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

**Part 3:
Measurement framework (MF) and
organization maturity model (OMM)**

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

*Partie 3: Modèle de maturité de l'organisation (OMM) et cadre de
mesure (MF)*

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Foreword

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

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

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

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

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: www.iso.org/iso/foreword.html.

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

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

Introduction

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

ISO/IEC 30105 (all parts) specifies the lifecycle 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 clear return on investment for customers and service providers.
- Alignment to ISO/IEC 30105 (all parts) can improve consistency, delivery quality and predictability in delivery of services.

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

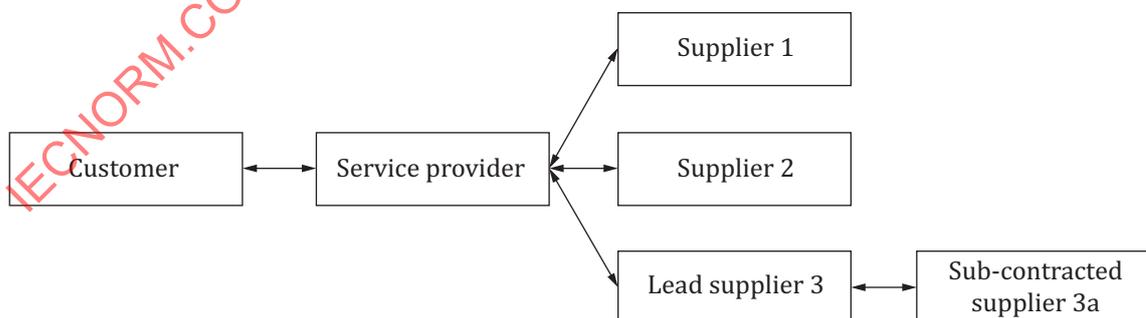


Figure 1 — ITES-BPO key entities

This document details a measurement framework (MF) and an organization maturity model (OMM). It provides the overview of how an organization can use the PRM and PAM to measure their capability and maturity levels.

ISO/IEC 30105-3:2016(E)

This document is to be used in concurrence with the other parts of ISO/IEC 30105 and the assessment approach provided by ISO/IEC 33002 for assessing processes.

In this document, the following clauses of ISO/IEC 33020 have been replicated:

- Clause 5: Measurement framework;
- Clause 6: Extract of selected parts of rating and aggregating process attributes;
- Clause 7: Capability level model.

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

Part 3:

Measurement framework (MF) and organization maturity model (OMM)

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 measurement framework for processes and provide an organization maturity model for organizations providing ITES-BPO services that:
 - conforms to the requirements of ISO/IEC 33003 and ISO/IEC 33004;
 - supports the performance assessment by providing a framework to measure and derive capability and organization maturity levels.

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 33002, *Information technology — Process assessment — Requirements for performing process assessment*

ISO/IEC 33003, *Information technology — Process assessment — Requirements for process measurement frameworks*

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

ISO/IEC 33020:2015, *Information technology — Process assessment — Process measurement framework for assessment of process capability*

ISO/IEC 30105-2:2016, *Information technology — IT Enabled Services-Business Process Outsourcing (ITES-BPO) lifecycle processes — Part 2: Process assessment model*

3 Terms and definitions

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

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

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

NOTE For the purposes of this document, the definition for organization is as per ISO 9000:2015, 3.2.1 “a group of people and facilities with an arrangement of responsibilities, authorities and relationships”.

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

An organization’s unit is typically part of a larger organization, although in a small organization, the organization’s unit may be the whole organization.

4 Overview of measurement framework (MF) and organization maturity model (OMM)

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.

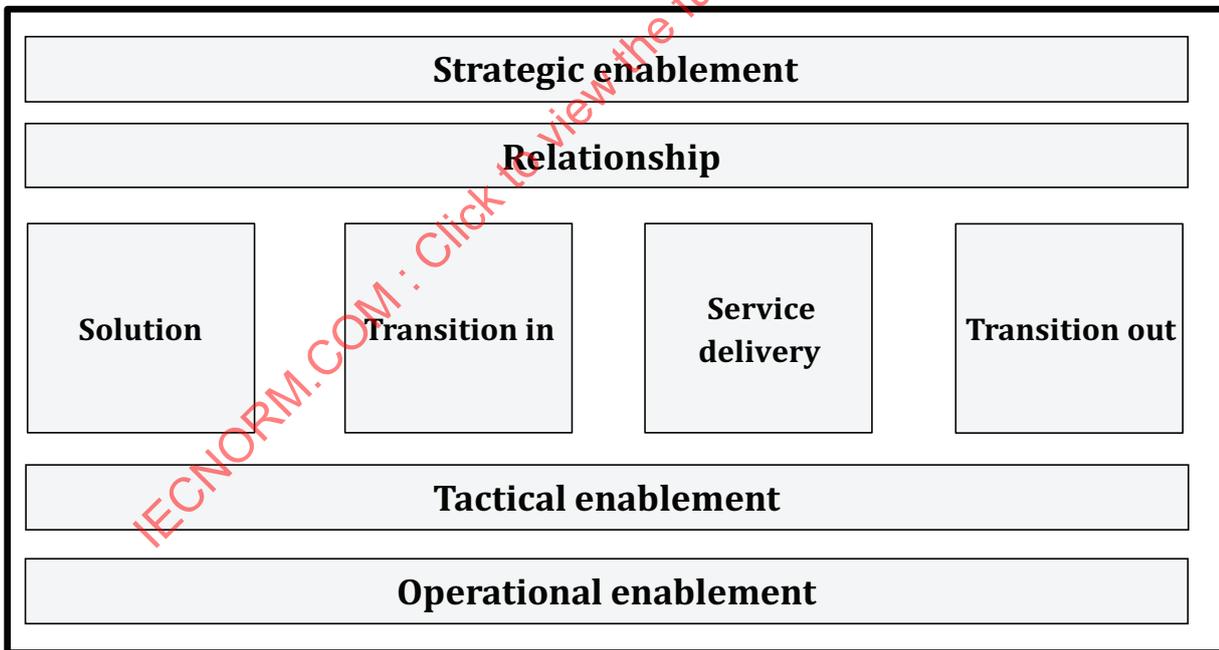


Figure 2 — ITES-BPO lifecycle process categories

The ITES-BPO process categories are as follows.

- **Strategic enablement processes:** include strategic direction and review of the business performance against plan for the service provider organization and Innovation process to bring in breakthrough changes.

- **Relationship processes:** cover the relationship of the service provider with the customer and the suppliers.
- **Solution processes:** include details on how the ITES-BPO solution is envisaged and the contract developed and managed.
- **Transition in processes:** cover the movement of business process delivery from the customer to the service provider, establishing the required management, people and infrastructure capability, and concluding with piloting the transitioned service.
- **Service delivery processes:** include all the processes that are required for the day to day management and delivery of ITES-BPO services.
- **Transition out process:** covers the movement of the business process delivery back to the customer or to a different service provider.
- **Tactical enablement processes:** involve a set of processes that enables achievement of the objective of the core service delivery processes. These are tactical in nature.
- **Operational enablement processes:** involve a set of processes that ensures day to day operations of service delivery are supported and are performed alongside the service delivery processes.

The diagram in [Figure 3](#) provides the relationship between the parts in ISO/IEC 30105 and with the assessment methods in ISO/IEC 33002, ISO/IEC 33004 and ISO/IEC 33020.

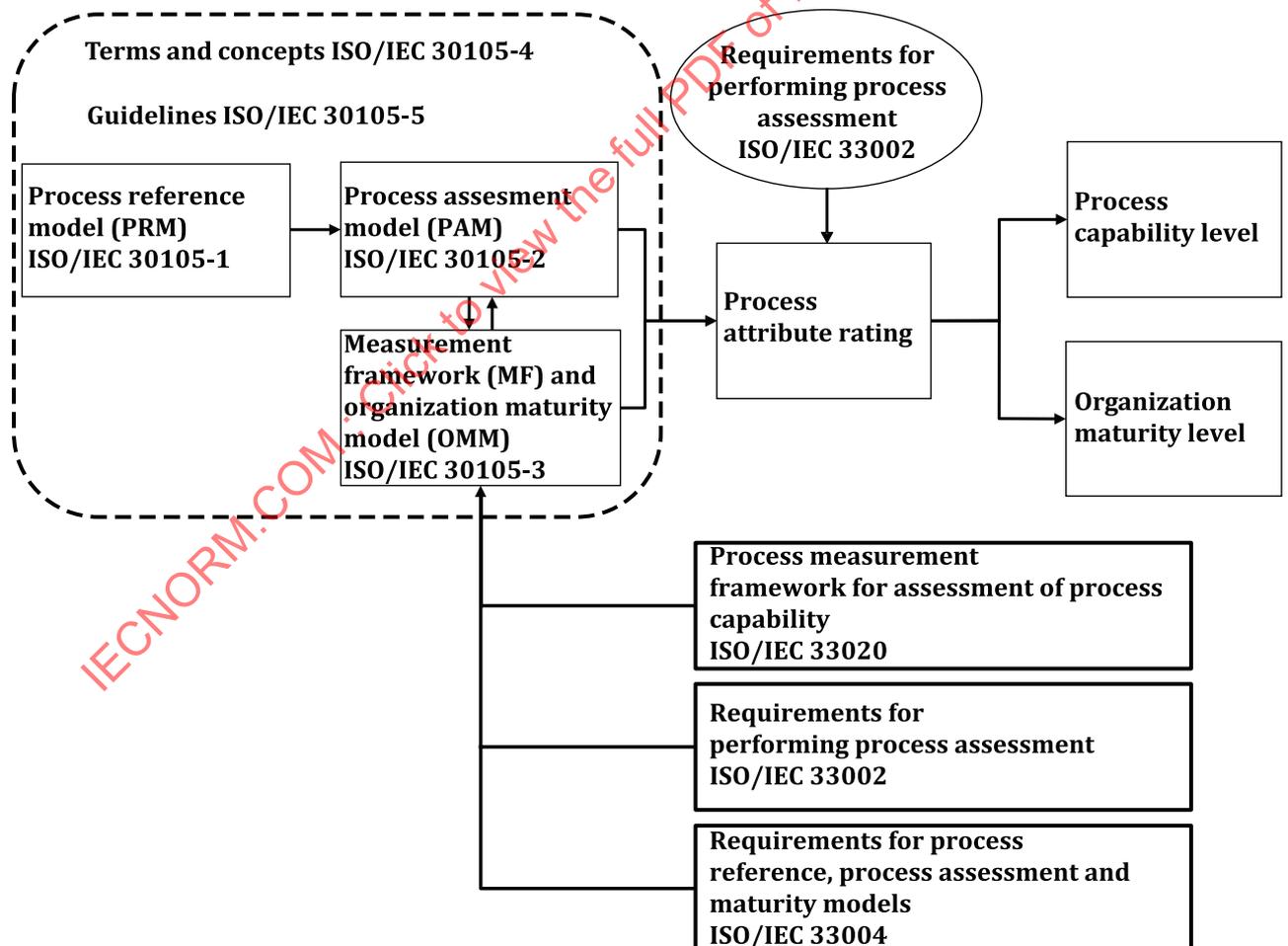


Figure 3 — Overview of MF and OMM

This document defines the principles for the ITES-BPO measurement framework which supports the assessment of process capability, in accordance with the requirements of ISO/IEC 33003. The measurement framework provides a schema that can be used to construct a process assessment model conformant with ISO/IEC 33004 which can be used to assess process capability according to the requirements of ISO/IEC 33002. Process capability is a process quality characteristic related to the ability of a process to consistently meet current or projected business goals. The capability level rating does not guarantee that an organization will perform its processes at any given process capability level, simply that it is capable of performing its processes at that level.

This measurement framework forms a structure that:

- a) facilitates self-assessment,
- b) provides a basis for use in process improvement and process quality determination;
- c) is applicable across all business domains and sizes of organization;
- d) produces a set of process (capability) attribute ratings (process profile); and
- e) derives a process capability level.

This document defines the principles for the ITES-BPO organization maturity model which supports the assessment of organization maturity, in accordance with the requirements of ISO/IEC 33004.

5 ITES-BPO measurement framework (MF) for process capability

[Clause 5](#) describes the measurement framework to be employed for the assessment of process capability in the ITES-BPO domain. The measurement framework elements are defined in ISO/IEC 33020:2015, Clause 5. It defines a six-point ordinal scale for the assessment of process capability, defined as the characterization of the ability of a process to meet current or projected business goals.

The process capability measurement framework described in this document is expressed in terms of a set of process attributes. *Each process attribute is defined in terms of a set of process attribute outcomes which can be evaluated to indicate the extent of achievement of the process attribute. The process attributes are organised into process capability levels, ranging from Incomplete (in which the process does not achieve its defined process outcomes) to Innovating (in which the process is continually improved to respond to organization's change).*

Each process attribute is defined in terms of a set of process attribute outcomes which can be evaluated to indicate the extent of achievement of the process attribute. The process attributes are organised into process capability levels, ranging from Incomplete (in which the process does not achieve its defined process outcomes) to Innovating (in which the process is continually improved to respond to organization's change).

The set of process capability levels and process attributes that comprise the Measurement Framework are as follows.

Table 1 — Capability levels and process attributes

<i>Process attribute ID</i>	<i>Capability levels and process attributes</i>
	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

Table 1 (continued)

Process attribute ID	Capability levels and process attributes
PA 3.2	Process deployment
	Level 4: Predictable process
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

Detailed definitions for all of the process capability levels and process attributes are contained in ISO/IEC 33020:2015, 5.2 and are also set out in ISO/IEC 30105-2:—, Clause 6, together with the relevant process capability indicators.

The extent of process attribute achievement is characterized on a defined rating scale. The rating scale and requirements for the conduct of ratings of attribute achievement are set out in [Clause 6](#).

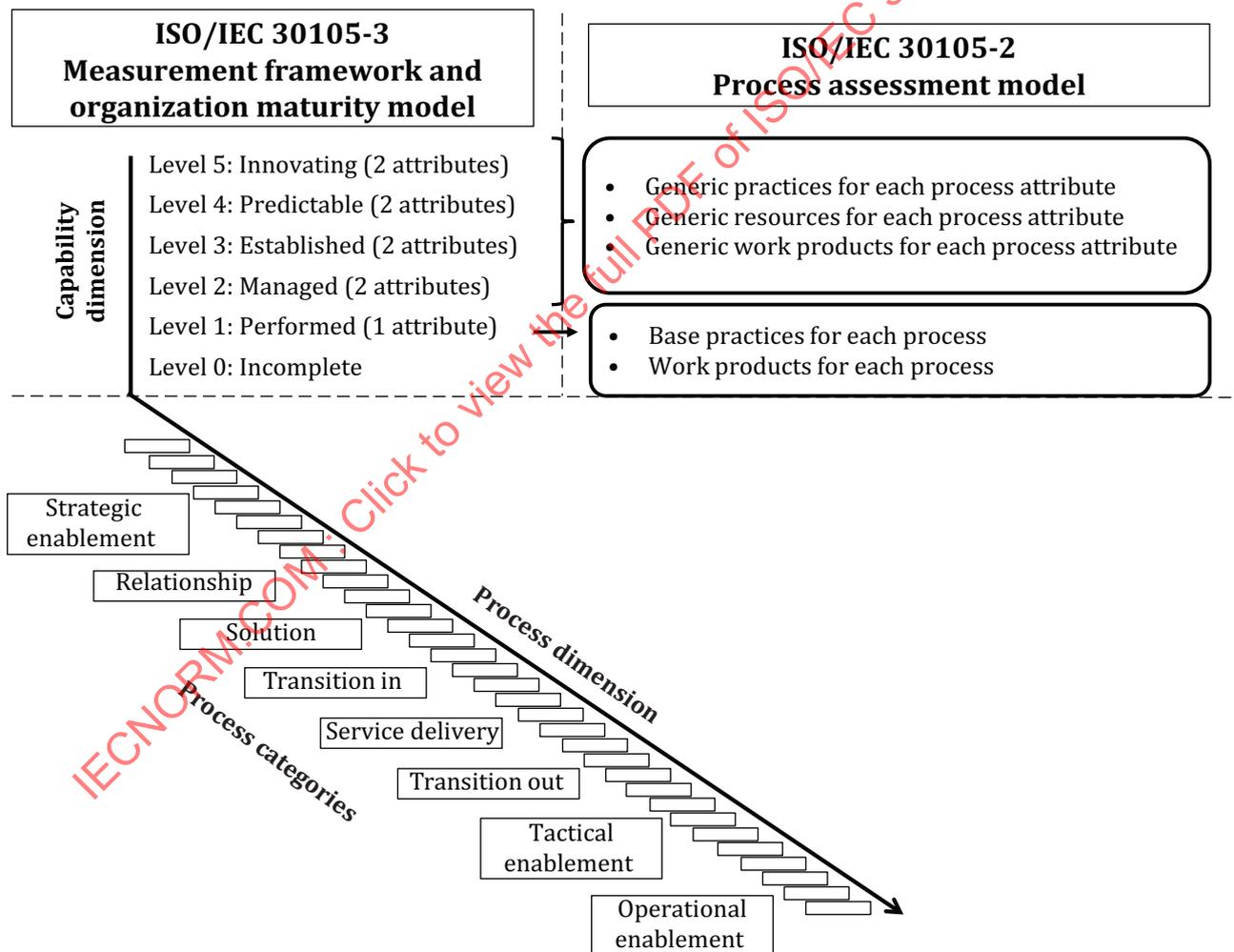


Figure 4 — Relationship between PRM, PAM, MF, and OMM

The process performance and process capability indicators for ITES-BPO give examples of evidence that an assessor might obtain, or observe, in the performance of an assessment. The evidence obtained in the

assessment, through observation of the implemented process, can be mapped onto the set of indicators to enable correlation between the implemented process and the processes defined in this assessment model.

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

The assessment indicators, and their relationship to process performance and process capability, are shown in [Figure 4](#).

The existence of process capability indicators provides evidence of process capability.

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.

Process capability is the process quality characteristic related to the ability of a process to consistently meet current or projected business goals.

The process capability level indicators and process attributes for the ITES-BPO measurement framework are adopted from ISO/IEC 33020 and defined in ISO/IEC 30105-2.

6 Rating and aggregating process attributes

6.1 Process attributes rating scale

Within this measurement framework, a process attribute is a measurable property of process capability. A process attribute rating is a judgment of the degree of achievement of the process attribute for the 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 judgements of the assessor are based on a coherent set of recorded objective artifacts.

Aggregation may be performed using a defined set of rules to summarise the ratings.

A process attribute is measured using an ordinal scale as defined below.

N Not achieved: There is little or no evidence of achievement of the defined process attribute in the assessed process.

P- Partially achieved: There is some evidence of an approach to, and some achievement of, the defined process attribute in the assessed process. Many aspects of achievement of the process attribute may be unpredictable.

P+ Partially achieved: There is some evidence of an approach to, and some achievement of, the defined process attribute in the assessed process. Some aspects of achievement of the process attribute may be unpredictable.

L- Largely achieved: There is evidence of a systematic approach to, and significant achievement of, the defined process attribute in the assessed process. Many weaknesses related to this process attribute may exist in the assessed process.

L+ Largely achieved: There is evidence of a systematic approach to, and significant achievement of, the defined process attribute in the assessed process. Some weaknesses related to this process attribute may exist in the assessed process.

F Fully achieved: There is evidence of a complete and systematic approach to, and full achievement of, the defined process attribute in the assessed process. No significant weaknesses related to this process attribute exist in the assessed process.

The corresponding percentages shall be as follows:

- N Not achieved 0 % to ≤15 % achievement;
- P- Partially achieved ->15 % to ≤32,5 % achievement;
- P+ Partially achieved+>32,5 % to ≤50 % achievement;
- L- Largely achieved->50 % to ≤ 67,5 % achievement;
- L+ Largely achieved+>67,5 % to ≤85 % achievement;
- F Fully achieved >85 % to ≤100 % achievement.

6.2 Process attribute ratings method

A process attribute outcome is the observable result of achievement of a specified process attribute.

A process outcome is the observable result of successful achievement of the process purpose.

Process outcomes and process attribute outcomes may be characterized as an intermediate step providing a process attribute rating.

The rating method employed for ISO/IEC 30105 process assessment is based on ISO/IEC 33020, rating method R1, which identifies that the approach to process attribute rating shall satisfy the following conditions.

- a) Each process outcome for processes within the scope of the assessment shall be characterized for all process instances, based on validated data.
- b) Each process attribute outcome of each process attribute for processes within the scope of the assessment shall be characterized for all process instances, based on validated data.
- c) Process outcome characterizations for all assessed process instances shall be aggregated to provide a process performance attribute achievement rating.
- d) Process attribute outcome characterizations for all assessed process instances shall be aggregated to provide a process attribute achievement rating.

7 Process capability level model — Achievement of process capability levels

The capability level achieved by a process shall be derived from the process attribute ratings for that process according to the process capability level model defined in [Table 2](#).

This approach is based on ISO/IEC 33020:2015, 5.6 with two dimensional aggregation using heuristics ISO/IEC 33020:2015, 5.5.2.2.

Table 2 — Capability level ratings

Scale	Process attribute	Rating
Level 0	Process performance	Largely(-) or below
Level 1	Process performance	Largely(+) or above
Level 2	Process performance	Fully
	Performance management	Largely(+) or above
	Work product management	Largely(+) or above

Table 2 (continued)

Scale	Process attribute	Rating
Level 3	Process performance	Fully
	Performance management	Fully
	Work product management	Fully
	Process definition	Largely(+) or above
	Process deployment	Largely(+) or above
Level 4	Process performance	Fully
	Performance management	Fully
	Work product management	Fully
	Process definition	Fully
	Process deployment	Fully
	Process measurement	Largely(+) or above
	Process control	Largely(+) or above
Level 5	Process performance	Fully
	Performance management	Fully
	Work product management	Fully
	Process definition	Fully
	Process deployment	Fully
	Process measurement	Fully
	Process control	Fully
	Process innovation	Largely(+) or above
	Process innovation implementation	Largely(+) or above

8 Organization maturity model (OMM)

8.1 General

Organization’s maturity is measured on a six-point ordinal scale from Level 0 Organization — Immature Organization to Level 5 Organization — the Transformational Organization. The scale represents the extent to which the organization has explicitly and consistently performed, managed and established its processes with predictable performance and demonstrated the ability to change and adapt the performance of the processes fundamental to achieving the organization’s business goals. In this measurement framework, organization maturity is derived from the underlying process capability measures.

Within this framework, each level of organization’s maturity is characterized by the demonstration of achievement of specified ratings of process attribute achievement in process sets drawn from the ISO/IEC 30105-2 ITES-BPO process assessment model.

For each of the maturity levels 1-5, processes are categorized based on their contributions to the business goals of the organization.

- a) *Basic process set: Set of processes that ensures the achievement of the basic maturity level.*

NOTE 1 A basic process set will include a minimum set of processes, together with additional and optional processes determined by the organization’s context for the assessment. “Additional and optional processes” are identified as “Additional Optional” in the tables followed.

- b) *Extended process set: Set of processes specific to a maturity level higher than the basic maturity level that ensures the achievement of the relevant process profile.*

NOTE 2 An extended process set will include a minimum set of processes, together with additional and optional processes determined by the organization's context for the assessment. "Additional and optional processes" are identified as "Additional Optional" in the tables followed.

c) Additional and Optional processes: A basic or extended process set may include additional processes that are

- 1) required for assessments with a particular scope of application;
- 2) optional depending on the particular circumstances of the organization.

The ITES-BPO organization maturity model specifies the particular circumstances for inclusion of any additional and optional processes in the basic and extended process sets in [Clause 10](#) and [Clause 11](#).

8.2 Structure of the ITES-BPO organization maturity model (OMM)

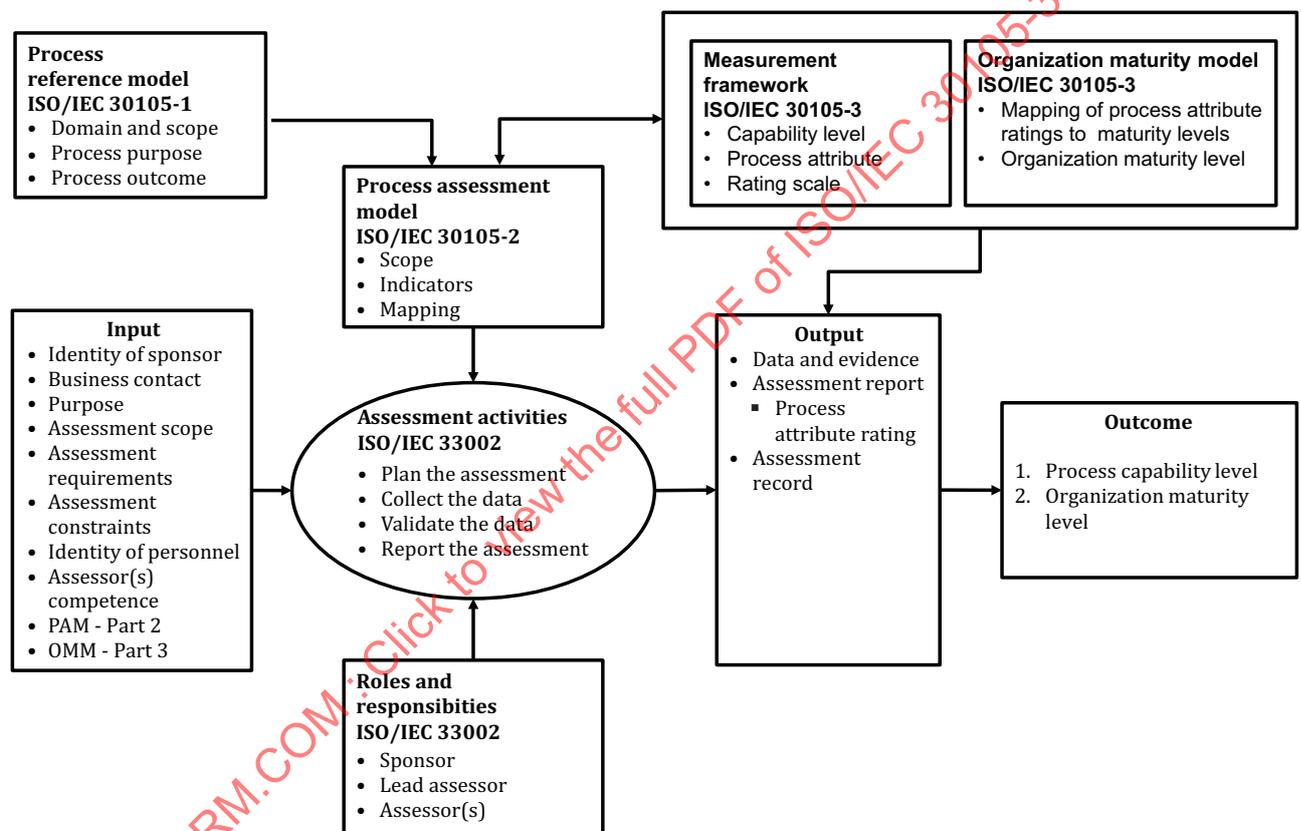


Figure 5 — Relationship between assessment of process capability and derivation of organization maturity

The scale for organization maturity retains the semantic intent of the process capability levels that are defined in [Clause 5](#). The scale for process capability characterizes the ability of a process to meet current or projected business goals; the scale of organization's maturity characterizes the extent to which an organization consistently implements sets of processes within a defined scope that contribute to the achievement of its business goals. Thus, the two scales, while consistent, characterize different attributes of separate entities, the process and the organization. The measurement framework provides a schema for use in characterizing the maturity of an organization with respect to specified Process Assessment Model(s). The overview of interaction of the various parts to arrive at the rating is as given in [Figure 5](#).

9 Definition of organization maturity levels

The maturity levels are derived as per the guidelines provided in ISO/IEC 33004:2015, 7.3.6 Rules for deriving maturity level from process quality level based on the process profiles of process attribute ratings. Description of the process attributes are provided in ISO/IEC 30105-2:—, Clause 6.

9.1 Level 0 organization — Immature

At this level, the organization does not demonstrate effective implementation of the processes that are fundamental to support the organization's primary activities. At least one process in the basic process set fails to achieve a rating needed for process as provided in [10.2](#)

9.2 Level 1 organization — Basic

At this level, the organization is able to undertake the basic activities common to all organizations who are delivering services. Without carrying out these activities, delivery is not possible. Work is done but there is no assurance of outcomes.

As a result of achieving this level of maturity, the organization unit:

- a) implements the processes required to support the organization's primary activities;
- b) performs sets of activities and tasks that achieve the purposes of these processes.

All processes in the basic process set achieve a rating higher than needed for process as provided in [10.2](#) or higher. Each process achieves at minimum a rating for PA 1.1 as shown in [10.2](#).

9.3 Level 2 organization — Managed activities

At this level, the organization is able to function with an assurance of outcomes being in line with specifications.

As a result of achieving this level of maturity, the organization unit:

- a) establishes plans for the performance of the processes that are fundamental to support the organization's basic process set;
- b) assigns responsibility and authority regarding process performance and ensures effective communication among involved parties;
- c) allocates adequate resources and information to ensure implementation of the plans;
- d) monitors performance of the processes against plans in the individual process instances;
- e) takes corrective action to address deviation from planned performance of the process;
- f) identifies requirements for the management of work products developed by the processes;
- g) takes action to ensure that the requirements for work product management are satisfied.

All processes in the basic process set achieve a rating higher than needed for process as provided in [10.3](#). Each process achieves at minimum a rating for PA 1.1, PA 2.1 and PA 2.2 as shown in [10.3](#).

9.4 Level 3 organization — Managed organization

At this level, the organization is assumed to be uniformly managing its processes. The focus is on improving the delivery process and eliminating problems.

As a result of achieving this level of maturity, the organization unit:

- a) aligns the process goals with organization goals;

- b) establishes standard process descriptions covering all of the basic and extended sets of processes employed on a routine basis in the organization;
- c) ensures that individual implementations of the processes are performed as defined processes with appropriately tailored standard processes;
- d) collects and analyses data and information from the performance of the defined processes and stores this data for use across the organization;
- e) uses the collected data and information to improve both the standard and defined processes;
- f) uses the collected data to ensure that the processes support the organization's goals.

All processes in the basic process set achieve a rating higher than needed for process as provided in [10.4](#). Each process achieves at minimum a rating for PA 1.1, PA 2.1, PA 2.2, PA 3.1 and PA 3.2 as shown in [10.4](#).

9.5 Level 4 organization — Strategic alignment

At this level, the organization starts aligning strategically to the customer's business. The focus is to understand the customer's and the organization's business needs and focus on the organization's improvement. The organization looks to adopt best practices and lessons.

As a result of achieving this level of maturity, the organization unit:

- a) establishes quantitative objectives for process performance, based upon business goals of the service provider and customer;
- b) selects processes for process performance analyses, on the basis of their relevance and significance to the achievement of business goals of the service provider and customer covering at a minimum the basic process set;
- c) employs modelling and measurement to collect, store and analyse data on the performance of the selected processes;
- d) identifies causes of variation from the performance objectives of the selected processes and takes appropriate corrective and preventive action to address them;
- e) establishes stable, capable and predictable performance of the selected processes based on the performance objectives.

All processes in the basic process set achieve a rating higher than needed for process as provided in [10.5](#). Each process achieves at minimum a rating for PA 1.1, PA 2.1, PA 2.2, PA 3.1, PA 3.2, PA 4.1 and PA 4.2 as shown in [10.5](#).

9.6 Level 5 organization — Transformational

At this level, the organization is looking to innovate and transform the customer's business in line with the goals of the outsourcing and the outsourced organization.

As a result of achieving this level of maturity, the organization's unit:

- a) establishes processes to support process transformation;
- b) identifies transformations to processes necessary to support changing organization's objectives or a changing organization's environment for the service provider and the customer;
- c) identifies opportunities for deploying process transformations with control of associated risk;
- d) implements identified process innovations while controlling associated risk;
- e) selects process transformation for organization's deployment based on impact analysis;

- f) deploys the selected process transformations, monitors performance of the improved processes and compares the results to expected outcomes.

All processes in the basic process set achieve a rating higher than needed for process as provided in 10.6. Each process achieves at minimum a rating for PA 1.1, PA 2.1, PA 2.2, PA 3.1, PA 3.2, PA 4.1, PA 4.2, PA 5.1 and PA 5.2 as shown in 10.6.

10 Rules for deriving maturity levels from process attribute ratings

10.1 Overview

Maturity level of an organization is determined as a function of the process attribute rating ascertained by the measurement framework defined earlier in this document. An organization’s maturity level is derived from the set of processes (basic, extended and additional processes) prescribed for that level of maturity.

Additional processes included in the model should be added based on the rules provided Clause 11.

NOTE The requirements for a measurement framework are drawn from ISO/IEC 33003 and conform to the mandates therein.

In Tables 3 to 7, PA stands for Process Attribute Rating.

10.2 Maturity level 1

Achievement of ratings listed below for listed process set at Level 1.

Table 3 — Maturity level 1 PA ratings

Code	Process areas	PA 1.1
OEN2	Information security management (Additional Optional)	F
OEN3	Compliance management (Additional Required)	P+
OEN4	Human resource management	L+
SDL1	Service delivery execution	F
SDL4	Business process management	L+
SLN1	Solution development (Additional Optional)	P+
SLN2	Contract lifecycle management (Additional Optional)	F
TEN2	Financial management	L+
TRN1	People mobilization	F
TRN2	Infrastructure set up — Technology (Additional Optional)	P+
TRN3	Infrastructure set up — Non-technology (Additional Optional)	P+

10.3 Maturity level 2

Achievement of ratings listed below for listed process set at Level 2.

Table 4 — Maturity level 2 PA ratings

Code	Process areas	PA 1.1	PA 2.1 and 2.2
OEN2	Information security management (Additional Optional)	F	F
OEN3	Compliance management (Additional Required)	F	F
OEN4	Human resource management	F	P+

Table 4 (continued)

Code	Process areas	PA 1.1	PA 2.1 and 2.2
SDL1	Service delivery execution	F	F
SDL4	Business process management	F	P+
SLN1	Solution development (Additional Optional)	F	L+
SLN2	Contract lifecycle management (Additional Optional)	F	F
TEN2	Financial management	F	P+
TRN1	People mobilization	F	F
TRN2	Infrastructure set up — Technology (Additional Optional)	F	F
TRN3	Infrastructure set up — Non-technology (Additional Optional)	F	F
OEN5	Infrastructure and technology management	F	L+
OEN1	Transaction quality management	F	F
OEN6	Work environment management	F	L+
RLS1	Customer relations management	F	P+
RLS2	Supplier management (Additional Optional)	F	F
SDL2	Service delivery reporting	F	F
SDL3	Service level management	F	F
TEN3	Change management	F	F
TEN5	Business continuity management	F	P+
TEN6	Audit management	F	P+
TRN5	Service delivery planning	F	L+
TRN6	Pilot implementation (Additional Optional)	F	P+
TRO1	Transition out (Additional Optional)	F	L+

10.4 Maturity level 3

Achievement of ratings listed below for listed process set at Level 3.

Table 5 — Maturity level 3 PA ratings

Code	Process areas	PA 1.1	PA 2.1 and 2.2	PA 3.1 and 3.2
OEN2	Information security management (Additional Optional)	F	F	F
OEN3	Compliance management (Additional Required)	F	F	F
OEN4	Human resource management	F	F	L+
SDL1	Service delivery execution	F	F	F
SDL4	Business process management	F	F	F
SLN1	Solution development (Additional Optional)	F	F	F
SLN2	Contract lifecycle management (Additional Optional)	F	F	F
TEN2	Financial management	F	F	L+
TRN1	People mobilization	F	F	F
TRN2	Infrastructure set up — Technology (Additional Optional)	F	F	F
TRN3	Infrastructure set up — Non-technology (Additional Optional)	F	F	F
OEN5	Infrastructure and technology management	F	F	F
OEN1	Transaction quality management	F	F	F
OEN6	Work environment management	F	F	F
RLS1	Customer relations management	F	F	F

Table 5 (continued)

Code	Process areas	PA 1.1	PA 2.1 and 2.2	PA 3.1 and 3.2
RLS2	Supplier management (Additional Optional)	F	F	F
SDL2	Service delivery reporting	F	F	F
SDL3	Service level management	F	F	F
TEN3	Change management	F	F	F
TEN5	Business continuity management	F	F	F
TEN6	Audit management	F	F	F
TRN5	Service delivery planning	F	F	F
TRN6	Pilot implementation (Additional Optional)	F	F	L+
TRO1	Transition out (Additional Optional)	F	F	F
TEN7	Risk management	F	F	F
OEN7	Issue management	F	F	P+
TEN1	Management review	F	F	F
TEN4	Knowledge management (Additional Optional)	F	F	F
TRN4	Knowledge transfer	F	F	P+

10.5 Maturity level 4

Achievement of ratings listed below for listed process set at Level 4.

Table 6 — Maturity level 4 PA ratings

Code	Process areas	PA 1.1	PA 2.1 and 2.2	PA 3.1 and 3.2	PA 4.1 and 4.2
OEN2	Information security management (Additional Optional)	F	F	F	F
OEN3	Compliance management (Additional Required)	F	F	F	F
OEN4	Human resource management	F	F	F	F
SDL1	Service delivery execution	F	F	F	F
SDL4	Business process management	F	F	F	F
SLN1	Solution development (Additional Optional)	F	F	F	F
SLN2	Contract lifecycle management (Additional Optional)	F	F	F	F
TEN2	Financial management	F	F	F	F
TRN1	People mobilization	F	F	F	F
TRN2	Infrastructure set up — Technology (Additional Optional)	F	F	F	—
TRN3	Infrastructure set up — Non-technology (Additional Optional)	F	F	F	—
OEN5	Infrastructure and technology management	F	F	F	F
OEN1	Transaction quality management	F	F	F	-
OEN6	Work environment management	F	F	F	F
RLS1	Customer relations management	F	F	F	F
RLS2	Supplier management (Additional Optional)	F	F	F	F
SDL2	Service delivery reporting	F	F	F	F
SDL3	Service level management	F	F	F	F
TEN3	Change management	F	F	F	F

Table 6 (continued)

Code	Process areas	PA 1.1	PA 2.1 and 2.2	PA 3.1 and 3.2	PA 4.1 and 4.2
TEN5	Business continuity management	F	F	F	F
TEN6	Audit management	F	F	F	—
TRN5	Service delivery planning	F	F	F	F
TRN6	Pilot implementation (Additional Optional)	F	F	F	F
TRO1	Transition out (Additional Optional)	F	F	F	—
TEN7	Risk management	F	F	F	F
OEN7	Issue management	F	F	F	F
TEN1	Management review	F	F	F	F
TEN4	Knowledge management (Additional Optional)	F	F	F	F
TRN4	Knowledge transfer	F	F	F	F
TEN8	Continual improvement	F	F	F	P+
SEN1	Strategic planning and direction setting	F	F	F	F

NOTE Some of the processes are not needed at level 4 as a part of the profile for level 4.

10.6 Maturity level 5

Achievement of ratings listed below for listed process set at Level 5.

Table 7 — Maturity level 5 PA ratings

Code	Process areas	PA 1.1	PA 2.1 and 2.2	PA 3.1 and 3.2	PA 4.1 and 4.2	PA 5.1 and 5.2
OEN2	Information security management (Additional Optional)	F	F	F	F	F
OEN3	Compliance management (Additional Required)	F	F	F	F	—
OEN4	Human resource management	F	F	F	F	—
SDL1	Service delivery execution	F	F	F	F	F
SDL4	Business process management	F	F	F	F	F
SLN1	Solution development (Additional Optional)	F	F	F	F	F
SLN2	Contract lifecycle management (Additional Optional)	F	F	F	F	F
TEN2	Financial management	F	F	F	F	—
TRN1	People mobilization	F	F	F	F	F
TRN2	Infrastructure set up — Technology (Additional Optional)	F	F	F	—	—
TRN3	Infrastructure set up — Non-technology (Additional Optional)	F	F	F	—	—
OEN5	Infrastructure and technology management	F	F	F	F	F
OEN1	Transaction quality management	F	F	F	—	—
OEN6	Work environment management	F	F	F	F	—
RLS1	Customer relations management	F	F	F	F	—
RLS2	Supplier management (Additional Optional)	F	F	F	F	—
SDL2	Service delivery reporting	F	F	F	—	—
SDL3	Service level management	F	F	F	—	—
TEN3	Change management	F	F	F	—	—

Table 7 (continued)

Code	Process areas	PA 1.1	PA 2.1 and 2.2	PA 3.1 and 3.2	PA 4.1 and 4.2	PA 5.1 and 5.2
TEN5	Business continuity management	F	F	F	—	—
TEN6	Audit management	F	F	F	—	—
TRN5	Service delivery planning	F	F	F	F	—
TRN6	Pilot implementation (Additional Optional)	F	F	F	F	—
TRO1	Transition out (Additional Optional)	F	F	F	—	—
TEN7	Risk management	F	F	F	F	—
OEN7	Issue management	F	F	F	F	F
TEN1	Management review	F	F	F	F	—
TEN4	Knowledge management (Additional Optional)	F	F	F	F	F
TRN4	Knowledge transfer	F	F	F	F	—
TEN8	Continual improvement	F	F	F	F	F
SEN1	Strategic planning and direction setting	F	F	F	F	—
SEN2	Innovation management	F	F	F	F	F

Note Some of the processes are not needed at level 4 and 5 as a part of the profile for level 5.

11 Conditions for inclusion of process areas

A basic or extended process set will include additional processes that are required for assessments with a particular scope of application, but can be optional depending on the particular circumstances of the organization.

Table 8 — Conditions for inclusion or exclusion

ML	List of processes	Minimum set	Additional processes	
			ID	Conditions (Optional)
1	OEN2 Information security management	TRN1	OEN2	Optional where business processes are performed within customer infrastructure and/or technology and outsourcer does not have contracted requirements for information security.
	SLN2 Contract lifecycle management	SDL1		
	TRN1 People mobilization	TEN2		
	SDL1 Service delivery execution	OEN4		
	OEN3 Compliance management	SDL4	SLN2	Optional for internal ITES-BPO service providers where there may not be a formal contract.
	SLN1 Solution development		OEN3	Required where outsourcer has legal, regulatory, statutory, contractual or organization’s responsibilities for compliance, beyond the control of the customer.
	TEN2 Financial management		SLN1	Optional where the delivery is directly transitioned without any change to the processes or the tools.
	OEN4 Human resource management		TRN2	Optional for internal ITES-BPO service providers where the setup can be pre-existent.

Table 8 (continued)

ML	List of processes	Minimum set	Additional processes	
			ID	Conditions (Optional)
2	SDL4 Business process management		TRN3	Optional for internal ITES-BPO service providers where the setup can be pre-existent.
	TRN2 Infrastructure set up — Technology			
	TRN3 Infrastructure set up — Non-technology			
	OEN5 Infrastructure and technology management	OEN5	RLS2	Optional where no suppliers are engaged directly.
	TEN3 Change management	TEN3		
	TEN5 Business continuity management	TEN5		
	OEN6 Work environment management	OEN6		
	OEN1 Transaction quality management	OEN1	TRN6	Optional where processes and resources are transferred from customer to outsourcer or where processes have no changes or no additional training is needed.
	TEN6 Audit management	TEN6		
	RLS1 Customer relations management	RLS1		
	RLS2 Supplier management	SDL2		
	SDL2 Service delivery reporting	SDL3		
	SDL3 Service level management	TRN5		
	TRN5 Service delivery planning			
	TRN6 Pilot implementation		TRO1	Optional where no transition out activities occur in the scope of the assessment.
TRO1 Transition out				
3	TEN7 Risk management	TEN7	TEN4	Optional where business processes are performed on-site and responsible resources are transferred from customer to outsourcer.
	OEN7 Issue management	OEN7		
	TEN4 Knowledge management	TEN1		
	TEN1 Management review	TRN4		
	TRN4 Knowledge transfer			
4	TEN8 Continual improvement	TEN8		
	SEN1 Strategic planning and direction setting	SEN1		
5	SEN2 Innovation management	SEN2		

For the processes selected as additional-optional in a previous assessment, the applicability will be re-evaluated in the subsequent cycle of assessment.

Annex A (informative)

Conformity of the measurement framework

A.1 Conformance requirements

A.1.1 General

The following requirements for a process measurement framework are drawn from ISO/IEC 33003.

A.1.2 Conceptualization

ISO/IEC 33003:

a) A process measurement framework shall identify and address a single:

The measurement framework is defined for the single process capability characteristic of process quality in ITES-BPO.

b) A process quality characteristic in a measurement framework shall be defined on the basis of a multidimensional construct;

The process measurement framework is a construct comprised of nine process attributes in a matrix form.

c) A process quality characteristic in a process measurement framework shall be defined as a set of process attributes;

The process measurement framework is a construct comprised of nine process attributes.

d) Each process attribute shall define a property of the process quality characteristic;

The property defined by each process attribute is described in [Clause 5](#).

e) Each process attribute that is not directly measurable shall be considered as a construct;

Each process attribute in this measurement framework is a construct and defined in ISO/IEC 30105-2:2016, 5.2.

f) Process attributes in a process measurement framework shall be defined as either reflective or formative.

The process attributes of this measurement framework are formative.

g) The process measurement framework shall document the policies and assumptions underlying its use and application;

The policies and assumptions underlying the use and application of this process measurement framework are set out in this document.

A.1.3 Construct definition

a) The construct definition shall define the meaning of the process quality characteristic and its process attributes in a process measurement framework;

The meaning of the process quality characteristic and its process attributes are given in ISO/IEC 30105-2:2016, 5.2.

b) The construct definition shall clarify the specification of the process quality characteristic and its process attributes as dimensions;

The specifications of the process quality characteristic and its process attributes are given in ISO/IEC 30105-2:2016, 5.2.

c) The construct definition shall provide a guide for the operationalization of the process quality characteristic and its process attributes;

Operationalization of the process quality characteristic and its process attributes is given in ISO/IEC 30105-2:2016, 5.2.

d) The construct definition shall state the scales of composite measures such as categorical (e.g. a series of ordinal values such as capability level) or numeric;

The scales of composite measures in this measurement framework are given in ISO/IEC 30105-2:2016, 5.2.

e) At least one of the process attributes shall comprise the achievement of the defined process purpose and process outcomes for the process; this is termed the process performance attribute.

The process performance attribute comprises the achievement of the defined process purpose through achievement of the process outcomes for that process.

A.1.4 Operationalization

a) All process attributes shall be defined according to their construct specification;

The process attributes are defined in ISO/IEC 30105-2:2016, 5.2; the descriptions follow a common approach, described in ISO/IEC 30105-2:2016, 5.2.

b) Achievement of process attributes shall be verifiable through objective artifacts;

A coherent set of recorded objective artifacts" is used in 6.1 for each attribute rating and "validated data" is used in 6.2 b) for each process attribute outcome.

A.1.5 Construct specification examination

Construct specifications of the process quality characteristic and its associated process attributes shall be examined through operationalization and with rationale.

Each process attribute is operationalized through a set of base or derived measures.

A.1.6 Scoring process attributes

a) The process attributes shall be scored;

The unit of measurement is specified in 6.2.

b) A measurement scale, i.e, nominal, ordinal, interval, or ratio, shall be defined for the process attributes;