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

**Part 4:
Terms and concepts**

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

Partie 4: Termes et concepts

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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 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).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO and IEC 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).

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For an explanation on 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.

The committee responsible for this document is ISO/IEC JTC 1, *Information technology*, Subcommittee SC 40, *IT Service Management and IT Governance*.

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

Introduction

ITES-BPO services encompass the delegation of one or more IT enabled business processes to a service provider who uses appropriate technology to deliver 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 finance, human resource management, administration, health care, banking and financial services, supply chain management, travel and hospitality, media, market research, analytics, telecommunication, manufacturing, etc. These services provide business solutions to customers across the globe and form part of the core service delivery chain for customers.

ISO/IEC 30105 (all parts) specifies the lifecycle process requirements involved in the ITES-BPO industry.

- It provides an overarching standard 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 ITES-BPO 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 is an improvement standard that enables risk determination and improvement for service providers performing outsourced business processes. It also serves as a process reference model 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 implemented using ISO/IEC 30105 (all parts) can lead to clear return on investment for customers and service providers.
- Alignment to ISO/IEC 30105 (all parts) can improve consistency, delivery quality and predictability in delivery of services.

[Figure 1](#) illustrates the key entities and relationships involved in an ITES-BPO service. It includes the customer, the ITES-BPO service provider and various levels of suppliers. This is as per the supply chain relationship depicted in ISO/IEC 20000-1:2011, 7.2.

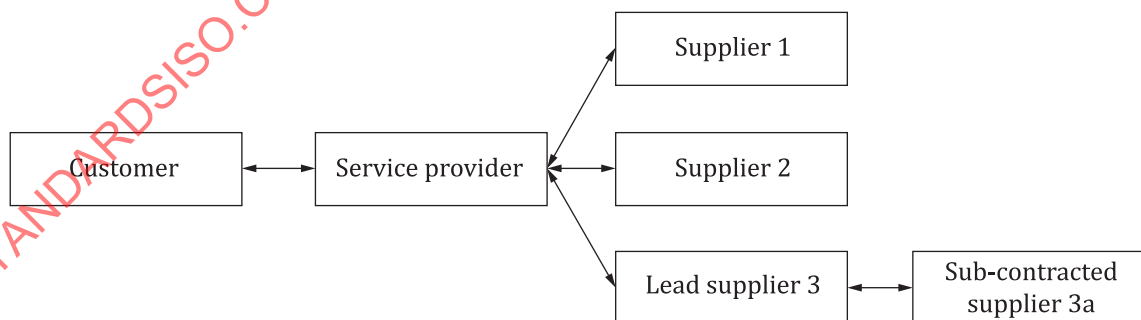


Figure 1 — ITES-BPO key entities

This document details the terms and concepts of the ISO/IEC 30105 series. It contains definitions for the terms used in ISO/IEC 30105 (all parts) and explains the concepts. It also details the lifecycle of ITES-BPO and the relationship between ISO/IEC 30105 (all parts) and other relevant standards.

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

Part 4: Terms and concepts

1 Scope

ISO/IEC 30105 specifies the lifecycle process requirements performed by the IT enabled business process outsourcing service provider for the outsourced business processes. It defines the processes to plan, establish, implement, operate, monitor, review, maintain and improve its services. This document:

- covers IT enabled business processes that are outsourced;
- is not intended to cover IT services but includes similar, relevant process for completeness;
- is applicable to the service provider, not to the customer;
- is applicable to all lifecycle processes of ITES-BPO;
- defines terms and concepts used in ISO/IEC 30105.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

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

3.1 assessed capabilities

output of one or more relevant process assessments conducted in accordance with the provisions of ISO/IEC 30105

3.2 assessment indicator

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

Note 1 to entry: Examples include work products, practice or resource.

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

3.3

assessment input

information required before a process assessment can commence

[SOURCE: ISO/IEC 33001:2015, 3.2.3, modified]

3.4

assessment output

tangible results from an assessment

Note 1 to entry: See *assessment record* (3.5).

[SOURCE: ISO/IEC 33001:2015, 3.2.4, modified]

3.5

assessment record

orderly documented collection of that information which is pertinent to the assessment and contributes to the understanding and verification of the process profiles generated by the assessment

[SOURCE: ISO/IEC 33001:2015, 3.2.7, modified]

3.6

base practice

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

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

3.7

basic process set

set of processes that ensure the achievement of maturity level 1

Note 1 to entry: A basic process set will include a minimum set of processes, together with additional and optional processes determined by the organization context for the assessment.

[SOURCE: ISO/IEC 33001:2015, 3.3.4, modified]

3.8

business continuity

capability of the organization to continue delivery of products or services at acceptable pre-defined levels following disruptive incidents

[SOURCE: ISO 22301:2012, 3.3, modified]

3.9

business process

collection of related, structured activities that produce a specific service or product for a particular customer

3.10

capability dimension

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

3.11

contract management

managing contract creation and changes, with mutually agreed terms and conditions under which the contracting parties perform their obligations, contract execution and governance to maximize operational performance and minimize risk

3.12**correction**

action to eliminate a detected nonconformity

[SOURCE: ISO 9000:2015, 3.12.3, modified]

3.13**corrective action**

action to eliminate the cause of a detected non-conformity or other undesirable situation

[SOURCE: ISO 9000:2015, 3.12.2, modified]

3.14**defined process**

implemented process that is managed and tailored from the organization's set of standard processes according to the organization's tailoring guidelines

Note 1 to entry: A defined process has a maintained process description, inputs/outputs, measures, and other process improvement information, which contribute to the organization's process assets. For example, a project's defined process provides a basis for planning, performing, and improving the project's tasks and activities of the project.

[SOURCE: ISO/IEC 33001:2015, 3.1.2, modified]

3.15**extended process set**

set of processes specific to a maturity level higher than maturity level 1 that ensures the achievement of the relevant process attributes

Note 1 to entry: An extended process set will include the minimum set of processes, together with additional and optional processes determined by the organization context for the assessment.

[SOURCE: ISO/IEC 33001:2015, 3.3.5, modified]

3.16**generic practice**

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

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

3.17**generic resource**

resources such as human, financial, technical, that are used when performing a process

3.18**infrastructure**

hardware, software and working environment and controls to support business process outsourcing

3.19**innovation**

search for and the discovery, experimentation, development, implementation and adoption of new products or services

[SOURCE: ISO 37500:2014, 3.6, modified]

3.20**knowledge transfer****KT**

structured approach for imparting a pre-existing or acquired learning, to a team or a person, to help them attain required levels of knowledge or skill

3.21

maturity model

model, derived from one or more specified process assessment model(s), that identifies the process sets associated with the levels in a specified scale of organizational process maturity

[SOURCE: ISO/IEC 33001:2015, 3.3.7, modified]

3.22

objective evidence

data supporting the existence or veracity of something

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

[SOURCE: ISO 9000:2015, 3.8.3, modified]

3.23

organization

group of people and facilities with an arrangement of responsibilities, authorities and relationships

[SOURCE: ISO 9000:2015, 3.2.1, modified]

3.24

organizational process maturity

extent to which an organizational unit consistently implements processes within a defined scope that contributes to the achievement of its business needs (current or projected)

Note 1 to entry: The defined scope is that of the specified maturity model.

[SOURCE: ISO/IEC 33001:2015, 3.4.2, modified]

3.25

organizational unit

identified part of an organization that deploys one or more processes that operate within a coherent set of business goals, and which forms the basis for the scope of an assessment

Note 1 to entry: An organization's unit is typically part of a larger organization, although in a small organization, the organization's unit may be the whole organization.

3.26

outsourcing

business model for the delivery of a product or services to an organization by a third party provider

Note 1 to entry: Outsourcing is an alternative to the provision of those products or services within the customer organization, where

- the outsourcing process is based on a sourcing decision (make or buy),
- resources can be transferred to the provider,
- the provider is responsible for the product or service for an agreed period of time, and
- the accountability for delivery outcomes is owned by the customer and the provider is responsible for performing the services.

[SOURCE: ISO 37500:2014, 3.10, modified]

3.27

pilot project

project designed to test a preliminary version of an information processing system under actual but limited operating conditions and which will then be used to test the definitive version of the system

[SOURCE: ISO/IEC 2382:2015, 2122669, modified]

3.28

preventive action

action taken to address the cause of potential non-compliance

[SOURCE: ISO 9000:2015, 3.12.1, modified]

3.29

process

set of interrelated or interacting activities which transforms inputs into outputs

[SOURCE: ISO 9000:2015, 3.4.1, modified]

3.30

process assessment

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

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

3.31

process assessment model

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

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

3.32

process attribute

measurable property of a process quality characteristic

[SOURCE: ISO/IEC 33001:2015, 3.4.3]

3.33

process capability

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

[SOURCE: ISO/IEC 33020:2015, 3.1]

3.34

process risk determination

systematic assessment and analysis of selected processes within an organization against a target process profile

Note 1 to entry: Analysis can be carried out with the aim of identifying the strengths, weaknesses and risks associated with use of the processes in meeting a particular specified requirement.

3.35

process capability level

characterisation of a process on an ordinal measurement scale of process capability

[SOURCE: ISO/IEC 33020:2015, 3.2]

3.36

process dimension

set of process elements in a process assessment model explicitly related to the processes defined in the relevant process reference model(s)

Note 1 to entry: The elements of the process dimension include processes, process purpose statements, process outcomes, and process performance indicators.

[SOURCE: ISO/IEC 33001:2015, 3.3.10, modified]

3.37

process improvement

actions taken to improve the quality of the organization's processes aligned with the business needs and the needs of other concerned parties

[SOURCE: ISO/IEC 33001:2015, 3.1.7]

3.38

process outcome

observable result of the successful achievement of the process purpose

Note 1 to entry: An outcome is an artefact, a significant change of state or the meeting of specified constraints. An outcome statement describes one of the following: production of an artefact; a significant change in state; meeting of specified constraints, e.g. requirements, goals.

[SOURCE: ISO/IEC 33001:2015, 3.3.11, modified]

3.39

process performance

extent to which the execution of a process achieves its purpose

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

3.40

process reference model

model comprising definitions of processes in a domain of application, described in terms of process purpose and outcomes, together with an architecture describing the relationships between the processes

[SOURCE: ISO/IEC 33001:2015, 3.3.16, modified]

3.41

quality management system

the organization framework whose structure provides the policies, processes, procedures, and resources required to implement the quality management plan

Note 1 to entry: The typical project quality management plan should be compatible to the organization's quality management system.

[SOURCE: ISO 9000:2015, 3.5.4, modified]

3.42

root cause analysis

analytical technique used to determine the basic underlying reason that causes a variance or a defect or a risk

Note 1 to entry: A root cause can underlie more than one variance or defect or risk.

[SOURCE: ISO/IEC/IEEE 24765:2010, 3.2610, modified]

3.43

supplier

organization or part of an organization that is external to the service provider's organization and enters into a contract with the service provider to contribute to the design, transition, delivery and improvement of a service or services or processes

Note 1 to entry: Suppliers include designated lead suppliers but not their sub-contracted suppliers.

[SOURCE: ISO/IEC TR 20000-10:2015, 2.35]

3.44

tailoring guideline

tailoring standard

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 end. 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.

3.45

transition

transition in

activities for migrating agreed upon knowledge, assets, liabilities, systems, processes and people from the customer to the provider or back in-house, in order to create desired delivery capability

[SOURCE: ISO 37500:2014, 3.24, modified]

3.46

transition out

activities for migrating agreed upon knowledge, assets, liabilities, systems, processes and people from one service provider to another, or back in-house, enabling the customer to change service provider or service solution

3.47

work environment

combination of conditions under which work is performed, including physical, environmental and other factors (such as noise, temperature, humidity, lighting or weather) excluding technology

Note 1 to entry: The work environment supports organization, customer, regulatory, human resource and business process requirements.

4 Concepts

4.1 General

ISO/IEC 30105 (all parts) establishes a framework for performing process assessment for an ITES-BPO service. This framework can be extended and adapted to address the assessment of other process quality characteristics. The principal focus of ISO/IEC 30105 (all parts) is on assessment of the process quality characteristic of process capability.

ISO/IEC 30105 (all parts) provides a structured approach for the assessment of processes for the following purposes:

- to understand the state of its own processes for process improvement;
- to determine the suitability of its own processes for a particular requirement or set of requirements;
- to determine the suitability of another organization's processes for a particular contract or set of contracts.

The framework for process assessment:

- facilitates self-assessment;
- provides a basis for use in process improvement and risk determination;

- takes into account the context in which the assessed process is implemented;
- enables production of a process profile;
- addresses the ability of the process to achieve its purpose;
- is appropriate across all business process domains and sizes of organization;
- provides an objective benchmark among organizations.

4.2 ITES-BPO lifecycle process categories

Figure 2 lists the processes from ISO/IEC 30105-1 that are included in the process dimension of the process assessment model for ITES-BPO. It includes all aspects of an ITES-BPO outsourced service, from developing an ITES-BPO solution through service delivery to transitioning out. It includes the leadership, relationship management and enabling processes which support the outsourced business across its lifecycle.

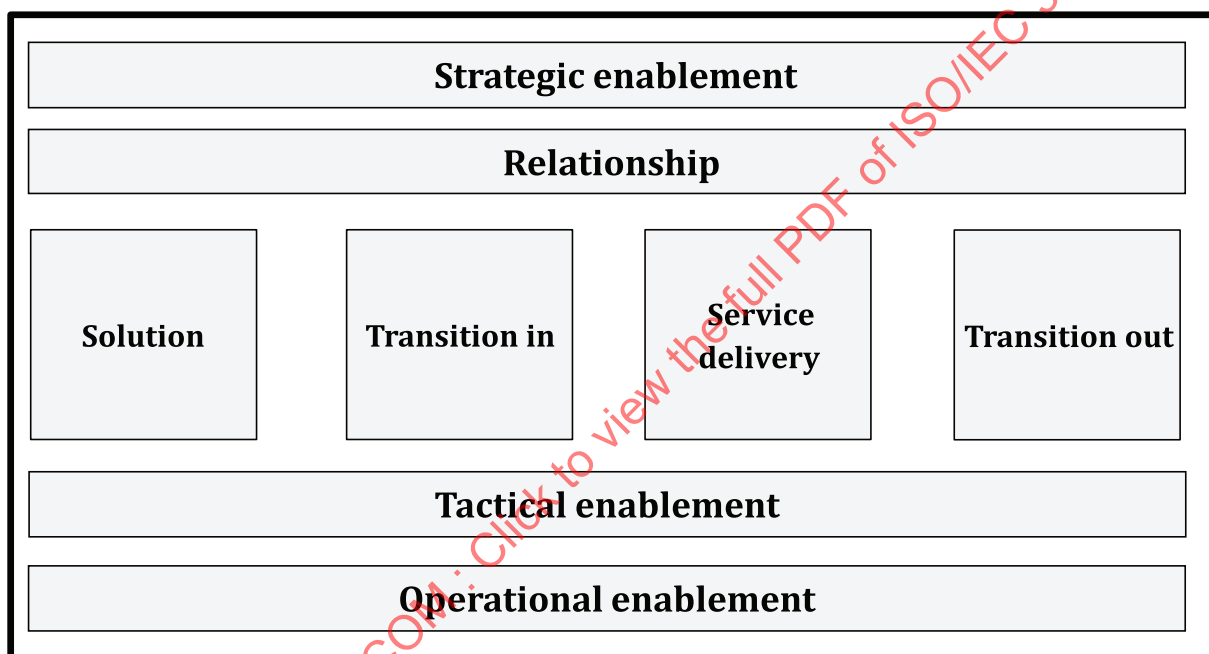


Figure 2 — ITES-BPO lifecycle process categories

The ITES-BPO process categories are as follows:

- **Strategic enablement processes:** include strategic direction and review of the business performance against plan for the service provider organization and innovation process to bring in breakthrough changes;
- **Relationship processes:** cover the relationship of the service provider with the customer and the suppliers;
- **Solution processes:** include details on how the ITES-BPO solution is envisaged and the contract developed and managed;
- **Transition in processes:** cover the movement of business process delivery from the customer to the service provider, establishing the required management, people and infrastructure capability, and concluding with piloting the transitioned service;
- **Service delivery processes:** include all the processes that are required for the day-to-day management and delivery of ITES-BPO services;

- **Transition out process:** covers the movement of the business process delivery back to the customer or to a different service provider;
- **Tactical enablement processes:** involve a set of processes that enables achievement of the objective of the core service delivery processes. These are tactical in nature;
- **Operational enablement processes:** involve a set of processes that ensures day-to-day operations of service delivery are supported and are performed alongside the service delivery processes.

[Table 1](#) lists the ITES-BPO lifecycle process categories and their description. Each element is further subdivided into sub-elements identifying their key responsibilities.

Table 1 — ITES-BPO lifecycle process categories

Process categories	Process	Description
Strategic enablement	Leading the organization towards achievement of business objectives by providing resources, direction and achieving customer satisfaction.	
	Strategic planning and direction setting	Determines the strategic objectives based on analysis of external environment and internal capability. Develops business plans and reviews performance against these plans.
	Innovation management	Drives delivery of major change to deliver significant benefits to stakeholders.
Relationship	Establishing processes for managing customers and suppliers to ensure objectives are aligned and manage the relationships.	
	Customer relations management	Establishes and implements management of customer relationships.
	Supplier management	Establishes and implements management of suppliers to meet identified requirements.
Solution	Developing feasible solutions and proposals to transfer knowledge, mobilize people and create the infrastructure. It plans for transition, service delivery risk management, information security, and business continuity. A suitable solution would lead to the sign-off of the contract.	
	Solution development	Identifies any supplier requirements. Identifies constraints. Designs the complete solution, develops the key deliverables and achieves sign-off by the customer.
	Contract lifecycle management	Develops, agrees and manages the contract in consultation with customer. Undertakes due diligence: — assessment of customer's baseline performance; — assessment of customer's legal, business, statutory and regulatory requirements, translating them into deliverables from the service provider. Understands the contract financials, obligations, and limitations. Ensures adherence to contractual requirements.
Transition in	Migrating a business process from customer delivery to service provider delivery via seamless transfer of knowledge and effective project management, ensuring that service levels are achieved, in line with contracted service requirements.	

Table 1 (continued)

Process categories	Process	Description
	People mobilization	Identifies the resources required with the relevant skill sets for employee recruitment to enable service delivery. Creates training plans, milestones and review mechanisms. Plans and implements required training for pilot team. Aligns the stakeholders within the customer organization and obtains formal agreement for the people mobilization.
	Infrastructure setup — technology	Evaluates and finalizes detailed technology requirements and fulfilment plan, including: — design to meet technology requirements — design of the technology setup Implements technology with formal agreement obtained from all internal and external stakeholders.
	Infrastructure setup — non-technology	Includes the physical infrastructure, such as employee facilities, premises, security, housekeeping and transport. Management, maintenance and monitoring of non-technology infrastructure within the agreed requirements with the customer or set internally. Implements non-technology infrastructure with formal agreement obtained from all internal and external stakeholders.
	Knowledge transfer	Maps and attains knowledge of the customer process. Creates training material which details the customer process; training plan key contacts, process checkpoints.
	Service delivery planning	Creates mechanisms for operational service measurement, management and governance. Identifies potential risks in the process and prepares mitigating plans.
	Pilot implementation	Creates the project plan in the pilot stage with customer agreement. Defines success criteria to support sign-off of pilot completion. Executes the pilot plan. Validates service level agreements and baseline process service levels. Assesses service delivery readiness to implement. Achieves sign-off of pilot based on agreed success criteria and formal agreement to proceed into service delivery.
Service delivery	Executing customer's business processes on a day-to-day basis as an extension of the customer's business, in line with the defined processes to meet the agreed quality level.	
	Service delivery execution	Undertakes service delivery in accordance with the service delivery plan to meet customer requirements.
	Service delivery reporting	Reports the status of performance and deliverables at a defined frequency.
	Service level management	Monitors and manages delivery to service level targets as agreed with the customer.
	Business process management	Manages and optimizes the business process in an effective way through appropriate controls.

Table 1 (continued)

Process categories	Process	Description
Transition out	Migrating a process from service provider delivery to that of the customer or an alternative service provider.	
	Transition out	Establishes and implements plans for the transfer of the service to the customer/service provider to meet defined requirements and contractual commitments. This may include: — assets; — resource; — knowledge.
Tactical enablement	Managing service delivery through a set of key processes that underpin seamless and effective delivery.	
	Management review	Performs a comprehensive review of its management system periodically and takes actions to address deficiencies and gaps identified in this review.
	Financial management	Ensures effective management of finances and funding.
	Change management	Ensures all changes are recorded, assessed, authorized and controlled.
	Knowledge management	Establishes and implements knowledge sharing among stakeholders. Identifies, controls and provides the required knowledge to enable resources to perform their work and deliver improvements. Establishes and maintains a set of “knowledge assets” for use across the organization.
	Risk management	Identifies, monitors and manages risks. Evaluates and mitigates risks to understand and minimize impact to service delivery.
	Business continuity management	Identifies requirements and monitors and manages business continuity. Provides assurance to customers with an appropriate business continuity plan to ensure continuity of business services to agreed service levels during and after service disruptions.
	Audit management	Monitors delivery conformance through an audit process, initiating the necessary actions for identified non-conformances.
	Continual improvement	Identifies continual improvements opportunities. Initiates improvements to continually improve the processes.
Operational enablement	Transaction quality management	Monitors transaction quality on the basis of agreed verification strategy. Provides feedback to employees on the quality of service and initiates any appropriate corrective/preventive action.
	Information security management	Protects the confidentiality, integrity and availability of the data and information.
	Compliance management	Monitors and manages adherence to legislative, regulatory and statutory requirements.

Table 1 (continued)

Process categories	Process	Description
	Human resource management	Monitors and manages recruitment and attrition. Defines and manages non-standard working arrangements. Defines performance management, reward and recognition, professional development and employee satisfaction mechanisms.
	Infrastructure and technology management	Ensures the infrastructure and technology are monitored, supported and managed to meet business and service delivery requirements. Establishes and maintains measurement of infrastructure and technology performance, capacity and availability, aligned to business needs.
	Work environment management	Establishes and maintains a work environment that enables employees to work efficiently and effectively.
	Issue management	Identifies and tracks issues to closure. Initiates necessary corrective/preventive action based on analysis of the root cause.

4.3 The assessment framework

4.3.1 ISO/IEC 30105-1 — Process reference model

The process reference model (PRM) defines the ITES-BPO process model which aligns process outcomes to the business benefits derived by the customer and the service provider.

[Figure 3](#) shows the broad process categories and processes in the ITES-BPO lifecycle. Each process is further described in terms of process purpose and outcomes, together with an architecture describing relationships between the processes.

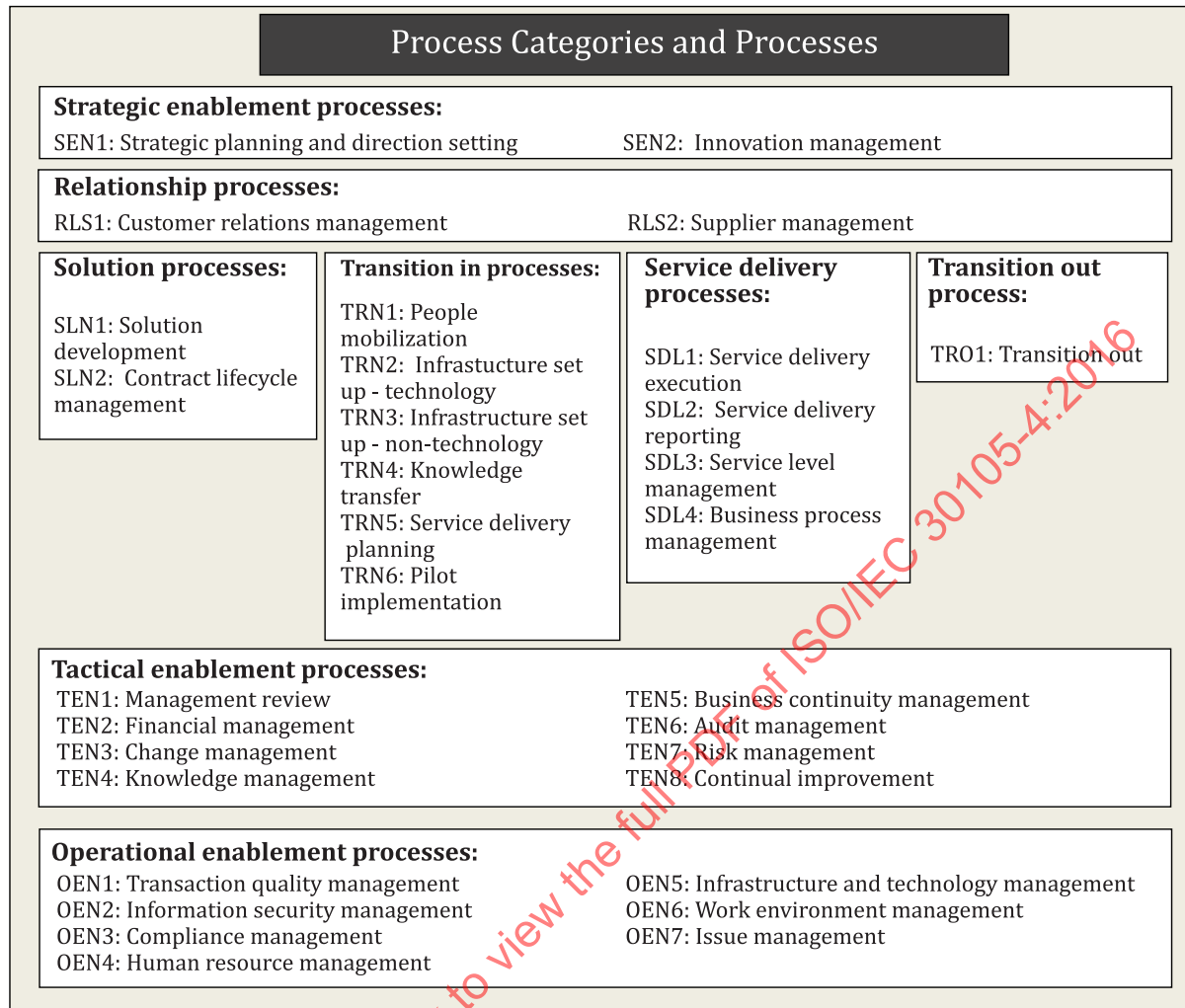


Figure 3 — ITES-BPO lifecycle process categories and processes

Each process in the PRM has the following descriptive elements.

- Name:** the name of a process is a short noun phrase that summarizes the scope of the process, identifying the principal concern of the process, and distinguishes it from other processes within the scope of the process reference model.
- Context:** for each process, a brief overview describes the intended context of the application of the process.
- Purpose:** the purpose of the process is a high level and overall goal for performing the process.
- Outcomes:** an outcome is an observable result of the successful achievement of the process purpose. Outcomes are measurable, tangible technical or business results that are achieved by a process. They are observable and assessable.

A typical process in a process reference model appears as below.

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

4.3.2 ISO/IEC 30105-2 — Process assessment model

4.3.2.1 Process assessment model overview

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

The process reference model defined in ISO/IEC 30105-1, associated with the process attributes defined in ISO/IEC 30105-3, establishes a process assessment model that provides a common basis for performing assessments on ITES-BPO lifecycle processes, enabling the results to be reported using a common rating scale.

Figure 4 shows the interrelationship of the process reference model with the process assessment model, and establishes the link with the measurement framework that enables process capability assessment and organization maturity determination.

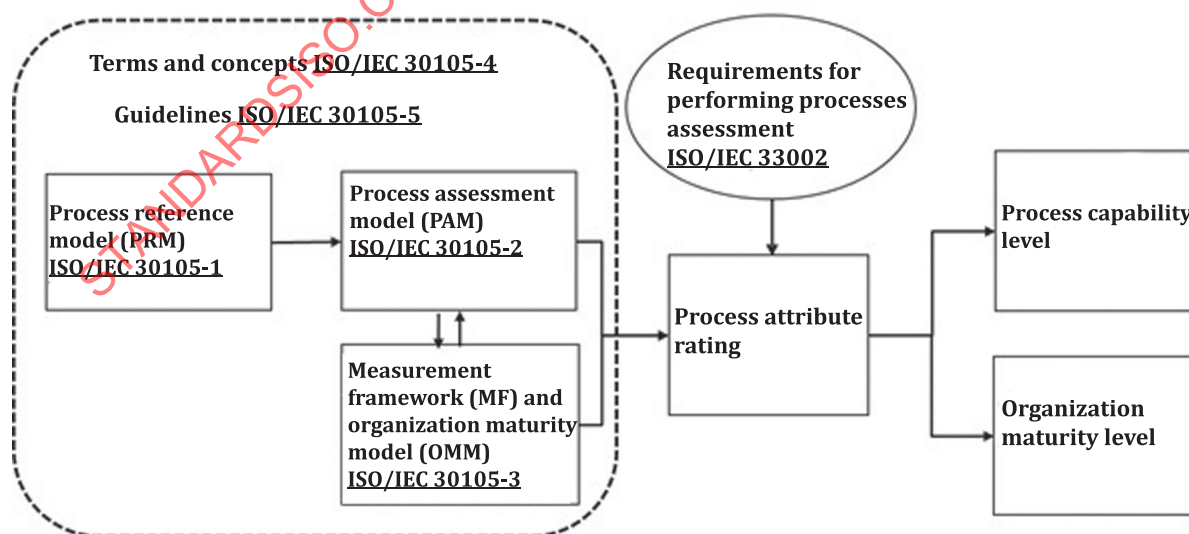


Figure 4 — Interrelationship across the parts of ISO/IEC 30105

The process assessment model defines a two-dimensional model of process capability.

- **Process dimension:** processes are defined and classified into process categories.
- **Capability dimension:** a set of process attributes grouped into capability levels is defined.

The process attributes provide the measurable characteristics of process capability.

Figure 5 explains the relationship between a process reference model, a process assessment model and the organization maturity model.

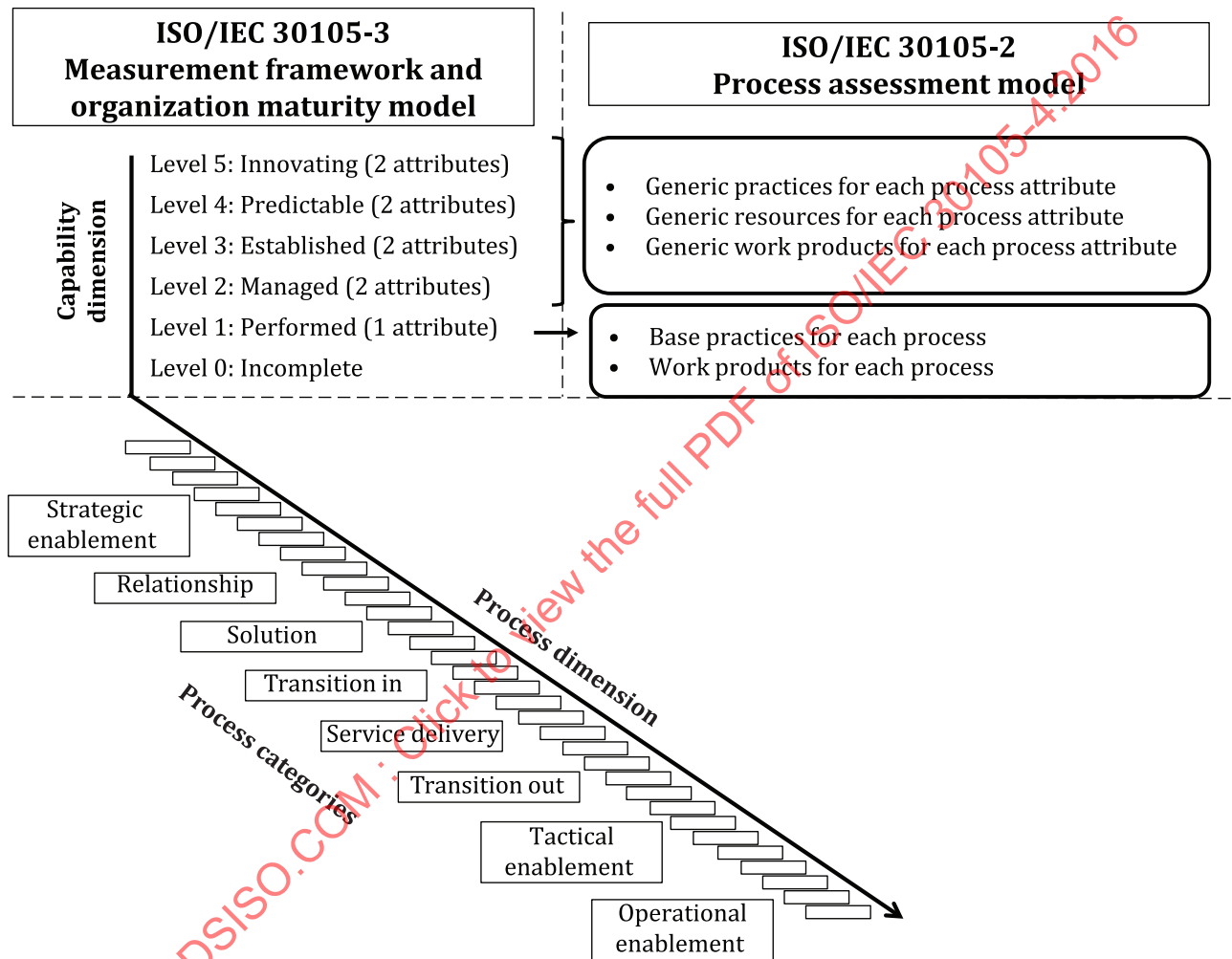


Figure 5 — Relationship between PRM, PAM, MF, and OMM

The ITES-BPO process reference model and the capability dimension defined in ISO/IEC 30105 (all parts) cannot be used alone as the basis for conducting reliable and consistent assessments of process capability since the level of detail available is not sufficient. The descriptions of process purpose and outcomes in the process reference model and the process attribute definitions in ISO/IEC 30105 (all parts) need to be supported by a comprehensive set of process performance and process capability indicators to undertake performance assessment.

4.3.2.2 Process dimension

All processes in Figure 3 are included within the process dimension of the process assessment model.

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.

4.3.2.3 Capability dimension

Process capability levels are defined in ISO/IEC 30105-3 and detailed definitions of the process capability levels and process attributes are set out in ISO/IEC 30105-2 together with the relevant process capability indicators.

Evolving process capability is expressed in the process assessment model in terms of process attributes grouped into capability levels. Process attributes are *process features which* can be evaluated on a scale of achievement to *provide a process capability measure*. They are applicable to all processes. Each process attribute describes a *feature* of the overall capability of managing and improving process *effectiveness* in achieving its *process purpose* and contributing to the *organization's business goals*.

A capability level is a set of process attribute(s) that together *describe an ability to operate and perform* a process *at a given capability level*. The levels constitute a rational *path for improving capability for any process* and are defined in ISO/IEC 30105-3.

4.3.2.4 Assessment indicators

4.3.2.4.1 Assessment indicators overview

The process assessment model is based on the principle that the capability of a process can be assessed by demonstrating the achievement of process attributes on the basis of evidence related to assessment indicators. There are two types of assessment indicators: process capability indicators (PCI), which apply to capability levels 1 to 5, and process performance indicators (PPI), which apply exclusively to capability level 1. The process performance and process capability indicators defined in the process assessment model represent types of objective evidence that might be found in an implementation of a process and therefore can be used to judge achievement of capability.

[Figure 6](#) shows how the assessment indicators are related to process performance and process capability.

4.3.2.4.2 Process capability indicators

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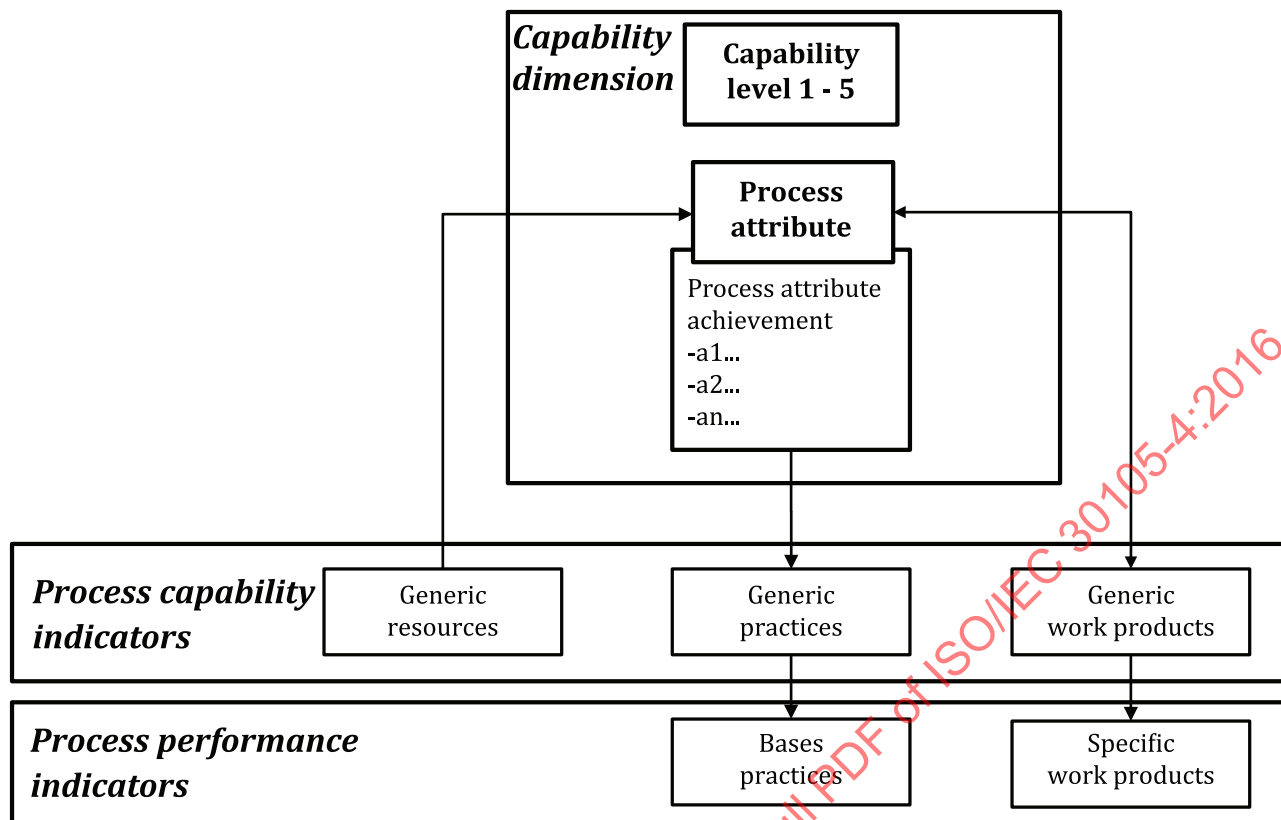


Figure 7 — Process assessment indicators

All the process capability indicators relate to the process attributes defined in the capability dimension of the process assessment model. They represent the type of evidence that would support judgements of the extent to which the attributes are achieved. Evidence of their effective performance or existence supports the judgement of the degree of achievement of the attribute. The generic practices are the principal indicators of process capability.

The generic practice (GP) indicators are activities of a generic type and provide guidance on the implementation of the attribute's characteristics. They support the achievement of the process attribute 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.

During the evaluation of process capability, the primary focus is on the performance of the generic practices. In general, performance of all generic practices is expected for full achievement of the process attribute.

The generic work product (GWP) indicators are sets of characteristics that are expected to be evident in work products of generic types as a result of achievement of a process attribute. The generic work products form the basis for the classification of the work products defined as process performance indicators. They represent basic types of work products from all types of process.

These three types of indicators help to establish objective evidence of the extent of achievement of the specified process attribute.

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 generic practice indicator (GP.1.1.1). In order to support the assessment of PA.1.1 and to amplify the process performance achievement analysis, additional process performance indicators are defined in the process assessment model.

4.3.2.4.3 Process performance indicators

There are two types of process performance indicators: base practice (BP) and work products (WP) indicators. Process performance indicators relate to individual processes defined in the process dimension of the process assessment model and are chosen to explicitly address the achievement of the defined process outcomes.

Evidence of performance of the base practices and the presence of work products with their expected characteristics provide objective evidence of the achievement of the process outcomes.

A base practice is an activity that addresses the purpose of a particular process. Consistently performing the base practices associated with a process *helps* to consistently achieve the process purpose. A coherent set of base practices is associated with each process in the process dimension. The base practices are described at an abstract level, identifying “what” should be done without specifying “how”. Implementing the base practices of a process should achieve the basic outcomes that reflect the process purpose. Base practices 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 work products that are identifiable and usable in achieving the purpose of the process. In this ITES-BPO assessment model, each work product has a defined set of example characteristics that can be used when reviewing the work product to assess the effective performance of a process. Work product characteristics can also be used to identify the corresponding work product that is used or produced by the organization being assessed.

4.3.3 ISO/IEC 30105-3 — Measurement framework and organization maturity model

4.3.3.1 Measurement framework

Within a measurement framework, the measure of capability is based upon a set of process attributes. Each process attribute defines a measurable property of process capability. The extent to which process attributes are achieved is characterized on a defined rating scale. The process capability level for an assessed process is derived from the set of process attribute ratings represented in the process profile. Although process attributes are defined in such a way that they can be rated independently of one another, this does not imply that there are no relationships between them, e.g. the achievement of one process attribute can be associated with the achievement of another process attribute within the measurement framework.

Process capability is defined on a six-point ordinal scale that enables capability to be assessed from Incomplete through to Innovating. The scale represents an increasing capability of the implemented process, from failing to achieve the process purpose through to continually improving and being able to respond to organizational change.

The process performance and process capability indicators in this model give examples of evidence that an assessor might obtain or observe in the performance of an assessment. The evidence obtained in the assessment, through observation of the implemented process, can be mapped onto the set of indicators to enable correlation between the implemented process and the processes defined in this assessment model.

These indicators provide guidance for assessors in accumulating the necessary objective evidence to support judgements of capability. They are not mandatory.

An indicator is defined as sources of objective evidence used to support the assessor’s judgement in rating process attributes.

Observable evidence collected during an assessment is used to confirm the indicators (e.g. practices are performed). All such evidence comes either from the examination of work products of the processes assessed or from statements made by the performers and managers of the processes.