an assessment schedule; 2) Using the assessment scope, resources necessary to perform the assessment are identified and committed to be available; 3) The method of collating, reviewing, validating and documenting all of the information required for the assessment is determined; 4) Co-ordination with participants in the Organizational unit(s) is planned.
Tasks	The following tasks shall be executed to achieve the outcomes of this activity: 4.3.2.1 Determine the assessment activities 4.3.2.2 Establish the assessment team and assign team roles 4.3.2.3 Select the assessment participants 4.3.2.4 Assign responsibilities 4.3.2.5 Determine the necessary resources and schedule for the assessment 4.3.2.6 Define how the assessment data will be collected, recorded, stored, analysed and presented 4.3.2.7 Define the planned outputs of the assessment 4.3.2.8 Schedule the assessment 4.3.2.9 Verify conformance to requirements 4.3.2.10 Identify and manage risks 4.3.2.11 Co-ordinate assessment logistics with the Local Assessment Co-ordinator 4.3.2.12 Review and obtain acceptance of the plan 4.3.2.13 Confirm the sponsor's commitment

4.3.2 Tasks

4.3.2.1 Determine the assessment activities

Determine the assessment activities. The assessment activities will include all activities described in this documented assessment process but may be tailored as necessary.					
Responsible (<i>R, A, C, I</i>)	SP	LA	A	LAC	P
	—	<i>A, R</i>	<i>I</i>	<i>I</i>	—
Task inputs	— Preliminary assessment plan — Commitment of the sponsor or contract with the sponsor's organization — Commitment between the assessing organization and the Lead Assessor — Commitment between the organization to be assessed and the local assessment coordinator — Information about the business context — Information about the assessment purpose — Approved confidentiality agreement(s) — Communication plan and records — Updated scope (if applicable) — Mapping of organizational unit(s) processes to the Process Assessment Model — Review records — Approval of the preliminary assessment plan by the sponsor				
Task outputs	— Activities documented in the assessment plan				

4.3.2.2 Establish the assessment team and assign team roles

Establish the assessment team and assign team roles. Assessment team members ensure a balanced set of skills necessary to perform the assessment. The assessment team shall be established according to the specific requirements for the defined class of assessment in ISO/IEC 33002:2015, 4.6 and the type of independence of the assessment body.					
Responsible (<i>R, A, C, I</i>)	SP	LA	A	LAC	P
	—	<i>A, R</i>	<i>I</i>	<i>I</i>	—
Task inputs	— Information about the assessing organization and the organization assessed — Skill information of available personnel — Class of assessment — Defined type of independence				
Task outputs	— Assessment team member list — Updated assessment plan				

4.3.2.3 Select the assessment participants

Select the assessment participants from within the Organizational unit(s). The participants should adequately represent the processes in the assessment scope.

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	<i>I</i>	<i>A, R</i>	—	<i>C</i>	<i>I</i>
Task inputs	— Updated assessment plan — Completed Pre-Assessment Questionnaire(s)				
Task outputs	— List of assessment participants documented in the assessment plan				

4.3.2.4 Assign responsibilities

Assign responsibilities. Assign the responsibilities of all individuals participating in the assessment including the sponsor, lead assessor, assessors, local assessment co-ordinator and participants.

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	—	<i>A, R</i>	<i>C</i>	<i>C</i>	<i>I</i>
Task inputs	— Assessment team member list defined in the assessment plan — List of assessment participants documented in the assessment plan — Information about the qualification of the assessors				
Task outputs	— Responsibilities documented in the assessment plan				

4.3.2.5 Determine the necessary resources and schedule for the assessment

Determine the necessary resources and schedule for the assessment. From the scope, identify the time and resources needed to perform the assessment. Resources may include the use of equipment such as overhead projectors, etc.

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	<i>I</i>	<i>A, R</i>	<i>C</i>	<i>C</i>	<i>C</i>
Task inputs	— Preliminary assessment plan — Information about availability of resources in the organizational unit assessed				
Task outputs	— Schedule and resource list documented in the assessment plan				

4.3.2.6 Define how the assessment data will be collected, recorded, stored, analysed and presented

Define how the assessment data will be collected, recorded, stored, analysed and presented (with reference to the assessment tool — if applicable).

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	—	<i>A, R</i>	<i>C</i>	<i>I</i>	—
Task inputs	— Preliminary assessment plan — Templates and documenting guidelines of the assessing organization — Assessment tool (if applicable) — Retention/storage requirements				
Task outputs	— Documentation definitions documented in the assessment plan				

4.3.2.7 Define the planned outputs of the assessment

Define the planned outputs of the assessment. Assessment outputs desired by the sponsor in addition to those required as part of the assessment record are identified and described.					
Responsible (R, A, C, I)	SP <i>A</i>	LA <i>R</i>	A <i>C</i>	LAC <i>I</i>	P —
Task inputs	— Documentation definitions documented in the assessment plan — Information obtained from sponsor				
Task outputs	— Target assessment results documented in the assessment plan				

4.3.2.8 Schedule the assessment

Schedule the assessment. Detail the schedule and agenda of the assessment, assigning the resources (participants, assessment team members and tools) to each assessment activity and detailed data gathering stage.					
Responsible (R, A, C, I)	SP —	LA <i>A, R</i>	A —	LAC —	P —
Task inputs	— ISO/IEC 33002 — Assessment plan				
Task outputs	— Assessment schedule				

4.3.2.9 Verify conformance to requirements

Verify conformance to requirements. Detail how the assessment will meet all the requirements in the standard.					
Responsible (R, A, C, I)	SP —	LA <i>A, R</i>	A —	LAC —	P —
Task inputs	— ISO/IEC 33002				
Task outputs	— Conformity statement in the assessment plan				

4.3.2.10 Identify and manage risks

Manage risks. Potential risk factors and mitigation strategies are documented, prioritized and tracked through assessment planning. All identified risks will be monitored throughout the assessment. Potential risks may include changes to the assessment team, organizational changes, changes to the assessment purpose/scope, lack of resources for assessment, confidentiality, priority of the data, base practices and criticality of indicators and availability of key information products such as documents.					
Responsible (R, A, C, I)	SP —	LA <i>A, R</i>	A <i>C</i>	LAC <i>C</i>	P —
Task inputs	— Schedule and resource list documented in the assessment plan — Information about the assessing organization and the organization assessed				
Task outputs	— Risk and risk mitigation list				

4.3.2.11 Co-ordinate assessment logistics with the Local Assessment Co-ordinator

Co-ordinate assessment logistics with the Local Assessment Co-ordinator. Ensure the compatibility and the availability of technical equipment and confirm that identified workspace and scheduling requirements will be met.

Responsible	SP	LA	A	LAC	P
(R, A, C, I)	—	A, R	C	C	—
Task inputs	— Schedule and resource list documented in the assessment plan				
Task outputs	— Updated assessment plan				

4.3.2.12 Review and obtain acceptance of the plan

Review and obtain acceptance of the plan. The sponsor identifies who will approve the assessment plan. The plan, including the assessment schedule and logistics for site visits is reviewed and approved.

Responsible	SP	LA	A	LAC	P
(R, A, C, I)	—	R	C	A	—
Task inputs	— Assessment plan				
Task outputs	— Acceptance statement for the assessment plan by the local coordinator				

4.3.2.13 Confirm the sponsor's commitment

Confirm the sponsor's commitment to proceed with the assessment.

Responsible	SP	LA	A	LAC	P
(R, A, C, I)	A	R	—	I	—
Task inputs	— Assessment plan				
Task outputs	— Approval of the assessment plan by the sponsor				

4.4 Brief the assessment participants

4.4.1 Overview

4.2 Initiate the assessment 4.3 Plan the assessment 4.4 Brief the assessment participants 4.5 Collect the data 4.6 Validate the data 4.7 Determine the results 4.8 Report the assessment						
Activity	Brief the assessment participants					
Brief description	Before the data collection takes place, the Lead Assessor briefs all relevant parties involved in the assessment.					
Outcomes	The following outcomes shall be achieved when performing this activity: 1) Ensure that the assessment team understands the assessment input, process and output; 2) The organizational unit(s) is(are) briefed on the performance of the assessment.					
Tasks	The following tasks shall be executed to achieve the outcomes of this activity: 4.4.2.1 Brief the assessment team 4.4.2.2 Brief the organizational unit(s)					

4.4.2 Tasks

4.4.2.1 Brief the assessment team

Brief the assessment team. Ensure that the team understands the approach defined in the documented process, the assessment inputs and outputs, and is proficient in using the assessment tool.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	I	A, R	C	—	—
Task inputs	— Assessment plan — Schedule				
Task outputs	— Meeting minutes				

4.4.2.2 Brief the organizational unit(s)

Brief the organizational unit(s). Explain the assessment purpose, scope, constraints, and model. Stress the confidentiality policy and the need for openness. Stress the confidentiality policy, the need for openness and the importance of integrity in maximizing the benefits of the assessment for the organization. Emphasize the benefits of the assessment for the organization. Present the assessment schedule. Ensure that staff understands what is being undertaken and their role in the process. Answer any questions or concerns that they may have. Potential participants and anyone who will see the presentation of the final results should be present at the briefing session.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	I	A, R	C	C	C
Task inputs	— Assessment plan — Schedule				
Task outputs	— Meeting minutes				

4.5 Collect the data

4.5.1 Overview

	4.2 Initiate the assessment	4.3 Plan the assessment	4.4 Brief the assessment participants	4.5 Collect the data	4.6 Validate the data	4.7 Determine the results	4.8 Report the assessment
Activity	Collect the data						
Brief description	A key prerequisite for performing the process attribute rating is to collect data building the objective evidence to substantiate the ratings and to verify compliance with the requirements.						
Outcomes	The following outcomes shall be achieved when performing this activity: 1) Data required for evaluating the processes within the scope of the assessment is collected in a systematic manner; 2) The strategy and techniques for the selection, collection, analysis of data and justification of the ratings are explicitly identified and demonstrable; 3) The objective evidence gathered for each attribute of each process assessed must be sufficient to meet the assessment purpose and scope as also required for the selected class of the assessment; 4) Objective evidence that supports the assessors' judgement of process attribute ratings is recorded and maintained in the assessment record; 5) Information which is relevant to the assessment to support understanding of the output of the assessment is recorded.						
Tasks	The following tasks shall be executed to achieve the outcomes of this activity: 4.5.2.1 Collect evidence of process attribute indicators 4.5.2.2 Record and maintain the references to the evidence 4.5.2.3 Verify the completeness of the data						

4.5.2 Tasks

4.5.2.1 Collect evidence of process attribute indicators

Collect evidence of process attribute indicators for each process instance and process within the scope. Evidence includes observation of information products and their characteristics, testimony from the process performers, and observation of the infrastructure, participants behaviour, knowledge, etc. established for the performance of the process. The collection of evidences shall be made according to the specific requirements for the defined class of assessment in ISO/IEC 33002:2015, 4.6. Any other information relevant to the assessment shall be compiled to support the understanding of the output of the assessment.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	—	A, R	R	C	C
Task inputs	— Process assessment model				
Task outputs	— Assessment record				

4.5.2.2 Record and maintain the references to the evidence

Record and maintain the references to the evidence that supports the assessors' judgement of process attribute ratings.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	—	A, R	R	C	C
Task inputs	— Information and evidences collected by the assessment team				
Task outputs	— Assessment record				

4.5.2.3 Verify the completeness of the data

Verify the completeness of the data. Ensure that for each process assessed, sufficient evidence exists to meet the assessment purpose and scope.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	—	A, R	R	—	—
Task inputs	— Assessment record				
Task outputs	— Review record				

4.6 Validate the data

4.6.1 Overview

4.2 Initiate the assessment 4.3 Plan the assessment 4.4 Brief the assessment participants 4.5 Collect the data 4.6 Validate the data 4.7 Determine the results 4.8 Report the assessment						
Activity	Validate the data					
Brief description	Actions are taken to validate the data for coverage, correctness and accuracy using appropriate sources.					
Outcomes	The following outcomes shall be achieved when performing this activity: 1) The data is accurate and sufficiently covers the assessment scope; 2) Information is obtained from first hand, independent sources; 3) Feedback sessions are held to validate the information collected.					
Tasks	The following tasks shall be executed to achieve the outcomes of this activity: 4.6.2.1 Assemble and consolidate the data 4.6.2.2 Validate the data					

4.6.2 Tasks

4.6.2.1 Assemble and consolidate the data

Assemble and consolidate the data. For each process, relate the evidence to defined process indicators.

NOTE Some data validation may occur as the data is being collected.

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	—	A, R	R	—	—
Task inputs	— Assessment plan — Assessment record				
Task outputs	— Preliminary assessment result				

4.6.2.2 Validate the data

Validate the data. Ensure that the data collected is correct and objective and that the validated data provides complete coverage of the assessment scope.

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	—	A, R	C	—	—
Task inputs	— Assessment plan — Assessment record				
Task outputs	— Preliminary assessment result				

4.7 Determine the results

4.7.1 Overview

	4.2 Initiate the assessment 4.3 Plan the assessment 4.4 Brief the assessment participants 4.5 Collect the data 4.6 Validate the data 4.7 Determine the results 4.8 Report the assessment
Activity	Determine the results
Brief description	Each process is rated on the basis of its process attributes.
Outcomes	The following outcomes shall be achieved when performing this activity: 1) For each process assessed, a rating and aggregation, where applicable, is assigned for each process attribute up to and including the highest capability process quality level defined in the assessment scope; 2) The rating results are based on data validated in the previous activity; 3) Traceability is maintained between the objective evidence collected and the process attribute ratings assigned; 4) For each process attribute rated, the relationship between the indicators and the objective evidence is recorded.
Tasks	The following tasks shall be executed to achieve the outcomes of this activity: 4.7.2.1 Establish and document the decision-making process used 4.7.2.2 For each process assessed, assign a rating to each process attribute 4.7.2.3 Record the set of process attribute ratings and calculate the quality level rating

4.7.2 Tasks

4.7.2.1 Establish and document the decision-making process used

Establish and document the decision-making process used to reach agreement on the ratings (e.g. consensus of the assessment team or majority vote).					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	—	A, R	R	—	—
Task inputs	— Requirements for decision making process from the assessing organization				
Task outputs	— Decision making process documented in the preliminary assessment result				

4.7.2.2 For each process assessed, assign a rating to each process attribute

For each process assessed, assign a rating to each process instance attribute indicator. Use the defined set of assessment indicators in the Process Assessment Model to support the assessors' judgement. The rating of process attributes shall be made according to the specific requirements for the defined class of assessment, rating method and aggregation method in the assessment plan.

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	—	A, R	R	—	—
Task inputs	— Process Assessment Model — Assessment plan				
Task outputs	— Process attribute rating and aggregations documented in the preliminary assessment result				

4.7.2.3 Record the set of process attribute ratings and calculate the quality level rating

Record the set of process attribute ratings as the process profile **and calculate the quality level rating** for each process using the process quality level rating criteria. The quality level rating shall be made according to the specific requirements in the assessment plan.

Responsible (R, A, C, I)	SP	LA	A	LAC	P
	—	A, R	R	—	—
Task inputs	— Process assessment model — Assessment plan				
Task outputs	— Quality level rating in the preliminary assessment result — Process profile				

4.8 Report the Assessment

4.8.1 Overview

4.2 Initiate the assessment 4.3 Plan the assessment 4.4 Brief the assessment participants 4.5 Collect the data 4.6 Validate the data 4.7 Determine the results 4.8 Report the assessment						
Activity	Report the Assessment					
Brief description	During this phase, the results of the assessment are analysed and presented in a report.					
Outcomes	The following outcomes shall be achieved when performing this activity: 1) The results of the assessment are analysed and presented in a report; 2) The report covers any key issues raised during the assessment such as observed areas of strength and weakness and findings of high risk.					
Tasks	The following tasks shall be executed to achieve the outcomes of this activity: 4.8.2.1 Prepare the assessment report 4.8.2.2 Present the assessment results to the participants 4.8.2.3 Present the assessment results to the sponsor 4.8.2.4 Finalise the assessment report 4.8.2.5 Verify and document conformity of the assessment 4.8.2.6 Assemble the assessment record 4.8.2.7 Provide feedback from the assessment					

4.8.2 Tasks

4.8.2.1 Prepare the assessment report

Prepare the assessment report. Summarize the findings of the assessment, highlighting the process profiles, key results, observed strengths and weaknesses, identified risk factors, and potential improvement actions (if within the scope of the assessment).					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	—	A, R	R	—	—
Task inputs	— Preliminary assessment result				
Task outputs	— Preliminary assessment report				

4.8.2.2 Present the assessment results to the participants

Present the assessment results to the participants. Focus the presentation on defining the capability of the processes assessed, strength, and weaknesses.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	—	A, R	C	C	C
Task inputs	— Preliminary assessment report				
Task outputs	— Preliminary assessment presentation				
	— Meeting minutes				

4.8.2.3 Present the assessment results to the sponsor

Present the assessment results to the sponsor. The assessment results will also be shared with any parties (e.g. organizational unit management, practitioners, etc.) specified by the sponsor.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	I	A, R	C	—	—
Task inputs	— Preliminary assessment presentation				
Task outputs	— Meeting minutes				

4.8.2.4 Finalise the assessment report

Finalise the assessment report and distribute to the relevant parties.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	I	A, R	R	I	I
Task inputs	— Preliminary assessment report — Meeting minutes				
Task outputs	— Assessment report				

4.8.2.5 Verify and document conformity of the assessment

Verify and document that the assessment was performed according to requirements.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	—	A, R	—	—	—
Task inputs	— Assessment report — Assessment record — Assessment plan — ISO/IEC 33002				
Task outputs	— Conformity statement				

4.8.2.6 Assemble the assessment record

Assemble the assessment record. Provide the assessment record to the sponsor for retention and storage.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	I	A, R	C	I	—
Task inputs	— Assessment record				
Task outputs	— Confirmation of Receipt				

4.8.2.7 Provide feedback from the assessment

Provide feedback from the assessment as a means to improve the assessment process.					
Responsible	SP	LA	A	LAC	P
(R, A, C, I)	—	A, R	C	—	—
Task inputs	— Feedback from the assessment team				
Task outputs	— Feedback record — Lessons learned record				

Annex A

(informative)

Work product descriptions

Work product short name	ISO/IEC TS 33030 Work product	Description	Origin/reference
Acceptance record	Acceptance statement for the assessment plan by the local coordinator	— Record of the receipt of the delivery — Identifies the date received — Identifies the delivered components — Records the verification of any customer acceptance criteria defined — Signed by receiving customer	ISO/IEC 15504-5WP 13-01
Assessment plan	Process assessment plan	— The identity of the sponsor of the assessment and the sponsor's relationship to the organizational unit being assessed — The assessment purpose including alignment with business goals — The assessment scope including: — the processes to be investigated within the organizational unit — the highest capability level to be investigated for each process within the assessment scope — the organizational unit that deploys these processes — The context which, as a minimum, includes: — the size of the organizational unit — the demographics of the organizational unit — the application domain of the products or services of the organizational unit — the size, criticality and complexity of the products or services — the quality characteristics of the products	ISO/IEC 15504-5WP 08-03

Work product short name	ISO/IEC TS 33030 Work product	Description	Origin/reference
		— The assessment constraints which may include: — availability of key resources — the maximum amount of time to be used for the assessment — specific processes or organizational units to be excluded from the assessment — the minimum, maximum or specific sample size or coverage that is desired for the assessment — the ownership of the assessment outputs and any restrictions on their use — controls on information resulting from a confidentiality agreement — The identity of the model(s) used within the assessment — The assessment approach or methodology — The identity of the assessors, including the competent assessor with specific responsibilities for the assessment — The criteria for competence of the assessor who is responsible for the assessment — The identity of assessees and support staff with specific responsibilities for the assessment — Any additional information to be collected during the assessment to support process improvement or process capability determination	
Assessment record	Assessment record	— Identifies the date of the assessment — Identifies the assessment input — Identifies the objective evidence gathered — Identifies the assessment approach used — Identifies the set of process profiles resulting from the assessment — Identifies any additional information collected during the assessment that was identified in the assessment input to support process improvement or process capability determination	ISO/IEC 15504-5WP 13-26