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

Part 2: Process assessment model (PAM)

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

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

Reference number
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Foreword

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

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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 WTO principles in the Technical Barriers to Trade (TBT) see the following URL: Foreword - Supplementary information

The committee responsible for this document is ISO/IEC JTC 1, *Information technology*, 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 an appropriate technology to deliver a 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, telecommunications, manufacturing, etc. These services provide business solutions to customers across the globe and form the part of the core service delivery chain for customers.

ISO/IEC 30105 (all parts) specifies the lifecycle processes 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 a 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 in line with the supply chain relationship depicted in ISO/IEC 20000-1:2011, 7.2.

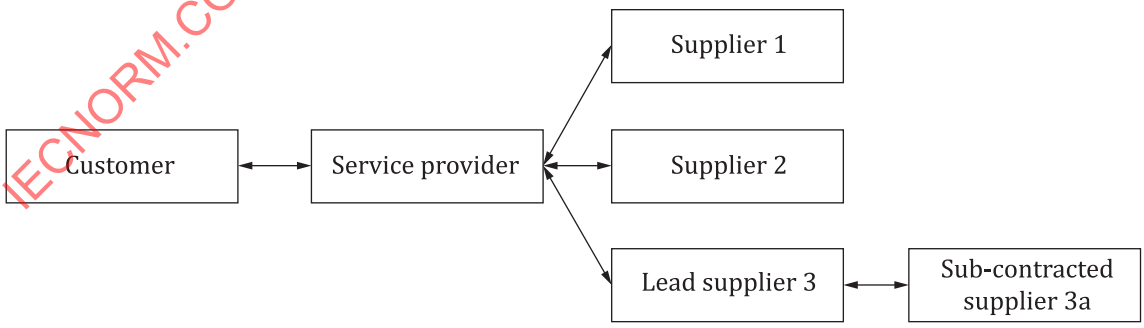

Figure 1 — ITES-BPO key entities

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

This document defines a process assessment model that is an improvement standard that enables risk determination and improvement for ITES-BPO service providers. ISO/IEC 20000-1 is a service management system standard which defines the criteria for a conformity assessment. Whilst there is potential for overlaps between this document and ISO/IEC 20000-1, in fact, they complement each other. Annex C describes the potential overlaps and differences, and their complementary nature.

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

Part 2: Process assessment model (PAM)

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;

— serves as a process assessment model for organizations providing ITES-BPO services that:

  — conforms to the requirements of ISO/IEC 33004;

  — supports the performance assessment by providing indicators for the interpretation of the process purposes and outcomes, as defined in ISO/IEC 24774, and the process attributes, as defined in ISO/IEC 33020.

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

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

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 33004:2015, *Information technology — Process assessment — Requirements for process reference, process assessment and maturity models*

ISO/IEC 30105-3, *Information Technology — IT enabled services-business process outsourcing (ITES-BPO) lifecycle processes — Part 3: Measurement framework (MF) and organization maturity model (OMM)*

3 Terms and definitions

For the purpose of this document, the terms and definitions given in ISO/IEC 30105-4, ISO/IEC 33001 and ISO/IEC TR 20000-10 apply.

For the purposes of this document, the following terms and definitions 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 General

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 this document, 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. A.2 in Annex A provides the requirements for process assessment models.

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.

The ITES-BPO process reference model defined in ISO/IEC 30105-1 and the capability dimension defined in ISO/IEC 33020 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 process assessment model defined in this document has been derived from the measurement framework defined in ISO/IEC 30105-3, adapted to be suitable for ITES-BPO service providers.

3.2 Structure of the ITES-BPO process assessment model

3.2.1 Relationship to process reference model

The ITES-BPO process assessment model extends the process reference model provided in ISO/IEC 30105-1 with the definition of the ITES-BPO assessment indicators and their use. Assessment indicators are indicators of process performance and process capability. They are defined to objectively support an assessor's objective judgment of the performance and capability of an implemented process. The ITES-BPO process descriptions meet the following requirements:

— a process is described in terms of its purpose and process outcomes;

— the set of process outcomes will be necessary and sufficient to achieve the purpose of the process;

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

3.2.2 Process categories and processes

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 and to transitioning out. It includes the leadership, relationship management and enabling processes which support the outsourced business across its lifecycle.

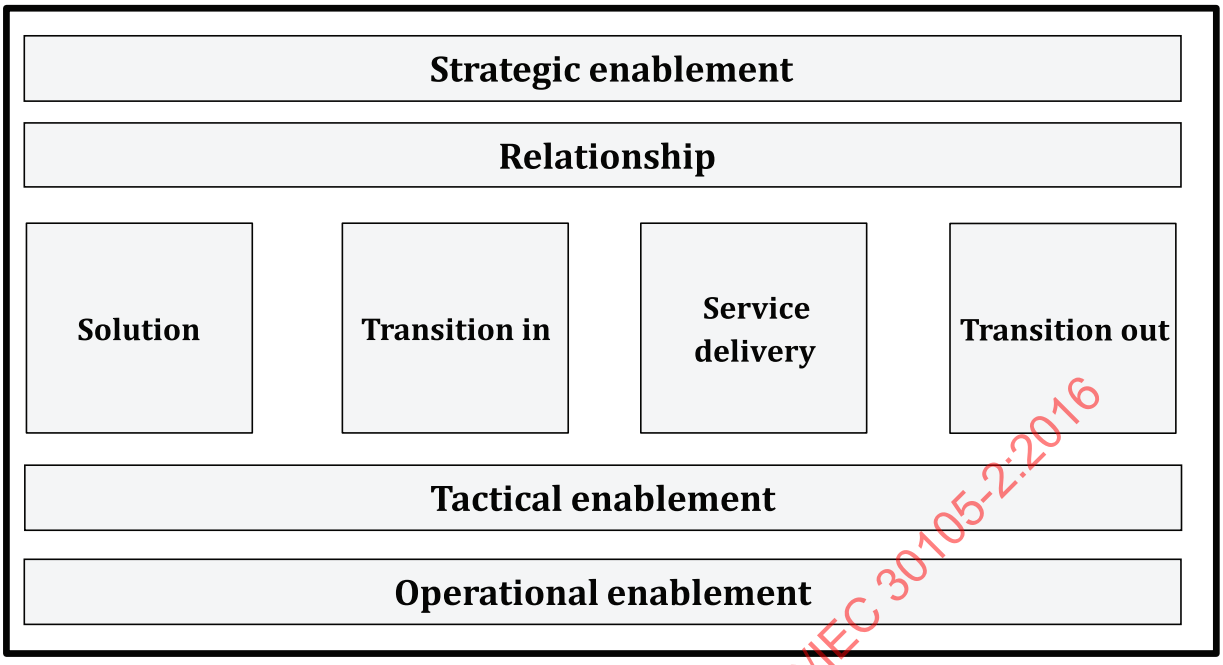

Figure 2 — ITES-BPO lifecycle process categories

The ITES-BPO process categories are:

— **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.

The process categories and processes in the ITES-BPO process reference model which underpin the process dimension of the ITES-BPO process assessment model are shown in Figure 3.

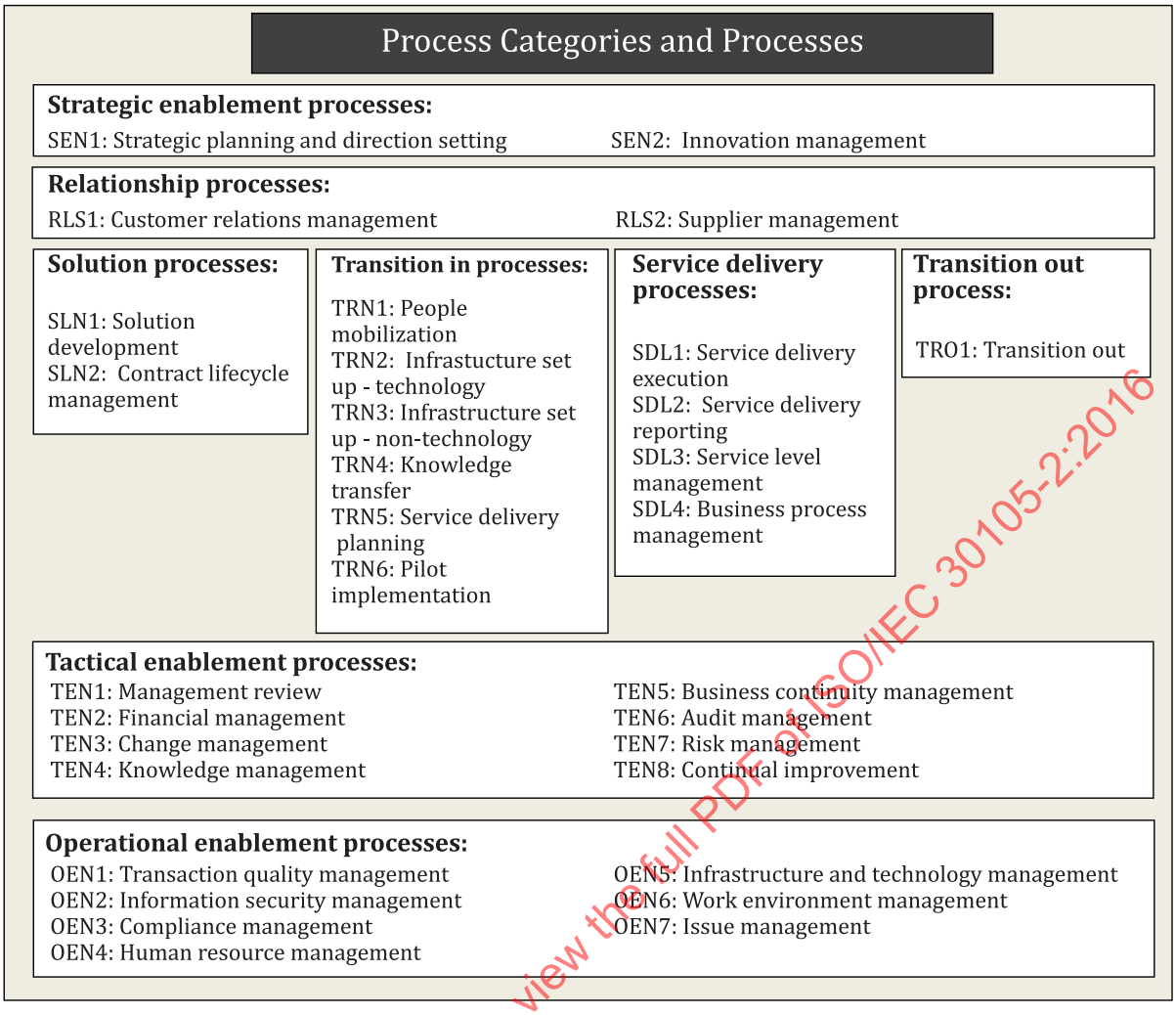

Figure 3 — ITES-BPO lifecycle process categories and processes

3.2.3 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.

3.2.4 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 Clause 6 together with the relevant process capability indicators. Process capability is expressed in the PAM by grouping process assessment indicators into capability levels.

Process attributes are process features which can be evaluated on a scale of achievement to provide a process capability measure. Each process attribute describes a feature of the overall capability in 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 assessment indicators that together describe an ability to operate and perform a process at a given capability level. The existence or not of evidence to meet these process assessment indicators helps determine the capability levels. The levels constitute a rational path for improving capability for any process and are defined in ISO/IEC 30105-3.

There are six capability levels incorporating nine process attributes.

Level 0: Incomplete process

The process is not implemented or fails to achieve the process purpose.

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

Level 1: Performed process

The implemented process achieves its process purpose.

Level 2: Managed process

The previously described "Performed" process is implemented in a managed fashion (planned, monitored and adjusted) and its work products are appropriately established, controlled and maintained.

Level 3: Established process

The previously described "Managed" process is implemented using a defined process that is capable of achieving the process outcomes.

Level 4: Predictable process

The previously described "Established" process now operates within defined limits to achieve the process outcomes. Quantitative management needs are identified, measurement data are collected and analysed to identify causes of variation.

Level 5: Innovating process

The previously described "Predictable" process is continually improved to respond to organizational change.

Within the process assessment model, the measure of capability is based upon the nine process attributes (PA) defined in ISO/IEC 30105-3. Process attributes are used to determine whether a process has reached a given capability. Each attribute measures a particular aspect of the process capability.

At each level there is no ordering between the process attributes; each attribute addresses a specific aspect of the capability level. The list of process attributes is shown in Table 1.

Table 1 — Capability levels and process attributes

Process attribute ID	Capability levels and process attributes
	Level 0: Incomplete process
	Level 1: Performed process
PA 1.1	Process performance
	Level 2: Managed process
PA 2.1	Performance management
PA 2.2	Work product management
	Level 3: Established process
PA 3.1	Process definition
PA 3.2	Process deployment
	Level 4: Predictable process

Table 1 *(continued)*

Process attribute ID	Capability levels and process attributes
PA 4.1	Quantitative analysis
PA 4.2	Quantitative control
	Level 5: Innovating process
PA 5.1	Process innovation
PA 5.2	Process innovation implementation

The process attributes are evaluated on a six-point ordinal scale of achievement, as defined in ISO/IEC 30105-3. They provide insights into the specific aspects of process capability required to support process improvement and risk determination.

Within the process assessment model, the measure of capability is based upon the nine process attributes (PA) defined in ISO/IEC 30105-3 and listed in 6.2.

3.3 Assessment indicators

3.3.1 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 evidences 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. These indicators are defined in 4.3.2.

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

Types of process capability indicators are:

— generic practice (GP);

— generic resource (GR);

— generic work product (GWP).

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

Types of process performance indicators are:

— base practice (BP);

— work product (WP).

The performance of base practices indicates the extent of achievement of the process purpose and process outcomes. Work products are either used or produced (or both) when performing the process.

The process performance and process capability indicators defined in the ITES-BPO process assessment model represent types of objective evidence that can be found in an implementation of an ITES-BPO process. Therefore, these can be used to judge achievement of capability.

Figure 4 shows how the assessment indicators are related to process performance and process capability.

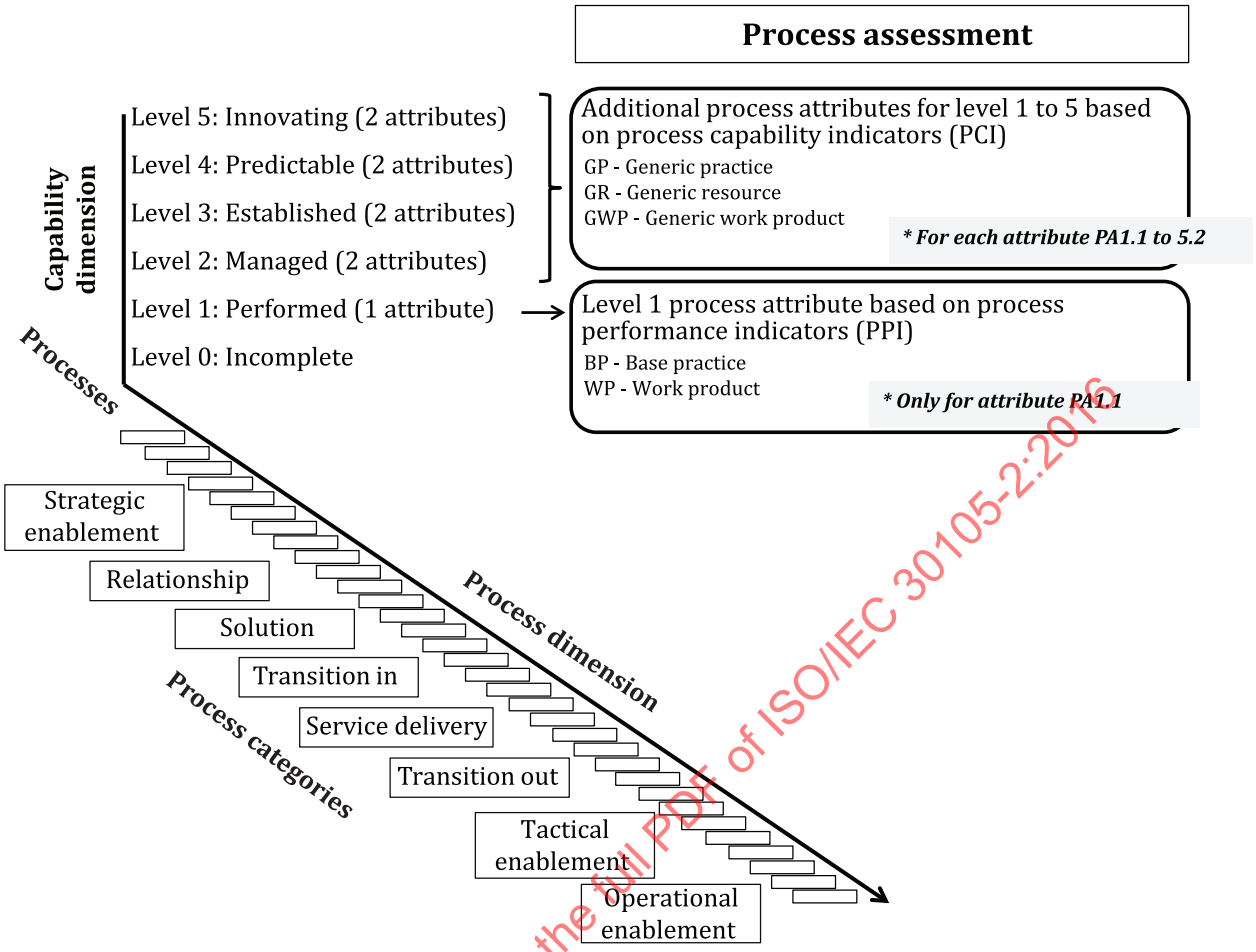

Figure 4 — Process attributes and process assessment indicators

3.3.2 Process capability indicators (PCI)

The three types of process capability indicators related to levels 1 to 5 are identified in Figure 5. They are intended to be applicable to all processes and are defined for ITES-BPO lifecycle processes in Clause 6.

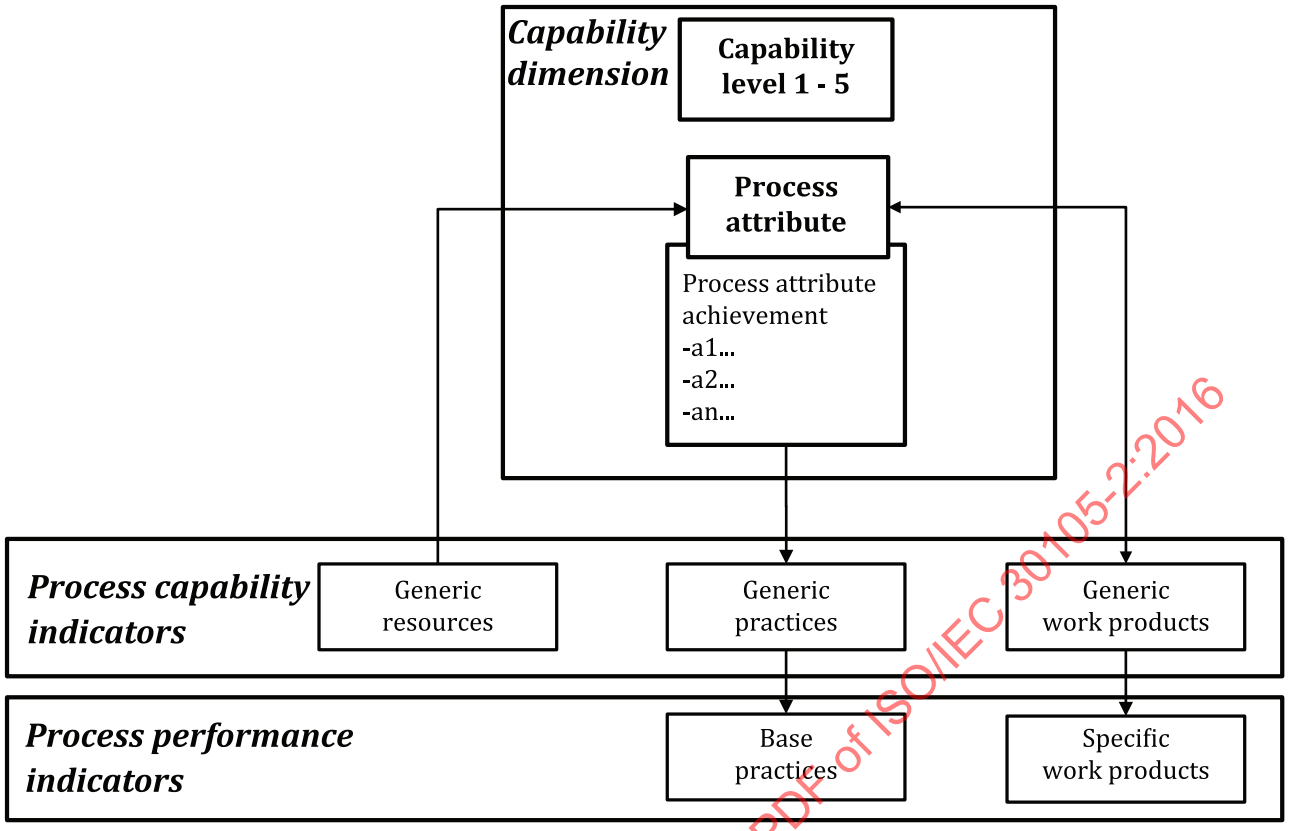

Figure 5 — Process assessment indicators

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 supports judgments of the extent to which the attributes are achieved. Evidence of their effective performance or existence supports the judgment of the degree of achievement of the attribute. The 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. Table A.1 lists the mappings of the GPs to the achievements associated with each process attribute.

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

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

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

The **generic 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 that can be inputs to or outputs from all types of process.

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

3.3.3 Process performance indicators (PPI)

There are two types of process performance indicators: **base practice (BP)** and **work product (WP)** indicators as identified in Figure 5. 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.

Clause 5 contains a complete description of the processes, including the base practices and the associated work products. Annex B described work product characteristics, with B.2 containing a list of generic work products and their characteristics and B.3 containing a list of process-specific work products, with the generic work products for completeness, and their characteristics.

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

3.4 Measuring process capability

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

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

An indicator is defined as an objective characteristic of a base practice or work product that supports the judgment of the performance or capability of an implemented process. The assessment indicators and their relationship to process performance and process capability are shown in Figure 6.

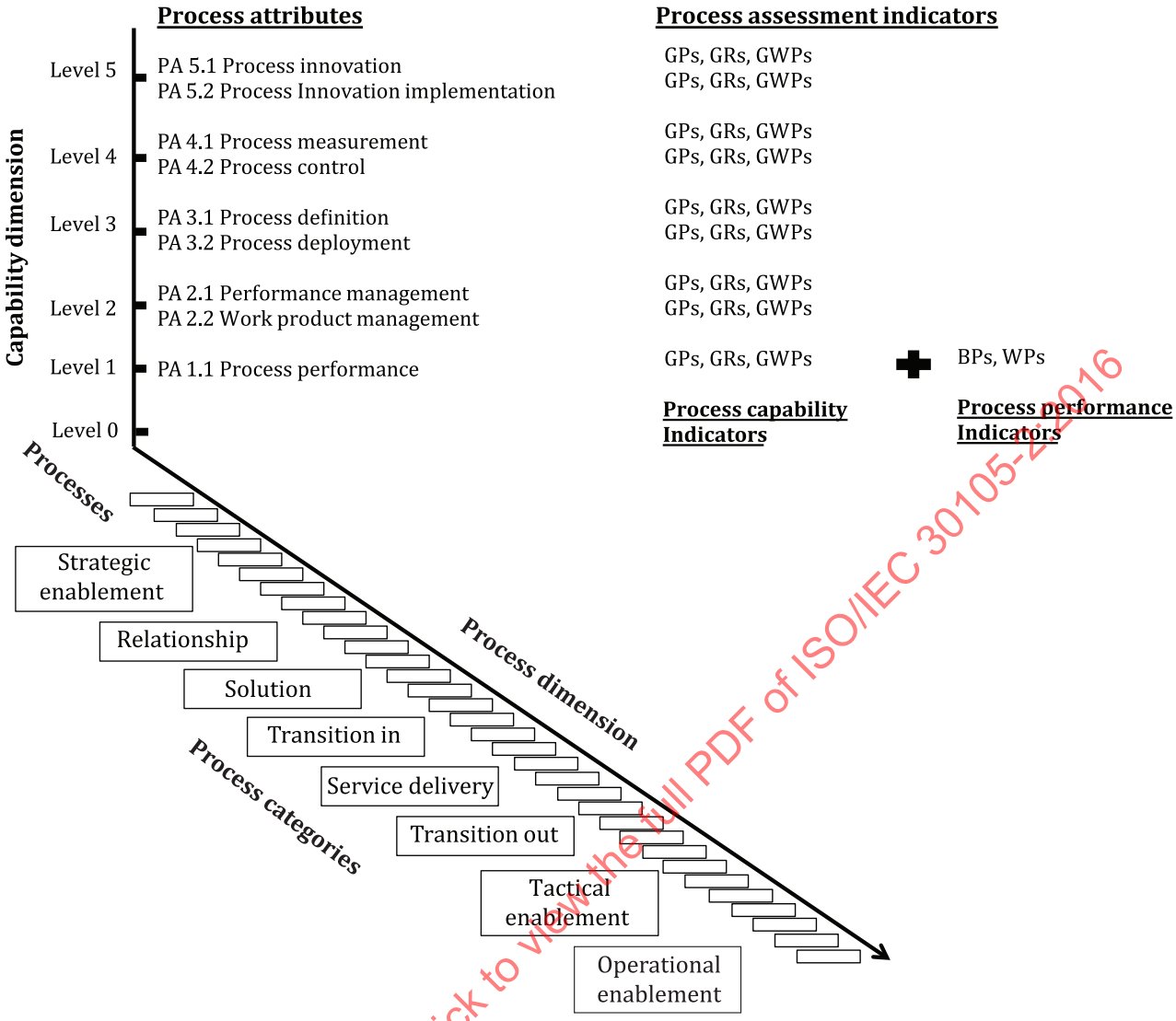

Figure 6 — Relationship of process assessment indicators with process capability indicators and process performance indicators

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

The existence of base practices, work products and work product characteristics provide evidence of the performance of the processes associated with them. Similarly, the existence of process capability indicators provides evidence of process capability.

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

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

4 Processes and process performance indicators (level 1)

4.1 General

This clause defines the processes and the associated process performance indicators within the process assessment model. The processes in this model can be directly mapped to those defined in the process reference model in ISO/IEC 30105-1.

The processes are classified (for the purpose of this process assessment model) into process categories listed in ISO/IEC 30105-1.

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

For each process, the process assessment model further provides:

a) a set of base practices (BPs) defining the tasks and activities needed to accomplish the process purpose and fulfill the process outcomes; each base practice is explicitly associated to a process outcome;

b) a number of work products (WPs) associated with each process and related to one or more of its outcomes;

c) characteristics associated with each work products, as indicated in Annex B.

The base practices and work products constitute the set of indicators to assess process performance for a particular process.

NOTE The work products have a unique WP ID, a detailed characteristic of these work products is indicated in Annex B with the same WP ID.

A documented assessment process and assessor judgment is needed to ensure that process context (application domain, business purpose, development methodology, size of the organization, etc.) is explicitly considered when using this information. However, this list of work products should not be considered as a checklist of what each organization should have but rather as an example and starting point for considering whether, given the context, the work products are necessary and contributing to the intended purpose of the process.

4.2 Base practices (BPs) and work products (WPs) for ITES-BPO lifecycle processes

4.2.1 Strategic enablement processes

There are two processes under this category:

a) SEN1: Strategic planning and direction setting;

b) SEN2: Innovation management.

SEN1: Strategic planning and direction setting

ID	SEN1
Name	**Strategic planning and direction setting**
Purpose	The purpose of the SEN1 process is to define and share business objectives, strategies and the organizational road map to achieve these business objectives.
Outcomes	As a result of the successful implementation of this process: a) business objectives, direction and strategies are defined and shared to the organization and relevant stakeholders; b) business objectives, direction and strategies are defined for service offerings of the service provider; c) implementation plans are defined to achieve business objectives, direction and strategies; d) strategic roadmaps are developed within the constraints of the service provider resources.

ID	SEN1
Base Practices	**BP1. Determine objectives**: Bring together required stakeholders to develop long-term organization objectives in terms of lines of business, growth prospects, contributions to geography, etc. [Outcome a)] **BP2. Cascade objectives across organization:** Determine specific objectives at a business unit and department level in line with the organization objectives. [Outcome b)] **BP3. Determine a road map and targets:** Identify a specific road map, targets for business lines, both for long term and near term. [Outcome c), d)]

Work products					
Inputs			**Outputs**		
WP ID	**Name**	**Outcome**	**WP ID**	**Name**	**Outcome**
6.24	Market analysis report	a)	3.39	Strategic plan	a)
8.06	Customer objectives	a)	8.19	Organizational objectives	a)
2.01	Business case	a), c)	3.09	Business plan	a)
1.07	Stakeholder list	b)	6.05	Business review report	b), c)
			3.18	Department/unit implementation plans	c), d)
			3.37	Roadmap	d)

SEN2: Innovation management

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

ID	SEN2
Base Practices	**BP1. Create innovation framework:** Create an organization-level innovation framework which provides guidance for deployment and management of innovation. [Outcome a), g)] **BP2. Establish a measurement framework:** Design and deploy a measurement framework to gauge the level of innovation at a process level. [Outcome b)] **BP3. Define deployment strategy:** Establish a framework deployment strategy at organization and process level, including innovation themes and teams. [Outcome c), e)] **BP4. Monitor innovation progress:** Measure innovation using established measurement framework at periodic intervals. Monitor progress against expected outcomes. [Outcome d)] **BP5. Communicate progress and involve stakeholders**: Communicate progress and involve stakeholders for bringing major change in the value chain. [Outcome e), f)]

Work products					
Inputs			Outputs		
WP ID	**Name**	**Outcome**	**WP ID**	**Name**	**Outcome**
3.39	Strategic plan	a), b), g)	5.06	Innovation framework	a), g)
3.04	Budget	c)	3.27	Innovation roadmap	a), g)
9.20	Innovation tracker	c), d)	4.03	Innovation deployment strategy	b), c), d), e)
5.11	Programme governance framework	c), d)	6.22	Innovation measurement dashboard	b), d), e)
5.13	Reward and recognition process document	d), e)	6.21	Innovation benefits report	d), e)
3.14	Communication plan	e), f)	9.20	Innovation tracker	c), d)
			9.05	Communication records	f)

4.2.2 Relationship processes

There are two processes under this category:

a) RLS1: Customer relations management;

b) RLS2: Supplier management.

ID	RLS1
Name	**Customer relations management**
Purpose	The purpose of the RLS1 process is to identify and manage customer relations, including the management of customer requirements and customer expectations to improve the level of customer satisfaction.
Outcomes	As a result of successful implementation of this process: a) all customers, users and stakeholders are identified and defined; b) customer requirements and expectations are identified and reviewed and agreed; c) customer satisfaction is measured, analysed and communicated to relevant stakeholders; d) customer escalations and complaints are recorded, tracked and resolved; e) updates, escalations, complaints, and actions taken are communicated to relevant stakeholders; f) actions to improve customer satisfaction are identified, recorded and tracked until closure.

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
6.24	Market analysis report	a)	9.13	Customer relationship repository	a)
9.12	Customer feedback	b), d), e)	8.07	Customer requirement	b)
1.02	Contract	b), f)	1.02	Contract	b), f)
9.13	Customer relationship repository	c), d), e)	8.05	Customer approved solution document	b)
3.14	Communication plan	c), e)	3.14	Communication plan	b)
8.08	Customer satisfaction measurement method	c), f)	9.05	Communication record	c), e)
			6.11	Customer satisfaction analysis	c)
			9.06	Complaints and compliment action log	d), e)
			9.20	Improvement opportunity record	c), f)

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

ID	RLS2
Base Practices	**BP1. Identify supplier nominations**: Shortlist suppliers based on ability to deliver business requirements and defined service level agreements (SLAs). [Outcome a)] **BP2. Undertake supplier selection:** Determine the services to be provided, scope, timelines, cost and other business parameters, and supplier selection criteria. Evaluate supplier.[Outcome a), b)] **BP3. Negotiate and agree services:** Negotiate and agree on the price, service, service levels, obligations and governance. [Outcome b), c), h)] **BP4. Define roles and responsibilities:** Define roles and responsibilities for the supplier and service provider organization. [Outcome b), d)] **BP5. Review supplier performance:** Review performance against committed targets and obligations, security and privacy, and compliance. Seek remedial plans from supplier for any non-performance. [Outcome e), f), g)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
8.36	Supplier selection criteria	a)	1.09	Supplier shortlist	a)
8.34	Supplier requirements	a), b), c)	9.32	Supplier meet records	b)
8.21	Proposal	a), c)	6.27	Supplier performance report	e), f), g), h)
1.08	Supplier key contacts	b)	8.32	Supplier contract	c), d), f), h)
8.35	Supplier roles and responsibilities	b), c), d)	8.35	Supplier roles and responsibilities	c), d)
8.32	Supplier contract	d), g)	9.11	Corrective or preventive actions record	g)
6.29	Supplier performance report	e), f), g), h)			

4.2.3 Solution processes

There are two processes under this category:

a) SLN1: Solution development;

b) SLN2: Contract lifecycle management.

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
5.17	Transition methodology document	b), c), d)	8.07	Customer requirements	a)
8.07	Customer requirement	a), e)	3.22	Governance plan	a)
6.32	Volume seasonality analysis	b)	3.43	Transition plan	b), c), d)
5.03	Current process maps	c)	8.31	Solution proposal	c)
1.07	Stakeholder list	d)	8.05	Customer approved solution document	d), e)
8.31	Solution proposal	d), e)	8.09	Customer success criteria	e)

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
8.14	Internal stakeholder requirements	a)	8.06	Customer objectives	a), i)
8.06	Customer objectives	a), d), i)	8.33	Supplier objectives	a), d)
6.10	Contracts review report	a), b), g), h), i)	1.03	Contract obligation mapping	a), b), d), e), i)
1.02	Contract	b) ,c), f)	9.30	Risk log	c)
4.01	Contract policy	c), d), e), h)	9.08	Contract change control	g), h)
9.30	Risk log	c)	1.02	Contract	f), g), h)
8.33	Supplier objectives	a), d)	9.09	Contract tracker	f), g), h)
9.09	Contract tracker	f), g), h)	9.10	Contracts repository	f), g), h)

4.2.4 Transition in processes

There are six processes under this category:

a) TRN1: People mobilization;

b) TRN2: Infrastructure setup — technology;

c) TRN3: Infrastructure setup — non-technology;

d) TRN4: Knowledge transfer;

e) TRN5: Service delivery planning;

f) TRN6: Pilot implementation.

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
8.05	Customer approved solution document	a)	3.34	Resource forecast	a)
3.34	Resource forecast	a), b), d), f)	1.04	Deployable resources list	b), c), d), e), g)
3.43	Transition plan	a), d), h), i)	9.33	Training records	c), d), e), h)
2.05	Skills framework	a), b), c), e), f)	3.24	Induction programme	d)
6.28	Sourcing options report	b), g), h)	8.23	Role competencies	e)
1.02	Contract	c), g), i)	2.06	Training material	e)
3.25	Induction programme outline	d), e), h)	1.11	Training needs analysis	e), f)
8.22	Regulatory requirements	g)	3.17	Continual professional development plan	f)
8.01	Acceptance criteria	j)	2.02	Delivery organization chart	i)

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
			9.05	Communication record	h), j)
			8.05	Acceptance criteria	j)
			9.14	Customer sign-off	i), j)

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

ID	TRN2
Base Practices	**BP1. Identify and validate technology requirements:** Identify and validate all technology requirements to meet service delivery needs, including security and compliance. [Outcome a)] **BP2. Plan, configure and implement technology:** Define plan for the required technology to ensure technology requirements are met. Configure and implement planned technology. [Outcome b)] **BP3. Integrate with customer technology**: Establish seamless interface with customer's technology, with appropriate controls as identified. [Outcome b)] **BP4. Correct technology setup defects:** Take action to correct defects in the technology setup in a timely manner. [Outcome b)] **BP5. Manage technology performance:** Define and measure appropriate metrics related to technology performance. [Outcome b), c)] **BP6. Gain acceptance of technology:** Define acceptance criteria for the review and acceptance of the technology. Gain customer acceptance. [Outcome d)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.43	Transition plan	a), b)	3.40	Technology requirements and fulfillment plan	a)
1.02	Contract	a), b), c)	8.13	Infrastructure technology service definition	b)
3.40	Technology requirements and fulfillment plan	a), b)	6.31	User acceptance report	b)

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
8.26	Security and compliance requirements	b)	6.26	Service acceptance report	b)
8.24	Roles and responsibilities	b)	6.17	Incident report/dash-board	c)
8.25	Security and compliance IT checklist	b)	6.27	Service performance report	c)
6.27	Service performance report	c)	9.14	Customer sign-off	d)
8.15	IT SLA	c), d)	8.01	Acceptance criteria	d)
8.01	Acceptance criteria	d)			

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
1.02	Contract	a), b), d)	3.30	Non-technology requirements and fulfillment plan	a), b)
3.43	Transition plan	a), b), c), d)	2.04	Office facilities inventory	c), d)
3.30	Non-technology requirements and fulfillment plan	a), c)	5.09	Physical security controls procedure	c), d)
8.26	Security and compliance requirements	a), c)	8.18	Non-standard working hours requirement	d)
3.20	Facilities plan	c)	9.14	Customer sign-off	e)
8.18	Non-standard working hours requirement	d)	8.01	Acceptance criteria	e)
8.01	Acceptance criteria	e)			

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
1.02	Contract	a)	8.23	Role competencies	a)
3.34	Resource forecast	a)	3.29	Knowledge transfer plan	b)
2.02	Delivery organization chart	a), b)	3.32	Process documentation plan	b)
3.43	Transition plan	a), b)	5.10	Process maps and procedures	c)
5.01	As-is process documentation	a), b), c), d)	9.22	Knowledge asset	c)
6.12	Delivery capability assessment report	e)	1.10	Trained and skilled resources list	d)
8.01	Acceptance criteria	e)	2.06	Training material	d)
			8.01	Acceptance criteria	e)
			9.14	Customer sign-off	e)

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.43	Transition plan	a), b), c), d), e)	3.38	Service delivery plan	a), b), c), d), e)
8.05	Customer approved solution document	a), b), c), d), e), f)	5.08	Measurement systems	f)
3.22	Governance plan	g)	5.05	Governance framework	g)
8.30	Service readiness checklist	a), b), c), d), e), h)	3.14	Communication plan	g)
1.02	Contract	f), g), h)	8.30	Service readiness checklist	a), b), c), d), e), h)
8.01	Acceptance criteria	h)	9.14	Customer sign-off	h)

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
8.07	Customer requirement	a)	3.31	Pilot plan	a), b), c), d), e), f), g), h), i)
8.27	SLA	a), h)	6.25	Pilot report	b), c), d), e)
1.02	Contract	a), i)	3.38	Service delivery plan	b), c), d), e), f), g), h), i)
8.05	Customer approved solution document	a), b), c), d), e), f), g), h), i)	9.12	Customer feedback	b), c), d), e), f), g), h), i)
3.43	Transition plan	b), c), d), e), f), g), h), i)	9.11	Corrective or preventive actions record	b), c), d), e), f), g), h), i)
8.01	Acceptance criteria	j), k)	9.30	Risk log	f)
			6.02	Business continuity test report	g)
			8.01	Acceptance criteria	j), k)
			9.35	Transition sign-off	k)
			9.28	Pilot sign-off	j), k)

4.2.5 Service delivery processes

There are four processes under this category:

a) SDL1: Service delivery execution;

b) SDL2: Service delivery reporting;

c) SDL3: Service level management;

d) SDL4: Business process management.

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.38	Service delivery plan	b), c), f)	1.04	Deployable resources list	a)
2.05	Skills framework	a)	9.33	Training records	a)
2.06	Training material	a)	1.11	Training needs analysis	a)
8.29	Service performance targets	a), c)	2.02	Delivery organization chart	a)
3.45	Work schedule	b)	3.45	Work schedule	b)
5.08	Measurement systems	c)	8.24	Roles and responsibilities	a)
5.05	Governance framework	d)	9.11	Corrective or preventive actions record	b), c)
6.27	Service performance report	c), d), e)	5.05	Governance framework	d)
3.14	Communication plan	e)	3.14	Communication plan	e)
9.03	Change request records	f)	9.05	Communication records	e)
9.12	Customer feedback	f)	3.38	Service delivery plan	f)

ID	SDL2
Name	**Service delivery reporting**
Purpose	The purpose of the SDL2 process is to produce timely and accurate service reports to support effective communication and decision making.
Outcomes	As a result of the successful implementation of this process: a) the service delivery reporting needs are identified; b) service delivery reports are produced according to the service report requirements; c) service delivery reports are communicated to relevant stakeholders; d) improvement actions are identified and reported; e) service delivery reports are reviewed and maintained in line with service changes and customer feedback.

ID	SDL2
Base Practices	**BP1. Define the reporting mechanism:** Define the templates and formats for reporting performance and metrics, review and maintain. [Outcome a), e)] **BP2. Plan reporting**: Define the types of reports, frequency of reporting and relevant stakeholders to receive the reports. [Outcome a)] **BP3. Collect data and distribute report:** Collect defined data, produce defined reports and communicate reports to stakeholders. [Outcome b), c)] **BP4: Identify and record improvements:** Analyse data and reports to identify improvements and record. [Outcome d)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.38	Service delivery plan	a)	1.06	Service performance report templates	a), b), e)
1.02	Contract	a)	6.27	Service performance report	b), e)
8.28	Service performance reporting requirements	a), b), e)	9.05	Communication record	c), d)
8.29	Service performance targets	b), c)	9.19	Improvement opportunity record	d)
5.08	Measurement systems	b), e)			
3.14	Communication plan	c), d)			

ID	SDL3
Name	**Service level management**
Purpose	The purpose of the SDL3 process is to ensure that the agreed service level targets are met.
Outcomes	As a result of the successful implementation of this process: a) services and dependencies are identified; b) service level targets and workload characteristics for services are defined in SLAs; c) services are monitored against SLAs; d) corrective and preventive actions are identified and tracked to closure in order to avoid or correct for service level performance deviations; e) service level performance against service level targets is communicated to stakeholders; f) requested changes to service requirements are recorded, reported and processed.

ID	SDL3
Base Practices	**BP1. Define measurable service level targets:** Identify and agree service, service level targets, dependencies and workload characteristics in line with the contract. [Outcome a), b)] **BP2. Identify deviations to SLA:** Monitor service levels against the target, identify deviations where SLA is missed. [Outcome c)] **BP3. Identify and take corrective and preventive actions**: Analyse deviations to the agreed SLAs, determine corrective and preventive actions and implement the actions. [Outcome d)] **BP4. Communicate adherence and actions taken**: Communicate SLA performance and actions taken for deviations to the stakeholders. [Outcome d), e)] **BP5. Maintain and communicate modifications to service levels:** Review requested changes to the service, service levels targets, dependencies and workload characteristics to ensure all changes required to the SLAs are evaluated. Define, agree on and communicate changes in the SLAs. [Outcome a), b), f)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.38	Service delivery plan	a), b), c)	8.27	SLA	a), b), f)
1.02	Contract	a), b)	6.27	Service performance report	c), e)
5.08	Measurement systems	b), c)	9.11	Corrective or preventive actions record	d)
8.27	SLA	c)	9.19	Improvement opportunity record	d), e)
6.27	Service performance report	c), d), e)	9.05	Communication record	e), f)
3.14	Communication plan	e)			

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
8.02	Business process objectives	a)	5.16	Standard operating procedures	a), b), c)
8.07	Customer requirements	a)	5.10	Process maps and procedures	a), b), c)
3.32	Process documentation plan	a)	6.27	Service performance report	b), e), f)
3.38	Service delivery plan	a), b), c)	9.11	Corrective or preventive actions record	c), d)
5.08	Measurement systems	c)	9.19	Improvement opportunity record	d), e)
6.27	Service performance report	c), e)	6.04	Business performance reports	e), f)
6.04	Business performance reports	d), e), f)	9.05	Communication record	f)
9.12	Customer feedback	d), e), f)			

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
1.02	Contract	e)			
6.11	Customer satisfaction analysis	e), f)			
3.14	Communication plan	f)			

4.2.6 Transition out process

There is one process under this category:

a) TRO1: Transition out.

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
7.01	Transition out request	a), b), i)	3.42	Transition out plan	a), b), i)
1.02	Contract	c), d), f), h), j)	1.02	Contract	a), b), f)
8.01	Acceptance criteria	c), d), j)	9.14	Customer sign-off	c), d), j)
1.07	Stakeholder list	e), f)	8.01	Acceptance criteria	c), d), j)
9.23	Knowledge repository	e), g)	3.01	Asset transfer plan	d), f), g)
9.22	Knowledge assets	e), g)	3.29	Knowledge transfer plan	e)
3.42	Transition out plan	e), f), g), h)	3.33	Ramp down plan	e), f), g), h)
1.04	Deployable resources list	f), g)	6.27	Service performance report	g)
			9.05	Communication record	i)
			3.14	Communication plan	i), j)

4.2.7 Tactical enablement processes

There are eight processes under this category:

a) TEN1: Management review;

b) TEN2: Financial management;

c) TEN3: Change management;

d) TEN4: Knowledge management;

e) TEN5: Business continuity management;

f) TEN6: Audit management;

g) TEN7: Risk management;

h) TEN8: Continual improvement.

TEN1: Management review

Name	Management review
Context	This process covers managements' periodic review of business performance of the outsourced service. The review will consider progress against the business plan and business objectives with respect to each element of the business including the customer relationship, process, human resources, infrastructure, technology, risks, financials and general contractual terms. This may lead to improved customer satisfaction and organizational efficiency and effectiveness.
Purpose	The purpose of the TEN1 process is to assess the business performance of the outsourced service provider and to identify potential improvements.
Outcomes	As a result of successful implementation of this process: a) the objectives of the review are established; b) the status and performance against the business plan, identified activity or process are assessed; c) risks, problems and opportunities for improvement are identified and recorded; d) review results are communicated to relevant stakeholders; e) action items resulting from reviews are tracked to closure.

ID	TEN1
Base Practices	**BP1. Establish review objectives:** Identify and agree objectives for financial, people, customer, supplier and other factors for review. [Outcome a)] **BP2. Assess the status and performance of an activity or process:** Review of the ITES-BPO service provider's performance by top management to ensure the direction and derived strategy is followed. [Outcome b)] **BP3. Identify risks, problems and opportunities for improvement:** Assess opportunities for improvement and the need for changes to the direction of the policy and objectives. Record the results of management reviews, concerns and actions. [Outcome c)] **BP4. Communicate review results to stakeholders:** Communicate the results and actions to stakeholders when appropriate. [Outcome d)] **BP5. Track action items resulting from reviews to closure:** Follow up the identified actions for completion, course corrections and changes. Record implemented improvement opportunities. [Outcome e)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.39	Strategic plan	a), b)	8.17	Management review objectives	a)
3.09	Business plan	a), b)	9.24	Management review record	b)
8.19	Organizational objectives	a), b)	9.30	Risk log	c)
6.05	Business review report	a), b)	9.19	Improvement opportunity record	c)
3.18	Department/unit implementation plans	a), b)	9.05	Communication record	d)
3.37	Roadmap	a), b)	9.18	Improvement log	e)
6.11	Customer satisfaction analysis	a), b)			
6.29	Supplier performance report	a), b)			
6.27	Service performance report	a), b)			
9.30	Risk log	c)			
9.19	Improvement opportunity record	c)			
9.05	Communication record	d)			
9.18	Improvement log	e)			

ID	**TEN2**
Name	**Financial management**
Purpose	The purpose of the TEN2 process is to acquire and sustain the appropriate level of funding to design, develop and deliver services that meet the strategy of the organization and agreed customer requirements.
Outcomes	As a result of the successful implementation of this process: a) the cost to design, develop and deliver services is understood in accordance with the strategy of the organization and agreed customer requirements and communicated to relevant stakeholders; b) the funds required to provide the services are obtained; c) pricing, costs and incomes are monitored and reported to stakeholders; d) the relationship between cost and incomes and their variance is identified; e) the costs of service provision are recovered; f) clear and justifiable invoices are produced; g) the impact of changes, issues and improvements on financial policy and measures is analysed and reported.

ID	TEN2
Base Practices	**BP1. Define approach for cost recovery and revenue:** Determine cost recovery terms and methods and profitability targets for the organization and specific units in accordance with organization strategy and customer requirements. [Outcome a), b), g)] **BP2. Establish service costs:** Determine cost of design, development and delivery of services. Communicate to stakeholders. [Outcome a)] **BP3. Build financial plan and secure budget approval:** Develop the finance plan based on previous cost-revenue analysis and secure required approvals. [Outcome b)] **BP4. Review income and expenditure:** Review income, expenditure, revenue, profitability and costs and identify any changes required. [Outcome d)] **BP5. Report on financials:** Publish profit, loss, assets, liabilities, cash flow, revenue sources, business reinvestment and costs to stakeholders. [Outcome c), f)] **BP6. Recover costs of service provision:** Recover costs or bill for service. Manage any disputed costs. [Outcome e)] **BP7. Adjust financial plan:** Update the financial plan based on changes from the cost-revenue analysis. [Outcome b), d), e)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
6.03	Business demand report	a)	9.05	Communication records	a), g)
6.16	Financial reports	a), c), g)	3.21	Financial plan	a), b), c), g)
1.02	Contract	a), d)	3.04	Budget	b)
6.15	Financial data	b), c), d), e), f)	6.16	Financial reports	d)
9.16	Disputed invoice record	e), f)	9.17	Escalated issues log	d), e)
6.30	Unpaid invoices/aged debt report	e), f)	1.05	Invoice	e), f)
			9.19	Improvement opportunity record	e)
			9.29	Revenue received record	e)

ID	TEN3
Name	**Change management**
Purpose	The purpose of the TEN3 process is to ensure all changes are assessed, approved, implemented and reviewed in a controlled manner.
Outcomes	As a result of successful implementation of this process: a) change requests are recorded classified, and prioritized; b) change requests are assessed using defined criteria; c) change requests are approved before changes are developed and deployed; d) an implementation schedule of changes and releases is established; e) an implementation schedule of changes and releases is communicated to relevant stakeholders; f) approved changes are developed, tested, implemented and reviewed for success; g) unsuccessful changes are reversed or remedied; h) the impact of changes, issues and improvements on change management policy and measures is analysed and reported.

ID	TEN3
Base Practices	**BP1. Define classification criteria, assessment and approval mechanism:** Define classification criteria, assessment and approval mechanism for changes. [Outcome a), h)] **BP2. Record and classify changes:** Record and classify all changes in the change log following the defined process. [Outcome a), h)] **BP3. Assess the impact of the change:** Assess the process, technical, business, risk, financial, contractual, regulatory, legislative impacts of the change. [Outcome b)] **BP4. Approve the change:** Make informed decisions on change approval, based on the assessment to ensure minimum negative impact. [Outcome c)] **BP5. Schedule and communicate changes:** Establish a schedule of change containing details of the approved changes and deployment dates. Communicate the schedule of changes to stakeholders. [Outcome d), e)] **BP6. Develop the change:** Develop the change and test prior to deployment. Verify the impact of the change and readiness to deploy based on the test results. [Outcome f)] **BP7. Evaluate the change:** Evaluate that the implemented change delivers the desired results and identify unsuccessful changes. [Outcome f)] **BP8. Remedy unsuccessful change:** Investigate unsuccessful changes and take corrective actions. [Outcome g)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
9.03	Change request records	a), d)	9.02	Change log	a)
9.02	Change log	a)	9.03	Change request records	a), b), c), f), h)
8.03	Change policy	a), b), c), h)	9.08	Contract change control	c)
3.13	Change/release schedule	d), e)	3.12	Change build and implementation plans	d), f), h)
3.14	Communication plan	e)	9.05	Communication record	e)
3.12	Change build and implementation plan	f), g), h)	9.04	Change test results	f)
3.11	Change back out plan	g)	9.11	Corrective or preventive action records	g)

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
4.04	Knowledge policy	a), e)	9.22	Knowledge asset	a), b), c), d), e)
3.28	Knowledge management plan	a), b)	3.28	Knowledge management plan	c)
9.22	Knowledge asset	a), b), c), d)	9.33	Training records	c), d)
1.07	Stakeholder list	b)	3.28	Knowledge transfer plan	c), d)

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

ID	TEN5
Base Practices	**BP1. Define business continuity requirements and plan:** Define business continuity requirements and business continuity plan (BCP) in line with the contractual requirements. Update with changes to: — staffing, including specialized technical resources; — important customers; — suppliers/authorities; — organization structure changes; — alternative site for business continuity recovery. [Outcome a), j)] **BP2. Define disaster recovery plan:** Establish disaster recovery plan based on the customer contractual and the service provider organization's requirements to ensure business process operability to agreed continuity levels of service. [Outcome b)] **BP3. Define and implement preventive measures:** Identify, plan and implement preventive measures to avoid invocation of continuity measures, including datacenter controls. [Outcome c)] **BP4. Establish critical recovery procedures:** Establish plans to ensure that critical functions and alternate means of operating them are documented. [Outcome d)] **BP5. Analyse events disrupting business continuity and risks to business continuity**: Analyse disruptions and risks to business continuity. Identify and implement preventive or mitigating measures. [Outcome e), g)] **BP6. Maintain service levels:** Maintain agreed service levels by implementing business continuity and disaster recovery plans during disruption and return to normal service levels post-disruption. [Outcome g)] **BP7. Define communications plan:** Establish a plan for communication of the status of business continuity events to stakeholders. [Outcome f), i)] **BP8. Validate business continuity plan:** Establish and implement a cycle for testing of a business continuity plan as defined by organization, at a minimum biannual or annual. [Outcome h)] **BP9. Raise employee awareness:** Establish effective awareness programme for employees on the business continuity plans and measures. [Outcome i)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
5.10	Process maps and procedures	a), j)	3.06	Business continuity plan	a), e), j)
1.02	Contract	a), b)	3.05	Business continuity maintenance schedule	a), b)
2.02	Delivery organization chart	a), b), c), d), f), h)	3.07	Business continuity test schedule	a), b)
2.04	Office facilities inventory	a), b), d), e), g)	3.14	Communication plan	b), f), i)
3.06	Business continuity plan	a), g), h)	5.12	Recovery process and procedures	c), d), g)
3.19	Disaster recovery plan	b), d), g), h)	3.19	Disaster recovery plan	d), e), j)
3.14	Communication plan	f), i)	6.02	Business continuity test report	f), g), h)

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
			6.13	Disaster recovery test report	f), g)
			9.33	Training records	e), h), j)
			3.08	Business continuity training plan	h)

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.03	Audit schedule	a), c)	3.02	Audit plan	a)
1.01	Auditor list	b)	1.01	Auditor list	b)
3.02	Audit plan	b), c)	6.01	Audit reports and action plans	c), d)
6.01	Audit reports and action plans	d), e)	9.01	Audit non-conformity record	d), f)
3.14	Communication plan	e)	9.05	Communication record	e)
9.01	Audit non-conformity record	e), f)			

ID	**TEN7**
Name	**Risk management**
Purpose	The purpose of the TEN7 process is to identify, analyse, evaluate, mitigate and monitor the risks.
Outcomes	As a result of successful implementation of this process: a) risks are identified; b) identified risks are categorized, assessed and the priority in which to apply resources to mitigate these risks is determined; c) risks and their proposed mitigation plans are communicated to relevant stakeholders; d) assessed risks are monitored; e) appropriate mitigation measures are taken to correct or avoid unacceptable assessed risks. f) the impact of changes, issues and improvements on risk policy and measures is analysed and reported.

ID	**TEN7**
Base Practices	**BP1. Identify risks:** Identify risks during the setup of a process or a service and on a continuous basis. [Outcome a), f)] **BP2. Categorize and assess risks:** Categorize and assess identified risks and determine the priority in which to apply resources to the treatment of these risks. [Outcome b), f)] **BP3. Communicate risks and proposed mitigation plans to stakeholders:** Establish plans to communicate risks and their proposed mitigation plans to stakeholders. [Outcome c)] **BP4. Monitor risks:** Establish and implement processes to monitor assessed risks. [Outcome d)] **BP5. Develop mitigation plans to avoid unacceptable risks:** Define and implement appropriate mitigation plans to correct, alleviate or avoid unacceptable assessed risks. [Outcome e)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
1.02	Contract	a)	9.30	Risk log	a), b), d), e)
8.16	Legal, statutory and regulatory requirements	a), f)	9.05	Communication record	c)
9.30	Risk log	a), b), c), d), e)	3.36	Risk mitigation plan	e), f)

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

ID	TEN8
Base Practices	**BP1. Identify improvement opportunities:** Define opportunities for improvement and identify those improvement opportunities captured and recorded through the execution of delivery and all service processes. [Outcome a)] **BP2. Plan and implement improvement programmes:** Identify and implement improvement programmes. [Outcome b), g)] **BP3. Establish objectives, goals for the planned improvement programme:** Select objectives and goals based on priority and value added. Align goals to business strategy, customer requirements, etc. [Outcome c)] **BP4. Monitor programmes and ensure adherence to objectives:** Track adherence to selected objectives and goals. [Outcome d)] **BP5. Communicate progress to stakeholders**: Communicate progress and results to stakeholders. [Outcome e)] **BP6. Involve customer in improvements**: Where appropriate, involve customer organization in improvement programmes, such as in planning, goal selection, implementing, monitoring and communication. [Outcome f)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.04	Budget	a), b)	9.19	Improvement opportunity record	a)
9.19	Improvement opportunity record	a)	5.11	Programme governance framework	b)
8.11	Improvement goals	a), c), d)	3.23	Improvement plan	b), g)
8.19	Organizational objectives	b), g)	6.09	Continual improvement report	b), c), d)
3.23	Improvement plan	b), g)	9.05	Communication records	e)
8.02	Business process objectives	b), g)	9.14	Customer sign-off	f)
8.06	Customer objectives	b), g)			
5.11	Programme governance framework	d), e), g)			
3.14	Communication plan	e)			
1.07	Stakeholder list	f)			

4.2.8 Operational enablement processes

There are seven processes under this category:

a) OEN1: Transaction quality management;

b) OEN2: Information security management;

c) OEN3: Compliance management;

d) OEN4: Human resource management;

e) OEN5: Infrastructure and technology management;

f) OEN6: Work environment management;

g) OEN7: Issue management.

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

ID	OEN1
Base Practices	**BP1. Define a verification process:** Define a verification process to ensure service quality by analysing and calibrating strategy, plans, processes, procedures, etc. Ensure verification criteria is defined for all work products. [Outcome a), b), c), g)] **BP2. Align verification:** Ensure verification remains aligned to the requirements of the service provider, customer and end user. [Outcome a)] **BP3. Collect defects data:** Gather defects based on verification plan. [Outcome d), e)] **BP4. Analyse results:** Initiate appropriate actions based on analysis of verification results and track to closure. [Outcome c), d), e)] **BP5. Communicate verifications results**: Communicate results and observations from the verification activities to the stakeholders. [Outcome f)]

Work products					
Inputs			Outputs		
WP ID	**Name**	**Outcome**	**WP ID**	**Name**	**Outcome**
3.44	Verification strategy	a), g)	3.44	Verification strategy	a), b), g)
8.37	Verification parameters	b), c), g)	9.34	Transaction monitoring results	a), d), f)
3.10	Calibration plan	c)	6.06	Calibration variance Report	c)
3.41	Transaction monitoring plan	d)	5.02	Calibration process	c), g)
9.11	Corrective or preventive actions records	e), f)	9.15	Defect records	d)
			9.11	Corrective or preventive actions records	d), e)
			9.19	Improvement opportunity record	d), e)
			9.05	Communication records	f)

ID	OEN2
Name	**Information security management**
Purpose	The purpose of the OEN2 process is to maintain an agreed level of security across all ITES-BPO activities.
Outcomes	As a result of successful implementation of this process: a) an information security policy is defined to direct security activities; b) information security requirements are identified and assessed; c) criteria for the assessment of information security risks and the acceptable level of risk are identified; d) information security risks, including threats and vulnerabilities, are identified and assessed; e) information security risk measures and controls are defined and implemented; f) security incidents are identified, quantified, recorded and reported to the customer; g) information security concerns are communicated to stakeholders; h) the impact of changes, issues and improvements on security policy and measures is analysed and reported.

ID	OEN2
Base Practices	**BP1. Define information security policy** [Outcome a), h)] **BP2. Agree on new and changed information security requirements:** Analyse evolving business requirements, information flows, organizational policies, customer requirements, contractual obligations, regulatory requirements, technology environments and threat environments from the perspective of information security on a regular basis. Identify, evaluate, modify and report information security requirements in agreement with all relevant stakeholders. [Outcome b), h)] **BP3. Define a risk management approach:** Identify suitable risk acceptance levels, mitigation, criteria for assessment and assessment frequency. Determine required security assessor competencies and qualifications. Classify information of information security risks. [Outcome c)] **BP4. Apply risk management approach:** Apply defined risk management approach across the information lifecycle at defined frequency. Identify and select appropriate security controls. [Outcome d)] **BP5. Deploy selected information security controls:** Secure information with selected information security controls. [Outcome e)] **BP6. Establish awareness of information security:** Define and implement training and awareness for information security. [Outcome e), g)] **BP7. Manage information security incidents to closure:** Manage information security incidents including identification, categorization, notification, and response and reporting. [Outcome f), g)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
1.02	Contract	a)	4.02	Information security policy	a), h)
8.16	Legal, statutory and regulatory requirements	a), h)	8.12	Information security requirements	b)
4.02	Information security policy	a), h)	5.15	Security risk management approach	c), d), e)
8.12	Information security requirements	b), h)	9.30	Risk log	d), e)
5.15	Security risk management approach	c), d), e), f)	5.14	Security controls procedure	e)
6.18	Information security action log	d), e)	2.06	Training material	e), f), g)
6.19	Information security audit report	d), e)	6.20	Information security incident report	d), e)
3.26	Information security awareness plan	d), e), g)	9.05	Communication record	f), g)
5.14	Security controls procedure	f)			
3.14	Communication plan	f), g)			
6.20	Information security incident report	g)			

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

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

Work products					
Inputs			Outputs		
WP ID	**Name**	**Outcome**	**WP ID**	**Name**	**Outcome**
3.16	Compliance awareness plan	a)	2.06	Training material	a), e)
8.16	Legal, statutory and regulatory requirements	a), b)	9.05	Communication record	a), d)
8.04	Compliance requirements	a), c), e)	9.08	Contract change control	b)
9.07	Compliance monitoring logs	c)	6.08	Compliance assessment/ audit results	c), d)
3.15	Compliance assessment/ audit plan	c), d)	9.25	Non-compliance log	d)

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

ID	OEN4
Base Practices	**BP1. Manage human resource roles, responsibilities:** Define and manage specific roles, responsibilities and competencies required for service delivery. [Outcome a), i), j)] **BP2. Assess performance:** Assess employee performance against the set goals. [Outcome b)] **BP3. Hire and manage resource retention:** Implement programmes aimed at hiring and retaining employees. [Outcome c), d)] **BP4. Provide fair treatment for employees:** Provide fair treatment for employees with opportunities for career development and role changes, including a consultation process where required. [Outcome e), f), g), h), i)] **BP5. Implement rewards and recognition:** Create and implement mechanism to reward and recognize employees and ensure implementation. [Outcome f)] **BP6. Measure employee feedback:** Create feedback mechanisms, such as an employee satisfaction survey, to understand employee and improve satisfaction levels. [Outcome g)] **BP7. Define and manage special working requirements:** Define and manage conditions for working non-standard hours. [Outcome h)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
8.20	Performance goals	a), i), j)	9.27	Personnel records	a), b), d), e), f), g)
9.26	Performance results	b), d), f), g), i)	9.26	Performance results	b), d), f), g), i)
3.35	Retention plan	c), d)	3.35	Retention plan	c), d)
8.10	Employee satisfaction survey	e), g)	6.14	Employee satisfaction survey results	b), d), e), f), g), h), i)
3.17	Continual professional development plan	c), e), g), i)	5.13	Reward and recognition process document	f)
5.13	Reward and recognition process document	f)	8.18	Non-standard working hours requirement	g)
1.02	Contract	b), d)	5.04	Employee care process document	b), d), e), f), g), h), i)

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

ID	OEN5
Base Practices	**BP1. Identify infrastructure and technology requirements:** Infrastructure and technology requirements based on broader market conditions and specific customer requirement and up gradations are identified. [Outcome a), b), i)] **BP2. Manage infrastructure and technology changes:** Record required changes in technology and infrastructure based on business and customer needs. Meet the change requirements by procuring or developing the required capability. Establish required support for changes.[Outcome c), h)] **BP3. Manage incidents, changes and service requests:** Establish incident management, change management and service request management processes for infrastructure and technology. Provide capability to record, classify and prioritize all incidents, changes and requests, and track to resolution and closure. [Outcome d), e), g)] **BP4. Establish escalation process:** Establish escalation process and SLAs for any unresolved incident/service requests or undelivered changes. [Outcome f)] **BP5. Support security and compliance requirements:** Support conformance to security, safety and compliance requirements with periodic monitoring and regular checks. [Outcome g)] **BP6. Manage infrastructure and technology requirements:** Define and maintain infrastructure and technology requirements based on contracted service, services levels, availability, workload characteristics and planned business demand. Communicate requirements to stakeholders. Assess impact of any changes to requirements (e.g. due to changes in business demand) for infrastructure and technology, such including capacity, performance and availability of the service, and identify changes required. [Outcome h)] **BP7. Manage technology performance:** Define and measure all metrics related to technology performance, including IT SLA, availability and capacity. Ensure performance reporting and establish performance review frequency. Undertake regular reviews of technology performance. Identify any performance deviations, determine corrective and preventive actions and implement the actions. [Outcome h)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.40	Technology requirements and fulfillment plan	a), b), c), i)	9.03	Change request records	a), b), c), i)
6.03	Business demand report	a), e)	6.07	Change request report/ dashboard	c), h)
8.26	Security and compliance requirements	b), g)	6.23	Major incident report	d), e)
8.18	Non-standard working hours requirements	b), h)	6.17	Incident report/dashboard	d), e)
9.08	Contract change control	c)	9.17	Escalated issues log	e), f)
9.03	Change request records	c), h)	6.27	Service performance report	e), g), h)
5.07	IT service continuity and support procedure	d), e), f), g)	9.32	Service performance review minutes	e), f), g), h)
2.03	Escalation matrix	e), f)			
8.15	IT SLA	e), g), h)			
3.14	Communication plan	e), h)			
8.29	Service performance targets	h)			

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
8.19	Organizational objectives	a)	8.38	Work environment design	a), b), c), d), f), g)
8.22	Regulatory requirements	a)	5.04	Employee care process document	c), d), i)
1.02	Contract	b), c)	6.14	Employee satisfaction survey results	e)
6.14	Employee satisfaction survey results	b), c), d)	2.03	Escalation matrix	h)
8.18	Non-standard working hours requirement	c), d), e), f), g), i)	9.17	Escalated issues log	h)
5.04	Employee care process document	c), d), f), h), i)			
8.10	Employee satisfaction survey	d), e)			

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

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

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
9.21	Issue register	a), b), d), f)	9.21	Issue register	a), b), c), e), f)
1.07	Stakeholder list	b)	9.11	Corrective or preventive actions records	d)
2.03	Escalation matrix	c)	9.22	Knowledge asset	e)
9.22	Knowledge asset	e)			

5 Process capability indicators (levels 1 to 5)

5.1 General

This clause presents the process capability indicators relating to the process attributes associated with capability levels 1 to 5 that are defined in the capability dimension of a process assessment model. Process capability indicators are the means of assessing the capabilities addressed by the defined process attributes. Evidence from process capability indicators supports the judgment of the degree of achievement of the process attribute.

5.2 Process capability levels and process attributes

The capability dimension of the ITES-BPO process assessment model consists of six capability levels that align with the capability levels defined in ISO/IEC 30105-3, which is a measurement framework for process capability conformant to ISO/IEC 33003.

This clause describes the process capability indicators for the nine process attributes included in the capability dimension for levels 1 to 5. Clause 5 describes the assessment indicators for process performance which characterizes level 1 process capability.

Level 0 does not include any type of indicators. Level 0 reflects a non-implemented process or a process which fails to even partially achieve its outcomes.

NOTE 1 In the next paragraphs, ISO/IEC 33020 process attribute definitions and attribute achievements are identified with italic font.

NOTE 2 Following each generic resource and generic work product is '[PA x.y Achievement 1]'. This refers to process attribute x.y achievement 1 which is satisfied by this indicator.

5.2.1 Process capability level 0: Incomplete process

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

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

5.2.2 Process capability level 1: Performed process

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

5.2.2.1 PA 1.1 Process performance process attribute

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

a) *the process achieves its defined process outcomes.*

Table 2 provides details on the generic practice (GP), generic resources (GR) and generic work product (GWP) indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 2 — PA 1.1 Process capability indicators

GP ID	Generic practice	Generic practice indicators
GP 1.1.1	Achieve the process outcomes	— Achieve the intent of the base practices. — Produce work products that provide evidence that the process outcomes have been achieved.
Generic resources for PA 1.1		
Indicators		**Result of achievement**
Resources are used to perform the intent of process specific base practices		a)
Generic work products for PA 1.1		
Indicators		**Result of achievement**
1.00 Object Work products exist that provide evidence of the achievement of the process outcomes.		a)

NOTE The assessment of a performed process is based on process performance indicators, which are defined in 4.3.2.

5.2.3 Process capability level 2: Managed process

The previously described "Performed" process is now implemented in a managed fashion (planned, monitored and adjusted) and its work products are appropriately established, controlled and maintained.

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

5.2.3.1 PA 2.1 Performance management process attribute

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

a) *objectives for the performance of the process are identified;*

b) *performance of the process is planned;*

c) *performance of the process is monitored;*

d) *performance of the process is adjusted to meet plans;*

e) *responsibilities and authorities for performing the process are defined, assigned and communicated;*

f) *personnel performing the process are prepared for executing their responsibilities;*

g) *resources and information necessary for performing the process are identified, made available, allocated and used;*

h) *interfaces between the involved parties are managed to ensure both effective communication and clear assignment of responsibility.*

Table 3 provides details on the generic practice (GP), generic resources (GR) and generic work product (GWP) indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 3 — PA 2.1 Process capability indicators

GP ID	Generic practice	Generic practice indicators
GP 2.1.1	Identify the objectives	— Performance objectives are identified based on process requirements. — The scope of the process performance is defined. — Assumptions and constraints are considered when identifying the performance objectives. NOTE Performance objectives can include: (1) quality of the artifacts produced, (2) process cycle time or frequency, (3) resource usage, (4) boundaries of the process.
GP 2.1.2	Plan and monitor the performance	— Plan(s) for the performance of the process are developed. The process performance cycle is defined. — Key milestones for the performance of the process are established. — Estimates for process performance attributes are determined and maintained. — Process activities and tasks are defined. — Schedule is defined and aligned with the approach to performing the process. — Process work product reviews are planned.
GP 2.1.3	Monitor the performance	— The process is performed according to the plan(s). — Process performance is monitored to ensure planned results are achieved.
GP 2.1.4	Adjust the performance	— Process performance issues are identified. — Appropriate actions are taken when planned results and objectives are not achieved. — The plan(s) are adjusted, as necessary. — Rescheduling is performed as necessary.

Table 3 *(continued)*

GP ID	Generic practice	Generic practice indicators
GP 2.1.5	Define responsibilities and authorities	— Responsibilities, commitments and authorities to perform the process are defined, assigned and communicated. — Responsibilities and authorities to verify process work products are defined and assigned. — The needs for process performance experience, knowledge and skills are defined.
GP 2.1.6	Identify and make available resources	— The human and infrastructure resources necessary for performing the process are identified made available, allocated and used. — The information necessary to perform the process is identified and made available.
GP 2.1.7	Manage the interfaces	— The individuals and groups involved in the process performance are determined. — Responsibilities of the involved parties are assigned. — Interfaces between the involved parties are managed. — Communication is assured between the involved parties. — Communication between the involved parties is effective.

Generic resources for PA 2.1	
Indicators	**Result of achievement**
Human resources with identified objectives, responsibilities and authorities	a), e), f), g), h)
Facilities and infrastructure resources	a), e), g), h)
Planning, management and control tools, including time and cost reporting, shift, off-time rosters	b), c), d)
Workflow management system	e), h)
Email and/or other communication mechanisms	e), h)
Information and/or experience repository	b), c), f), g)
Problem and issue management mechanisms	d)
Generic work products for PA 2.1	
Indicators	**Result of achievement**

Table 3 *(continued)*

GP ID	Generic practice	Generic practice indicators	
3.00 Plan — Defines objectives to perform the processes. — Describes assumptions and constraints considered in defining the objectives. — Includes milestones and timetable to produce the work products of the processes. — Identifies tasks, resources, responsibilities and infrastructure needed to perform the processes. — Considers risks related to fulfill defined objectives. — Identifies stakeholders and communication mechanisms to be used. — Describes how the plan is controlled and adjusted when needed.			a), b), c), d), e), f), g), h)
6.00 Report — Monitors process performance against defined objectives and plans. Identifies deviations in process performance. — Describes results and status of the process. — Provides evidence of management activities.			b), c), d)
9.00 Record — States results achieved or provides evidence of activities performed in a process. — Provides evidence of communication, meetings, reviews and corrective actions. — Contains status information about corrective actions; schedule and work allocation rosters. — Monitors identified risks.			c), d), e), f), g), h)

5.2.3.2 PA 2.2 Work product management process attribute

The work product management process attribute is a measure of the extent to which the work products produced by the process are appropriately managed. As a result of full achievement of this attribute:

a) *requirements for the work products of the process are defined;*

b) *requirements for documentation and control of the work products are defined;*

c) *work products are appropriately identified, documented and controlled;*

d) *work products are reviewed in accordance with planned arrangements and adjusted as necessary to meet the requirements.*

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

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

Table 4 provides details on the generic practice (GP), generic resources (GR) and generic work product (GWP) indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 4 — PA.2.2 Process capability indicators

GP ID	Generic practice	Generic practice indicators
GP 2.2.1	Define the requirements for the work products	— The requirements for the work products to be produced are defined. Requirements can include defining contents and structure. — Quality criteria of the work products are identified. — Appropriate review and approval criteria for the work products are defined.
GP 2.2.2	Define the requirements for documentation and control of the work products	— Requirements for the documentation and control of the work products are defined. Such requirements can include requirements for (1) distribution, (2) identification of work products and their components, (3) traceability. — Dependencies between work products are identified and understood. — Requirements for the approval of work products to be controlled are defined.
GP 2.2.3	Identify, document and control the work products	— The work products to be controlled are identified. — Change control is established for work products. — The work products are documented and controlled in accordance with requirements. — Versions of work products are assigned to product configurations as applicable. — The work products are made available through appropriate access mechanisms. — The revision status of the work products can readily be ascertained.
GP 2.2.4	Review and adjust work products	— Work products are reviewed against the defined requirements in accordance with planned arrangements. — Issues arising from work product reviews are resolved.

Generic resources for PA 2.1	
Indicators	**Result of achievement**
Requirement management method	a), b), c)
Configuration management system	b), c)
Detailed elaboration and support tool	b), c)
Document identification and control procedure	b), c)
Work product review methods and experiences	d)
Review management method/toolset	d)
Intranets, extranets and/or other communication mechanisms	b), c)
Problem and issue management mechanisms	d)

Generic work products for PA 2.2	
Indicators	**Result of achievement**
Object — Demonstrates process specific work products to be managed.	a), b), c), d)

Table 4 *(continued)*

GP ID	Generic practice	Generic practice indicators	
3.00 Plan — Expresses selected policy or strategy to manage work products. — Describes requirements to develop, distribute and maintain the work products. — Defines quality control actions needed to manage the quality of the work product.			b)
5.00 Record — Demonstrates work product reviews and contributes to traceability. — Records the status of documentation or work product. — Contains and makes available work products and/or configuration items. — Supports monitoring of changes to work products. — Describes non-conformance detected during work product reviews. — Provides evidence that the changes are under control.			b), c), d)
8.00 Specification — Defines the functional and non-functional requirements for work products. — Identifies work product dependencies. — Identifies approval criteria for documents. — Defines the attributes associated with the work product to be created.			a), b)

5.2.4 Process capability level 3: Established process

The previously described "Managed" process is now implemented using a defined process capable of achieving its process outcomes.

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

5.2.4.1 PA 3.1 Process definition process attribute

The process definition process attribute is a measure of the extent to which an organizational standard process is maintained to support the deployment of the defined process. As a result of full achievement of this attribute:

a) *an organizational standard process, including appropriate tailoring guidelines, is defined that describes the fundamental elements that must be incorporated into a defined process;*

b) *the sequence and interaction of the organizational standard process with other processes are determined;*

c) *required infrastructure and work environment for performing a process are identified as part of the organizational standard process;*

d) *suitable methods for monitoring the effectiveness and suitability of the process are determined.*

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

Table 5 provides details on the generic practice (GP), generic resources (GR) and generic work product (GWP) indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 5 — PA 3.1 Process capability indicators

GP ID	Generic practice	Generic practice indicators
GP 3.1.1	Define the organizational standard process	— An organizational standard process is developed that includes the fundamental process elements. — The organizational standard process is integrated with the customer infrastructure. — The organizational standard process identifies the deployment needs and deployment context. — Guidance and/or procedures are provided to support implementation of the process as needed. — Appropriate tailoring guideline(s) are available as needed.
GP 3.1.2	Determine the sequence and interaction	— The organizational standard process's sequence and interaction with other processes are determined. — Deployment of the organizational standard process as a defined process maintains integrity of processes.
GP 3.1.3	Identify the roles and competencies	— Process performance roles and period are identified. — Competencies for performing the process are identified.
GP 3.1.4	Identify the required infrastructure and work environment	— Process infrastructure components are identified (facilities, tools, networks, methods, etc.). — Work environment requirements are identified. — Special work environment needs for non-standard working hours are identified.
GP 3.1.5	Determine suitable method and measures	— Methods for monitoring the effectiveness and suitability of the process are determined. — Appropriate criteria and data needed to monitor the effectiveness and suitability of the process are defined. — The need to conduct internal audit and management review is established. — Process changes are implemented to maintain the organizational standard process.

Generic resources for PA 3.1	
Indicators	**Result of achievement**
Process modelling methods/tools	a), b), c), d)
Training material and courses	a), b), c)
Resource management system	b), c)
Process infrastructure	a), b)
Audit and trend analysis tools	d)
Process monitoring method	d)
Process transition method	a), b), c), d)

Generic work products for PA 3.1	
Indicators	**Result of achievement**
Policy — Provides evidence of commitment to maintain an organizational standard process to support the deployment of the defined process.	a), b), c), d)

Table 5 *(continued)*

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

5.2.4.2 PA 3.2 Process deployment process attribute

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

a) *a defined process is transitioned and deployed based upon an appropriately selected and/or tailored organizational standard process;*

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

c) *personnel performing the defined process are competent on the basis of appropriate education, training, and experience;*

d) *required resources and information necessary for performing the defined process are made available, allocated and used;*

e) *required infrastructure and work environment for performing the defined process are made available, managed and maintained;*

f) *appropriate data are collected and analysed as a basis for understanding the behavior of, and to demonstrate the suitability and effectiveness of the process, and to evaluate where continuous improvement of the process can be made.*

Table 6 provides details on the generic practice (GP), generic resources (GR) and generic work product (GWP) indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 6 — PA.3.2 Process capability indicators

GP ID	Generic practice	Generic practice indicators
GP 3.2.1	Deploy a defined process	— The defined process is appropriately selected and/or tailored from the organizational standard process. — Conformance of defined process with organizational standard process requirements is verified.
GP 3.2.2	Assign and communicate roles, responsibilities and authorities	— The roles for performing the defined process are assigned and communicated. — The responsibilities and authorities for performing the defined process are assigned and communicated.
GP 3.2.3	Ensure necessary competencies	— Appropriate competencies for assigned personnel are identified. — Suitable knowledge transfer and training is available for by those deploying the defined process.
GP 3.2..4	Provide resources and information	— Required human resources are made available, allocated and used. — Required information to perform the process is made available, allocated and used.
GP 3.2.5	Provide adequate process infrastructure	— Required infrastructure and work environment is available. — Organizational support to effectively manage and maintain the infrastructure and work environment is available. — Infrastructure and work environment is used and maintained.
GP 3.2.6	Collect and analyse data about performance of the process	— Data required to understand the behavior, suitability and effectiveness of the defined process are identified. — Data are collected and analysed to understand the behavior, suitability and effectiveness of the defined process. — Results of the analysis are used to identify where continual improvement of the organizational standard and/or defined process can be made.

Generic resources for PA 3.2	
Indicators	**Result of achievement**
Feedback mechanisms (customer, staff, other stakeholders)	f)
Process repository	a), b)
Resource management system	b), c), d)
Knowledge management system	d)
Problem and change management system	f)
Working environment and infrastructure	e)

Table 6 *(continued)*

GP ID	Generic practice	Generic practice indicators	
Data collection analysis system			f)
Process assessment framework			f)
Audit/review system			f)
Generic work products for PA 3.2			
Indicators			**Result of achievement**
2.00 Description — Describes the defined process for use by the project. — Describes the verification activities needed to ensure the conformance of the project's defined process with the organization's standard process. — Represents the interactions of the project's defined process with other processes.			a)
3.00 Plan — Expresses the strategy for the organizational support, allocation and use of the process infrastructure. — Describes the project's resources and the elements of the infrastructure needed to deploy the defined process. — Expresses the strategy to satisfy the training need. — Identifies process improvement proposal(s) based on analysis of suitability and effectiveness.			a), b), f)
6.00 Report — Provides results of the analysis, recommended corrective action, feedback to the process owner and to the organization's organizational standard process. — Identifies improvement opportunities of the defined process. — Provides evidence on the suitability and effectiveness of the defined process.			f)
8.00 Specification — Provides evidence that information is made available for performing the defined process.			f)
9.00 Record — Provides evidence that the project personnel possess the required authorities, skills, experience and knowledge. — Provides evidence that project personnel have received the required training to satisfy the needs of the project. — Provides evidence that project infrastructure and working environment are made available and maintained for performing the defined process. — Records the status of required corrective actions. — Captures the work allocation rosters needed to define the tasks and their dependencies. — Provides evidence that information is made available for performing the defined process.			f)

5.2.5 Process capability level 4: Predictable process

The previously described "Established" process now operates within defined limits to achieve its process outcomes. Quantitative management needs are identified, measurement data are collected and analysed to identify assignable causes of variation.

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

5.2.5.1 PA 4.1 Quantitative analysis process attribute

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

a) *process is aligned with quantitative business goals;*

b) *process information needs in support of relevant business goals are established;*

c) *process measurement objectives are derived from identified process information needs;*

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

e) *quantitative objectives for process performance in support of relevant business goals are established;*

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

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

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

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

Table 7 provides details on the generic practice (GP), generic resources (GR) and generic work product (GWP) indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 7 — PA 4.1 Process capability indicators

GP ID	Generic practice	Generic practice indicators
GP 4.1.1	Align the process with quantitative business goals	— Quantitative business goals relevant to the process are identified. — The process supports achievement of the identified business goals.
GP 4.1.2	Identify process information needs	— Business goals relevant to establishing quantitative process measurement objectives for the process are identified. — Process stakeholders are identified and their information needs are defined. — Information needs support the relevant quantitative business goals.
GP 4.1.3	Derive process measurement objectives	— Process measurement objectives to satisfy defined process information needs are defined.
GP 4.1.4	Identify measurable relationships between process elements	— Relationships between process elements are determined. — Measures of process performance are justifiable.
GP 4.1.5	Establish quantitative objectives	— Process performance objectives are defined to explicitly reflect the business and customer goals. — Process performance objectives are defined to explicitly reflect the business and customer goals. — Process performance objectives are verified with customer to be realistic and useful.

Table 7 *(continued)*

GP ID	Generic practice	Generic practice indicators
GP 4.1.6	Identify product and process measures	— Detailed measures are defined to support monitoring, analysis and verification needs of process and customer goals. — Measures to satisfy process measurement and performance objectives are defined. — Frequency of data collection is defined. — Algorithms and methods to create derived measurement results from base measures are defined, as appropriate. — Verification mechanism for base and derived measures is defined.
GP 4.1.7	Collect product and process measurement results	— Data collection mechanism is created for all identified measures. — Required data is collected in an effective and reliable manner. — Measurement results are created from the collected data within defined frequency. — Analysis of measurement results is performed within defined frequency. — Measurement results are validated to confirm that the results fulfil the process information needs. — Measurement results are reported to those responsible for monitoring the extent to which qualitative objectives are met.

Generic resources for PA 4.1	
Indicators	**Result of achievement**
Management information (cost, time, reliability, profitability, customer benefits, risks, etc.)	a), b), c), d), e), f), g)
Applicable measurement techniques	f)
Product and process measurement tools and results databases	f), g)
Measurement framework	d), e), f), g)
Tools for data analysis and measurement	c), d), e), f), g)

Generic work products for PA 4.1	
Indicators	**Result of achievement**
2.00 Description — Defines information needs for the process. — Specifies candidate measures.	a), b), d), f)
3.00 Plan — Defines quantitative objectives for process performance. — Specifies measures for the process. — Defines tasks and schedules to collect and analyse data. — Allocates responsibilities and resources for measurement.	c), e), f)

Table 7 *(continued)*

GP ID	Generic practice	Generic practice indicators	
5.00 Record — Defines data to be collected as specified in plans and measures.			g)
6.00 Report — Provides results of process data analysis to identify process performance parameters. — Monitors process performance based on results of measurement.			g)
8.00 Specification — Describes information needs and performance objectives. — Provides a basis for analysing process performance. — Defines explicit criteria for data validation. — Defines frequency of data collection.			b), c), f)

5.2.5.2 PA 4.2 Quantitative control process attribute

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

a) *techniques for analysing the collected data are selected;*

b) *assignable cause of process variation are determined through analysis of collected data;*

c) *distributions that characterize the performance of the process are established;*

d) *corrective actions are taken to address special causes of variation;*

e) *separate distributions are established (as necessary) for analysing the process under the influence of assignable causes of variation.*

Table 8 provides details on the generic practice (GP), generic resources (GR) and generic work product (GWP) indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 8 — PA.4.2 Process capability indicators

GP ID	Generic practice	Generic practice indicators
GP 4.2.1	Select analysis technique	— Process control analysis methods and techniques are defined. — Selected techniques are validated against process control objectives.
GP 4.2.2	Determine assignable causes of process variation	— Variation in process performance is attributed to a specific, unpredictable cause. — Assignable cause indicates a possible problem in the defined process.
GP 4.2.3	Establish distributions	— Variation in measurement results is used to analyse process performance. — Deviations are analysed to identify potential cause(s) of variation. — Trends of process performance are estimated.

Table 8 *(continued)*

GP ID	Generic practice	Generic practice indicators
GP 4.2.4	Identify and implement corrective actions	— Results are provided to those responsible for taking action. — Corrective actions are determined to address each assignable cause. — Corrective actions are implemented to address assignable causes of variation. — Corrective action results are monitored. — Corrective actions are evaluated to determine their effectiveness.
GP 4.2.5	Establish separate distributions	— Consequences of process variation are analysed. — Distributions are used to quantitatively understand process performance.
Generic resources for PA 4.2		
Indicators		**Result of achievement**
Process control and analysis techniques		a), b)
Statistical analysis tools/applications		b), c), e)
Process control tools/applications		c), d), e)
Generic work products for PA 4.2		
Indicators		**Result of achievement**
2.00 Description — Defines parameters for process control. — Defines and maintains control limits for selected base and derived measurement results.		b), c), e)
3.00 Plan — Defines analysis methods and techniques at detailed level.		a)
6.00 Report — Provides analysed measurement results of process performance. — Identifies corrective actions to address assignable causes of variation. — Ensures that selected techniques are effective and measures are validated.		a), c), d), e)
9.00 Record — Provides measurement data to identify special causes of variation. — Provides information on defects and problems. — Records the changes. — Documents corrective actions to be implemented. — Monitors the status of corrective actions. — Collects the data and provides the basis for analysis, corrective actions and results reporting.		b), c), d), e)

5.2.6 Process capability level 5: Innovating process

The previously described predictable process is continuously improved to respond to organizational change.

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

5.2.6.1 PA 5.1 Process innovation process attribute

The process innovation process attribute is a measure of the extent to which changes to the process are identified from investigations of innovative approaches to the definition and deployment of the process. As a result of full achievement of this attribute:

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

b) *appropriate data are analysed to identify opportunities for innovation;*

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

d) *an implementation strategy is established to achieve process innovation objectives.*

Table 9 provides details on the generic practice (GP), generic resources (GR) and generic work product (GWP) indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 9 — PA.5.1 Process capability indicators

GP ID	Generic practice	Generic practice indicators
GP 5.1.1	Define the process innovation objectives	— Directions to process innovation are set. — New business visions and goals are analysed to give guidance for new process objectives and potential areas of process change. — Quantitative and qualitative process improvement objectives are defined and documented.
GP 5.1.2	Analyse data	— Feedback on opportunities for innovation is actively sought. — Innovation opportunities are identified. — Industry best practices are identified and evaluated.
GP 5.1.3	Identify innovation opportunities	— Impact of new technologies on process performance is identified and evaluated. — Impact of new process concepts is identified and evaluated. — Innovation opportunities are identified. — Emergent risks are considered in identifying innovation opportunities.
GP 5.1.4	Define an implementation strategy	— Commitment to innovation is demonstrated by organizational management and process owner(s). — Proposed process changes are evaluated and piloted to determine their benefits and expected impact on defined business objectives. — Changes are classified and prioritized based on their impact on defined improvement objectives. — Measures that validate the results of process changes are defined to determine expected effectiveness of the process change. — Implementation of the approved change(s) is planned as an integrated programme. — Implementation plan and impact on business goals are discussed and reviewed by organizational management.

Generic resources for PA 5.1	
Indicators	**Result of achievement**
Process improvement framework	a), c), d)
Process feedback and analysis system (measurement data, causal analysis results, etc.)	b)

Table 9 *(continued)*

GP ID	Generic practice	Generic practice indicators	
Piloting and trialing mechanism			b), c)
Generic work products for PA 4.2			
Indicators			**Result of achievement**
2.00 Description — Identifies potential areas of innovation and new technology.			c), d)
3.00 Plan — Defines improvement objectives for the process. — Allocates resources for improvement activities. — Schedules activities for root cause analysis. — Defines an approach to implementing selected innovations. — Identifies scope of pilot innovation activities.			a), d)
5.00 Procedure — Establishes expectations for conduct and evaluation of pilot innovations.			a)
6.00 Report — Identifies potential innovations and process changes.			b), c)
8.00 Specification — Define and maintain business goals. — Provides evidence of management commitment.			a)
9.00 Record — Provides analytical data to identify opportunities for best practice and innovation. — Identifies potential innovation opportunities. — Records information on new technology and techniques.			b)

5.2.6.2 PA 5.2 Process innovation implementation process attribute

The process innovation implementation process attribute is a measure of the extent to which changes to the definition, management and performance of the process achieves the relevant process improvement objectives. As a result of full achievement of this attribute:

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

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

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

Table 10 provides details on the generic practice (GP), generic resources (GR) and generic work product (GWP) indicators that provide guidance on the implementation of the attribute's characteristics to achieve the results as listed above.

Table 10 — PA.5.2 Process capability indicators

GP ID	Generic practice	Generic practice indicators
GP 5.2.1	Assess the impact of each proposed change	— Objective priorities for process innovation are established. — Specified changes are assessed against product quality and process performance requirements and goals. — Impact of changes to other defined and organizational standard processes is considered.
GP 5.2.2	Manage the implementation of agreed changes	— A mechanism is established for incorporating accepted changes into the defined and organizational standard process(es) effectively and completely. — The factors that impact the effectiveness and full deployment of the process change are identified and managed, such as — economic factors (productivity, profit, growth, efficiency, quality, competition, resources and capacity), — human factors (job satisfaction, motivation, morale, conflict/cohesion, goal consensus, participation, training, span of control), — management factors (skills, commitment, leadership, knowledge, ability, organizational culture and risks), and — technology factors (sophistication of system, technical expertise, development methodology, need of new technologies). — Training is provided to users of the process. — Process changes are effectively communicated to all affected parties. — Records of the change implementation are maintained.
GP 5.2.3	Evaluate the effectiveness of process change	— Performance and capability of the changed process are measured and compared with historical data. — A mechanism is available for documenting and reporting analysis results to management and owners of organizational standard and defined process. — Measures are analysed to evaluate the effectiveness of the process change. — Other feedback is recorded, such as opportunities for further innovation of the organizational standard process.

Generic resources for PA 5.2	
Indicators	**Result of achievement**
Change management system	a), b), c)
Process evaluation system (impact analysis, etc.)	a), c)

Generic work products for PA 5.2	
Indicators	**Result of achievement**
2.00 Description — Documents changes as a result of process improvement actions.	b)

Table 10 *(continued)*

GP ID	Generic practice	Generic practice indicators	
3.00 Plan — Defines activities and schedule for pilot change implementation. — Allocates resources for pilot implementation. — Assigns responsibility for pilot implementation. — Defines activities and schedule for organizational implementation of process change. — Allocates resources and responsibilities for organizational implementation. — Specifies scope of pilot implementation of proposed change.			a), b)
6.00 Report — Describes results of pilot implementation of process change. — Evaluates effectiveness of process compared to process innovation objectives. — Provides details on implementation of organizational changes. — Describes proposed changes to organizational standard and defined process.			a), b), c)
8.00 Specification — Specifies measures derived from process improvement objectives.			c)
9.00 Record — Contains records of all completed and in-progress pilot implementations. — Records history of and justification for changes.			b)

Annex A
(informative)

Conformity of the process assessment model

A.1 General

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

This annex serves as the statement of conformance of the process assessment model to the requirements defined in ISO/IEC 33004. For ease of reference, the requirements from ISO/IEC 33004:2015, Clause 6 are embedded verbatim in the text of this annex. They should not be construed as normative elements of this document.

Since this process assessment model has been explicitly constructed to be an elaboration of the process reference model defined in ISO/IEC 30105-1, the conformance claim is relatively simple.

A.2 Requirements for process assessment models

Introduction

> *In order to assure that assessment results are translatable into the intended process measurement framework in a repeatable and reliable manner, process assessment models shall adhere to certain requirements. A process assessment model shall contain a definition of its purpose, scope and elements; its mapping to the process measurement framework and specified process reference model(s); and a mechanism for consistent expression of results.*
>
> [ISO/IEC 33004:2015, 6.1]

The purpose, scope and elements and mapping are covered under introduction, scope and 4.2.

Process assessment model scope

> *Process assessment models are related to one or more process reference models and a process measurement framework. Processes in process assessment model(s) are based on the process descriptions provided in the process reference models; process attributes and process quality levels (if applicable) are derived from a measurement framework.*
>
> *In order to assure that assessment results are translatable into a set of process profiles in a repeatable and reliable manner, process assessment models shall adhere to certain requirements.*
>
> [ISO/IEC 33004:2015, 6.2]

The process scope of this process assessment model is defined in the process reference model specified in ISO/IEC 30105-1 which defines a process reference model satisfying the requirements of ISO/IEC 33004:2015, Clause 5. The process capability scope of this process assessment model is defined in the measurement framework specified in ISO/IEC 30105-3 which defines a measurement framework for process capability satisfying the requirements of ISO/IEC 33003.

Requirements for process assessment models

6.3.1 *A process assessment model shall relate to at least one process from the specified process reference model(s).*

6.3.2 *A process assessment model shall address, for a given process, all, or a continuous subset, of the levels (starting at level 1) of the process measurement framework for process capability for each of the processes within its scope.*

NOTE It would be permissible for a model, for example, to address solely process quality level 1, or to address process quality levels 1, 2 and 3, but it would not be permissible to address process quality levels 2 and 3 without process quality level 1.

6.3.3 *A process assessment model shall declare its scope of coverage in the terms of:*

a) the selected process reference model(s);

b) the selected processes taken from the process reference model(s);

c) the process quality level of the process characteristics selected from the process measurement framework.

[ISO/IEC 33004:2015, 6.3]

This process assessment model is based upon the process reference model defined in ISO/IEC 30105-1, addressing all of the processes identified in Clause 5.

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

Assessment indicators

A process assessment model shall be based on a set of indicators that

a) explicitly addresses the purposes and process outcomes, as defined in the selected process reference model, of all the processes within the scope of the process assessment model; and

b) demonstrates the achievement of the process attributes for the process quality characteristic scopes of the process assessment model.

The assessment indicators generally fall into three types:

a) practices – institutionalized behaviours that support achievement of either the process purpose or a specific process attribute;

b) information items and their characteristics that demonstrate the respective achievements;

c) resources and infrastructure that support the respective achievements.

[ISO/IEC 33004:2015, 6.3.4]

The process assessment model provides a two-dimensional view of process capability for the processes in the process reference model, through the inclusion of assessment indicators as shown in Figure 4 and Figure 6. The assessment indicators used, as shown in Figure 4 are

— base practices and work products, and

— generic practices, generic resources and generic work products.

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

Mapping process assessment models to process reference models

A process assessment model shall provide an explicit mapping from the relevant elements of the process assessment model to the processes of the selected process reference model(s) and to the relevant process attributes of the process measurement framework.

The mapping shall be complete, clear and unambiguous. The mapping of the assessment indicators within the process assessment model shall be to:

a) the purposes and outcomes of the processes in the specified process reference model;

b) the process attributes (including all of the results of process attribute achievements listed for each process attribute) in the process measurement framework.

This enables process assessment models that are structurally different to be related to the same process reference model(s).

[ISO/IEC 33004:2015, 6.3.5]

Each of the processes in this process assessment model is identical in scope to the process defined in the process reference model. Each base practice and work product is cross-referenced to the process outcomes it addresses. All work products relate as inputs or outputs to the process as a whole, see the mappings in Clause 5.

Each of the process assessment indicators in this process assessment model is identical to the process attribute defined in the measurement framework. The generic practices (GPs) address the characteristics from each process attribute. The generic resources and generic work products relate to the process attribute as a whole.

Table A.1 lists the mappings of the GPs to the achievements associated with each process attribute.

Table A.1 — Mapping of generic practices

GP	Practice name	Maps to
PA 1.1 Process performance process attribute		
GP 1.1.1	Achieve the process outcomes.	PA 1.1.a)
PA 2.1 Performance management process attributes		
GP 2.1.1	Identify the objectives for the performance of the process.	PA 2.1.a)
GP 2.1.2	Plan the performance of the process to fulfil the identified objectives.	PA 2.1.b)
GP 2.1.3	Monitor the performance of the process against the plans.	PA 2.1.c)
GP 2.1.4	Adjust the performance of the process.	PA 2.1.d)
GP 2.1.5	Define responsibilities and authorities for performing the process.	PA 2.1.e)
GP 2.1.6	Prepare those performing the process to execute the process.	PA 2.1.f)
GP 2.1.7	Identify and make available resources to perform the process according to plan.	PA 2.1.g)
GP 2.1.8	Manage the interfaces between involved parties.	PA 2.1.h)
PA 2.2 Work product management process attributes		
GP 2.2.1	Define the requirements for the work products.	PA 2.2.a)
GP 2.2.2	Define the requirements for documentation and control of the work products.	PA 2.2.b)
GP 2.2.3	Identify, document and control the work products.	PA 2.2.c)
GP 2.2.4	Review and adjust work products to meet the defined requirements.	PA 2.2.d)
PA 3.1 Process definition process attributes		
GP 3.1.1	Define the standard process that will support the deployment of the defined process.	PA 3.1.a)
GP 3.1.2	Determine the sequence and interaction between processes so that they work as an integrated system of processes.	PA 3.1.b)
GP 3.1.3	Identify the roles and competencies for performing the process.	PA 3.1.c)

Table A.1 *(continued)*

GP	Practice name	Maps to
GP 3.1.4	Identify the required infrastructure and work environment for performing the process.	PA 3.1.d)
GP 3.1.5	Determine suitable methods to monitor the effectiveness and suitability of the process.	PA 3.1.e)
PA 3.2 Process deployment process attributes		
GP 3.2.1	Deploy a defined process that satisfies the context specific requirements of the use of the standard process.	PA 3.2.a)
GP 3.2.2	Assign and communicate roles, responsibilities and authorities for performing the defined process	PA 3.2.b)
GP 3.2.3	Ensure necessary competencies for performing the defined process.	PA 3.2.c)
GP.3.2.4	Provide resources and information to support the performance of the defined process	PA 3.2.d)
GP 3.2.5	Provide process infrastructure to support the performance of the defined process.	PA 3.2.e)
GP 3.2.6	Collect and analyse data about performance of the process to demonstrate its effectiveness and suitability.	PA 3.2.f)
PA 4.1 Quantitative analysis process attributes		
GP 4.1.1	Align the process with quantitative business goals.	PA 4.1.a)
GP 4.1.2	Identify process information needs, in relation with quantitative business goals.	PA 4.1.b)
GP 4.1.3	Derive process measurement objective from process information needs.	PA 4.1.c)
GP 4.1.4	Identify measurable relationships between process elements that contribute to the process performance.	PA 4.1.d)
GP 4.1.5	Establish quantitative objectives for the performance of the defined process, according to the alignment of the process with the business goals.	PA 4.1.e)
GP 4.1.6	Identify product and process measure that support the achievement of the quantitative objectives for process performance.	PA 4.1.f)
GP 4.1.7	Collect product and process measurement results through performing the defined process.	PA 4.1.g)
PA 4.2 Quantitative control process attributes		
GP 4.2.1	Select analysis techniques, appropriate to collected data.	PA 4.2.a)
GP 4.2.2	Determine assignable causes of process variation by analysing the collect data.	PA 4.2.b)
GP 4.2.3	Establish distributions that characterize the process performance.	PA 4.2.c)
GP 4.2.4	Identify and implement corrective actions to address assignable causes.	PA 4.2.d)
GP 4.2.5	Establish separate distributions for analysing the process under the influence of assignable causes of variation.	PA 4.2.e)
PA 5.1 Process innovation process attributes		
GP 5.1.1	Define the process innovation objectives for the process that support the relevant business goals.	PA 5.1.a)
GP 5.1.2	Analyse data of the process to identify opportunities for best practices and innovation.	PA 5.1.b)
GP 5.1.3	Identify innovation opportunities of the process from new technologies and process concepts.	PA 5.1.c)
GP 5.1.4	Derive an implementation strategy based on long-term innovation vision and objectives.	PA 5.1.d)
PA 5.2 Process innovation implementation attributes		
GP 5.2.1	Assess the impact of each proposed change against the objectives of the defined and standard process.	PA 5.2.a)
GP 5.2.2	Manage the implementation of agreed changes to selected areas of the defined and standard process according to the implementation strategy.	PA 5.2.b)
GP 5.2.3	Evaluate the effectiveness of process change on the basis of actual performance against process objectives and business goals.	PA 5.2.c)

Annex B
(informative)

Work product characteristics

B.1 Introduction to work product characteristics

Work product characteristics listed in this annex can be used when reviewing potential inputs and outputs of process implementation. The characteristics are provided as guidance for the assessment indicators to look for, in a particular sample work product, to provide objective evidence supporting the assessment of a particular process. A documented process and assessor judgment is needed to ensure that the process context (application domain, business purpose, development methodology, size of the organization, etc.) is considered when using this information. Work products are defined using the schema in Table B.1, which is based on the approach defined in ISO/IEC/IEEE 15289. Work products and their characteristics should be considered as a starting point for considering whether, given the context, they are contributing to the intended purpose of the process, not as a checklist of what every organization must have.

Table B.1 — Work product identification

Work product identifier #	An identifier number for the work product which is used to reference the work product.
Work product name	Provides an example of a typical name associated with the work product characteristics. This name is provided as an identifier of the type of work product the practice or process might produce. Organizations can call these work products by different names. The name of the work product in the organization is not significant. Similarly, organizations can have several equivalent work products which contain the characteristics defined in one work product type. The formats for the work products can vary. It is up to the assessor and the organizational unit coordinator to map the actual work products produced in their organization to the examples given here.
Work product characteristics	Provides examples of the potential characteristics associated with the work product types. The assessor can look for these in the samples provided by the organizational unit.

B.2 Generic work products (GWPs)

The generic work product indicators are sets of characteristics that would be expected to be evident in work products of generic types as a result of achievement of an attribute. The generic work products form the basis for the classification of the work products defined as process performance indicators. These work product types are basic input types to process owners of all types of processes.

NOTE The set of generic work product classes including its descriptions and typical characteristics is derived from ISO/IEC/IEEE 15289.

WPID	Generic work product class	Generic work product description	Generic work product typical characteristics
1.00	Object	An entity created to serve a purpose, or created in the course of serving that purpose. Its existence is observable and rationalized by its material or behavioral characteristics. It can exist as a complete, partial or exemplifying realization of a product, be a subordinate part of a product, be a by-product or be a part of an enabling system.	Identity, name of object. Purpose, value that caused its creation. Ownership and responsibility for object — status, state and classification of object. Distinguishing observable qualities and properties. Functional and behavioral characteristics. Dimensional and parametric characteristics. Relationship with and dependencies on surroundings. Observable interactions or effects on other objects. Interfaces, connections to surroundings. Location, position in surroundings. Safety, security, privacy and environmental regulations.
2.00	Description	Represent a planned or actual context of use, function, design, service, or item. NOTE A description of something that is required is a specification.	Object, subject or class represented. Purpose and applicability of description. Concerned parties, viewpoints, views. Range of use, and validity of description. Accuracy, detail and abstraction level. Model dimensions, degrees of freedom. Description language, notation, nomenclature. Applicable standards, formats and styles. Representations of function, attributes, properties. Descriptions of architecture, arrangement, interfaces: — depiction of composition or form; — definition of classification, category, ranking and type.

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

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

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

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

B.3 Work products (WPs) and Generic work products (GWPs)

Work products are typically created by process owners and applied by process practitioners in order to satisfy an outcome of a particular process.

WP ID	Work products	Characteristics	ID [Outcome]
1.01	Auditor list	— Identifies the professionals from multiple domains/processes available for auditing, including their experience and qualifications. — Identifies any auditor training required. — Lists the available auditors and scope of audits to be covered from multiple domains.	TEN6 [Outcome b)]
1.02	Contract	— Defines the contract terms. Establishes the warranties/guarantees, risks and liabilities, and insurance. Captures the delivery scope. — Defines the terms of verification and acceptance. — Defines regulatory obligations, conformance and certifications required. — Defines the duration and schedule for delivery. — Defines the performance measures, targets, reporting and review mechanisms. — Defines the payments made and penalties. — Defines authorization levels. Is agreed between both parties. — Specifies conditions/constraints, contract duration and review/change control mechanisms. — Can include service credits and penalties based on defined criteria.	RLS1 [Outcome b), f)] SLN2 [Outcome b), c), f), g), h)] TRN1 [Outcome c), g), i)] TRN2 [Outcome a), b), c)] TRN3 [Outcome a), b), d)] TRN4 [Outcome a)] TRN5 [Outcome f), g), h)] TRN6 [Outcome a), i)] SDL2 [Outcome a)] SDL3 [Outcome a), b)] SDL4 [Outcome e)] TRO1 [Outcome a), b), c), d), f), h), j)] TEN7 [Outcome a)] TEN5 [Outcome a), b)] TEN2 [Outcome a), d)] OEN2 [Outcome a)] OEN4 [Outcome b), d)] OEN6 [Outcome b), c)]
1.03	Contract obligation mapping	— Identifies activities and performance to be achieved to meet each contractual obligation. — Identifies accountable owners for each of the identified obligations. — Provides clarity of roles and responsibilities of each individual. — Provides a baseline for measuring performance of each contracting party.	SLN2 [Outcome a), b), d), e), i)]
1.04	Deployable resources list	— Identifies the resource pool available for service delivery. — Identifies the resource with skill sets mandated by the customer. — Identifies whether the induction training is provided within the transition timelines. — Identifies the training needs for skill set enhancement to meet service delivery requirements.	TRN1 [Outcome b), c), d), e), g)] SDL1 [Outcome a)] TRO1 [Outcome c), d)]

WP ID	Work products	Characteristics	ID [Outcome]
1.05	Invoice	— Identifies the cost of service provision to be recovered based on contractual terms.	TEN2 [Outcome e), f)]
1.06	Service performance report templates	— Describes format and contents required for service delivery performance reporting. — Describes timeliness, compliance with reporting process and accuracy. — Describes data sources.	SDL2 [Outcome a), b), e)]
1.07	Stakeholder list	— Identifies all entities playing a key role in the success of an activity, and it is reviewed and updated periodically. — Determines the primary and secondary stakeholders.	SEN1 [Outcome b)] SLN1 [Outcome d)] TRO1 [Outcome e), f)] TEN4 [Outcome b)] OEN7 [Outcome b)] TEN8 [Outcome f)]
1.08	Supplier key contacts	— Contains name of supplier, contact and other information. — Provides governance structure. — Contains details of specific units, sub-functions and responsibilities of contacts	RLS2 [Outcome b)]
1.09	Supplier shortlist	— Identifies the preferred suppliers for selection process based on the evaluation against selection criteria.	RLS2 [Outcome a)]
1.10	Trained and skilled resources list	— Identifies the available resources with the required knowledge and skills to delivery service.	TRN4 [Outcome d)]
1.11	Training needs analysis	— Determines organizational training needs. — Enhances employee morale and organizational performance. — Considers current skills, competencies and performance. — Identifies the type and level of training required. — Anticipates future shortfalls or problems. — Influences overall effectiveness of training.	TRN1 [Outcome e), f)] SDL1 [Outcome a)]
2.01	Business case	— Identifies strengths and weaknesses of alternative options for the organization. — Identifies options for adoption and deployment. — Compares benefits and costs of the identified options. — Enables decision-making.	SEN1 [Outcome a), c)]
2.02	Delivery organization chart	— Describes the structure of an organization, the relationships and hierarchy. — Identifies roles and named individuals assigned to roles.	TRN1 [Outcome i)] TRN4 [Outcome a), b)] SDL1 [Outcome a)] TEN5 [Outcome a), b), c), d), f), h)]
2.03	Escalation matrix	— Defines the authority levels for hierarchical or functional escalation. — Provides the details for up to 3 levels of contacts who can be contacted if not satisfied with first point contact.	OEN5 [Outcome e), f)] OEN6 [Outcome h)] OEN7 [Outcome c)]

WP ID	Work products	Characteristics	ID [Outcome]
2.04	Office facilities inventory	— Describes the space to serve a specific function including: building structure for service delivery; utility services; heating, ventilation and air conditioning; energy and power; facility maintenance; desks, chairs, telephones; office equipment.	TRN3 [Outcome c), d)] TEN5 [Outcome a), c), e), g)]
2.05	Skills framework	— Identifies skills required for executing the process or function. — Supports recruitment of resources. — Lists training or qualifications required by skill or skill level. — Identifies skills requiring customer verification and approval. — Identifies scope for continual professional development.	TRN1 [Outcome a), b), c), e), f)] SDL1 [Outcome a)]
2.06	Training material	— Provides awareness on the relevancy and importance of activities. — Describes the objectives for delivering processes, activities or services. — Instructs to provide knowledge or skills to undertake an activity or role.	TRN1 [Outcome e)] TRN4 [Outcome d)] SDL1 [Outcome a)] OEN2 [Outcome e), f), g)] OEN3 [Outcome a), e)]
3.01	Asset transfer plan	— Describes the details of assets to be transferred during transition out. — Provides details of movable and immovable assets which belong to the organization. — Provides details of assets along with the original cost and the current value after depreciation/ appreciation.	TRO1 [Outcome d), f), g)]
3.02	Audit plan	— Identifies the scope of an audit. — Identifies the list of auditors and the point of contact as an auditee. — Defines the timeline for an audit. — Identifies the required auditor knowledge and experience.	TEN6 [Outcome a), b), c)]
3.03	Audit schedule	— Identifies the scope of audits over a timeline, e.g. year as determined by senior management based on business requirements and performance. — Details the processes or functions to be audited and assigned auditors. — Identifies the timeline planned to complete the audits. — Schedules the management meetings following an audit to review findings.	TEN6 [Outcome a), c)]
3.04	Budget	— Identifies scope of budget planning and allocation of budget against planned activities over defined timeframe. — Defines breakdown in allocation of budget within activities, including by resource or work breakdown structure	TEN2 [Outcome b)] TEN8 [Outcome a), b)] SEN2 [Outcome c)]

WP ID	Work products	Characteristics	ID [Outcome]
3.05	Business continuity maintenance schedule	— Schedules key activities to maintain the BCP. — Defines contact list periodically for reviews of contact information. — Initiates periodic reviews of all business continuity plans.	TEN5 [Outcome a), b)]
3.06	Business continuity plan (BCP)	— Defines plans to ensure continuity of business during any disruption. — Consists of an impact analysis, threat analysis, and impact scenarios with the resulting BCP plan requirement and recovery documentation. — Is regularly reviewed and maintained to reflect changes to services, environment, requirements, personnel, etc.	TEN5 [Outcome a), e), g), h), j)]
3.07	Business continuity test schedule	— Defines planned schedule of regular BCP and/or DR tests to assess accuracy and response times. — Schedules tests in line with BCP requirements.	TEN5 [Outcome a), b)]
3.08	Business continuity training plan	— Ensures employees are trained and aware of their role in the BCP and its implementation. — Update periodically to reflect and respond to changes in the process.	TEN5 [Outcome h)]
3.09	Business Plan	— Defines a long-term plan of action designed to achieve a particular business goal or set of goals or objectives. — Communicates the direction a business will pursue and the steps it will take to achieve its goals	SEN1 [Outcome a)] TEN1 [Outcome a), b)]
3.10	Calibration plan	— Defines the scope and frequency of calibration to ensure consistency of evaluation. — Defines the requirements of customer and the acceptable limits. — Details the process flow and procedure of activities. — Defines the calibration criteria.	OEN1 [Outcome c)]
3.11	Change build and implementation plan	— Defines the activities and schedule for building and testing change. — Documents the change implementation and deployment approach and schedule.	TEN3 [Outcome d), f), h)]
3.12	Change back out plan	— Defines success criteria for changes. — Defines timelines for reversing a change that is unsuccessful. — Defines restoration method to previous or best state of process.	TEN3 [Outcome g)]
3.13	Change/release schedule	— Provides the agreed implementation schedule of changes. — Provides the approval changes details and deployment details. — Details the schedule of planned changes to stakeholders. — Communicates the implementation schedule for changes to stakeholders.	TEN3 [Outcome d), e)]

WP ID	Work products	Characteristics	ID [Outcome]
3.14	Communication plan	— Identifies the target stakeholders. — Identifies timeframe or frequency for communications. — Identifies desired outcomes. — Defines the appropriate communication approach and channels for delivery of messages. — Defines who will be responsible for delivery of communications. — Identifies key contents for communication messages. — Is regularly maintained to reflect latest stakeholders and business communications needs and approaches.	TEN6 [Outcome e)] TRN5 [Outcome g)] SDL3 [Outcome e)] SDL4 [Outcome f)] TRO1 [Outcome i), j)] TEN3 [Outcome e)] TEN5 [Outcome b), f), i)] TEN8 [Outcome e)] OEN2 [Outcome f), g)] OEN5 [Outcome e), h)] RLS1 [Outcome b), c), e)] SDL1 [Outcome e)] SDL2 [Outcome c), d)] SEN2 [Outcome e), f)]
3.15	Compliance assessment/audit plan	— Defines the frequency of compliance audits across all service levels/processes in an organization. — Identifies the timelines for each audit and target area.	OEN3 [Outcome c), d)]
3.16	Compliance awareness plan	— Defines the importance of compliance in an organization. — Defines a training plan for awareness programme for employees. — Describes the methods used to monitor the compliance.	OEN3 [Outcome a)]
3.17	Continual professional development plan	— Identifies skill development required for an individual to meet service/process delivery requirements. — Identifies personal development needs. — Provides a plan for individual continual professional development. — Tracks progress against planned professional development.	TRN1 [Outcome f)] OEN4 [Outcome c), e), g), i)]
3.18	Department/unit implementation plans	— Consists of a series of implementation plans to deploy the strategic plan across each area of the organization. — Defines the plan to move department/business unit(s) from present state to a desired future state. Factors to be considered include: size of the unit; types of ITES-BPO services delivered; physical location; market areas; competitiveness; economic trends.	SEN1 [Outcome c), d)] TEN1 [Outcome a), b)]
3.19	Disaster recovery plan	— Defines the disaster recovery procedures. — Describes the alternative means of operation of critical process during a declared disaster.	TEN5 [Outcome b), d), e), g), h), j)]
3.20	Facilities plan	— Describes the special working arrangements during disaster recovery.	TRN3 [Outcome c)]

WP ID	Work products	Characteristics	ID [Outcome]
3.21	Financial plan	— Defines the capital requirements. — Defines policies and procedures in relation to procurement, investment, change control and administration of budget. — Defines the projected budget for the duration of the contract, the charging mechanism and recovery of funds, and expected profits. — Defines structure of budget by cost types at level required for financial management and billing.	TEN2 [Outcome a), b), c), g)]
3.22	Governance plan	— Identifies the reports to be produced, their purpose, high-level contents, distribution and frequencies. — Identifies the schedule of governance, management and performance reviews, including for each review purpose, attendees and frequency. — Identifies approach to management of actions and escalations for any deviations.	SLN1 [Outcome a)] TRN5 [Outcome g)]
3.23	Improvement plan	— Defines prioritization of improvements aligned with the business goals. — Describes improvement scope and expected outcomes. — Captures costs and benefits. — Defines schedule, resources and timescales for improvement.	TEN8 [Outcome b), g)]
3.24	Induction programme	— Identifies induction training schedule. — Identifies scope of induction training. — Identifies skill sets to be addressed. — Identifies the target delivery organization. — Identifies the induction material. — Identifies assigned trainers.	TRN1 [Outcome d)]
3.25	Induction programme outline	— Identifies induction training timelines. — Identifies scope of induction training. — Identifies knowledge and skill sets that the induction training needs to cover. — Identifies the delivery organization resources required to attend. — Identifies resources responsible for the execution of programme elements.	TRN1 [Outcome d), e), h)]
3.26	Information security awareness plan	— Defines the importance of information security in an organization. — Details the individuals responsible for the Information security awareness programme. — Details the sensitivity of information and the criticality of applications, systems and processes. — Defines a training plan for employee awareness. — Describes the methods used to monitor compliance to the security policy.	OEN2 [Outcome d), e), g)]

WP ID	Work products	Characteristics	ID [Outcome]
3.27	Innovation roadmap	— Identifies the long-term plan to achieve the innovation goals. — Identifies key milestones and targets.	SEN2 [Outcome a), g)]
3.28	Knowledge management plan	— Ensures knowledge for a defined service element, e.g. process or function, is retained and maintained. — Requires regular review and update, incorporating any process change or improvements. — Conducts regular audits on adherence to the process to identify any knowledge gaps, training required or improved/changed working practices.	TEN4 [Outcome a), b), c)]
3.29	Knowledge transfer plan	— Identifies knowledge transfer goals/requirements. — Identifies the specific plan for training technical personnel and end users. — Defines a strategy for providing training through the transition project to ensure the training goals are achieved. — Identifies tasks, deliverables, resources, tools and training effort required. — Defines measurement for knowledge transfer effectiveness. — Describes the deliverables to support initial and ongoing training including user manuals, system manuals, online help and training materials for technical/non-technical personnel. — Defines knowledge transfer for: business and process knowledge; operational/procedural knowledge of business process; operation, modification or configuration of systems/tools.	TRN4 [Outcome b)] TRO1 [Outcome e)] TEN4 [Outcome c), d)]
3.30	Non-technology requirements and fulfilment plan	— Identifies non-technology requirements in accordance with service delivery and transition plan. — Identifies the timeframe for implementing non-technology infrastructure. — Identifies plan of activities to be carried out. — Provides a baseline for monitoring for deviations in timelines enabling corrective actions.	TRN3 [Outcome a), b), c)]
3.31	Pilot plan	— Defines pilot project scope, activities and timeframe. — Describes required resources. — Describes impact of failure. — Identifies the acceptance criteria for a successful pilot. — Describes any risk or issues relating to pilot plan execution. — Describes performance measures for the pilot.	TRN6 [Outcome a), b), c), d), e), f), g), h), i)]

WP ID	Work products	Characteristics	ID [Outcome]
3.32	Process documentation plan	— Defines the activities/tasks and timescales to establish the required process documentation. — Provides task descriptions. — Defines the processes and level of documentation required based on the intended audience. — Describes any requirements to meet local standards or for translation into other languages. — Describes the resources required to deliver the plan. — Identifies the key milestones and the deliverables planned for each milestone. — Describes the approval process and identifies who will be responsible for approving the plan and deliverables.	TRN4 [Outcome b)] SDL4 [Outcome a)]
3.33	Ramp down plan	— Describes a resource reduction plan in phase manner.	TRO1 [Outcome e), f), g), h)]
3.34	Resource forecast	— Identifies the demand for the resources and required skills over defined timelines. — Identifies any deviation between the forecast and the actuals. — Identifies the number of resources and skills to be recruited. — Monitors whether supply has met the demand.	TRN1 [Outcome a), b), d), f)] TRN4 [Outcome a)]
3.35	Retention plan	— Identifies the tangible and intangible measures to retain resources. — Focuses on key employees to ensure they are retained. — Documents the primary reasons for attrition and required actions to retain existing employees.	OEN4 [Outcome c), d)]
3.36	Risk mitigation plan	— Describes risk identification, risk impact assessment and risk prioritization analysis. — Describes risk mitigation planning — Tracks implementation and monitors progress against plan.	TEN7 [Outcome e), f)]
3.37	Roadmap	— Describes the approach to achieve the organization's objectives and goals. — Defines activities to be performed based on a clear timeline.	SEN1 [Outcome d)] TEN1 [Outcome a), b)]
3.38	Service delivery plan	— Defines delivery objectives. — Identifies lowest and highest performance boundaries. — Describes service delivery performance metrics. — Identifies service delivery targets as agreed with customer.	TRN5 [Outcome a), b), c), d), e)] TRN6 [Outcome b), c), d), e), f), g), h), i)] SDL1 [Outcome b), c), f)] SDL2 [Outcome a)] SDL3 [Outcome a), b), c)] SDL4 [Outcome a), b), c)]

WP ID	Work products	Characteristics	ID [Outcome]
3.39	Strategic plan	— Defines priorities, focus and resources for organization. — Communicates direction within an organization. — Ensures employees and stakeholders have common goals and understanding. — Is regularly reviewed and maintained to align to changing environments.	SEN1 [Outcome a)] SEN2 [Outcome a), b), g)] TEN1 [Outcome a), b)]
3.40	Technology requirements and fulfilment plan	— Identifies technology requirements in accordance with service delivery and transition plan. — Identifies the time frame for implementing technology infrastructure. — Identifies planned activities to deliver the requirements. — Provides a baseline for monitoring for deviations in timelines or against requirements enabling corrective actions.	TRN2 [Outcome a), b)] OEN5 [Outcome a), b), c), i)]
3.41	Transaction monitoring plan	— Defines monitoring plan and frequency to assure transaction quality. — Identifies process complexity and criticality.	OEN1 [Outcome d)]
3.42	Transition out plan	— Defines the schedule of transition activities relating to transition out of processes from the service provider to a different service provider or back to the customer. — Provides a baseline to measure transition timelines. — Identifies the sequence and dependencies for transition activities. — Documents the roles and responsibilities of key stakeholders in transition.	TRO1 [Outcome a), b), e), f), g), h), i)]
3.43	Transition plan	— Defines the schedule of transition activities relating to transition in of processes from the customer or a different service provider to the current service provider. — Defines the schedule of transition activities. — Provides a baseline to measure transition timelines. — Identifies the sequence and dependencies for transition activities. — Documents the roles and responsibilities of key stakeholders in transition.	SLN1 [Outcome b), c), d)] TRN1 [Outcome a), d), h), i)] TRN2 [Outcome a), b)] TRN3 [Outcome a), b), c), d)] TRN4 [Outcome a), b)] TRN5 [Outcome a), b), c), d), e)] TRN6 [Outcome b), c), d), e), f), g), h), i)]
3.44	Verification strategy	— Describes the verification activities needed to ensure the conformance of the services. — Defines verification mechanism for base and derived measures.	OEN1 [Outcome a), b), g)]
3.45	Work schedule	— Schedules operational workloads. Allocates operational activities and responsibilities. — Identifies operational resource requirements and availability for capacity planning. — Defines working and break times.	SDL1 [Outcome b)]

WP ID	Work products	Characteristics	ID [Outcome]
4.01	Contract policy	— Provides principles for executing contracts. — Identifies contract management activities to be practiced by an organization. — Provides a minimum list of clauses to be covered in a contract. — Provides guidance for creating mutually tenable contracts.	SLN2 [Outcome c), d), e), h)]
4.02	Information security policy	— Describes the system which keeps the confidential information secured. — Describes the system which protects from unauthorized modification.	OEN2 [Outcome a), h)]
4.03	Innovation deployment strategy	— Identifies the resource with skill sets required to deliver the innovation. — Identifies any training requirements and plans. — Identifies the deployment approach. — Identifies the deployment plan for each area. — Identifies deployment governance.	SEN2 [Outcome b), c), d), e)]
4.04	Knowledge policy	— Describes the classification of knowledge assets. — Describe the procedures to maintain and control the knowledge assets.	TEN4 [Outcome a), e)]
5.01	As-is process documentation	— Defines the business goals and the desired outcomes and objectives for process. — Describes the structure of the process framework identifying the process portfolio. — Defines the workflow of activities. — Identifies roles within the process. — Identifies metrics and baselines to enable assessment of process performance	TRN4 [Outcome a), b), c), d)]
5.02	Calibration process	— Describes the tolerances for all calibrations. — All calibrations should be performed in a way that is traceable to a recognized standard.	OEN1 [Outcome c), g)]
5.03	Current process maps	— Describes the objectives and scope of each process. — Provides the logical flow of the process with key inputs and outputs. — Provides clarity of the process at a micro level. — Identifies the key roles and functions involved in the process. — Identifies any exceptions in the process. Identifies critical areas and also bottleneck areas in the process. — Identifies performance measurement and targets for the process.	SLN1 [Outcome c)]