International Standard

ISO/IEC 30105-5

Second edition
2024-06

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

Part 5: Guidance

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

Partie 5: Recommandations

Reference number
ISO/IEC 30105-5:2024(en)

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Published in Switzerland

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Foreword

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

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

This second edition cancels and replaces the first edition (ISO/IEC 30105-5:2016), which has been technically revised.

The main changes are as follows:

— terms and abbreviated terms have been added;

— the term “process risk determination” has been replaced by the term “process capability gap determination” in 3.1.5 and throughout the document, and the process capability gap determination steps in 11.2 have been updated to align with ISO/IEC TR 33015:2019;

— Clauses 4, 5 and 6 have been restructured to improve the sequence of the document;

— duplicate contents from ISO/IEC 30105-1, ISO/IEC 30105-2 and ISO/IEC 30105-3 have been removed;

— Figure 2 has been revised to improve clarity;

— an explanation of the new documents ISO/IEC TS 30105-6, ISO/IEC TR 30105-7, ISO/IEC 30105-8, and ISO/IEC TS 30105-9 has been added;

— editorial errors from the previous edition have been corrected.

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

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

Introduction

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

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

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

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

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

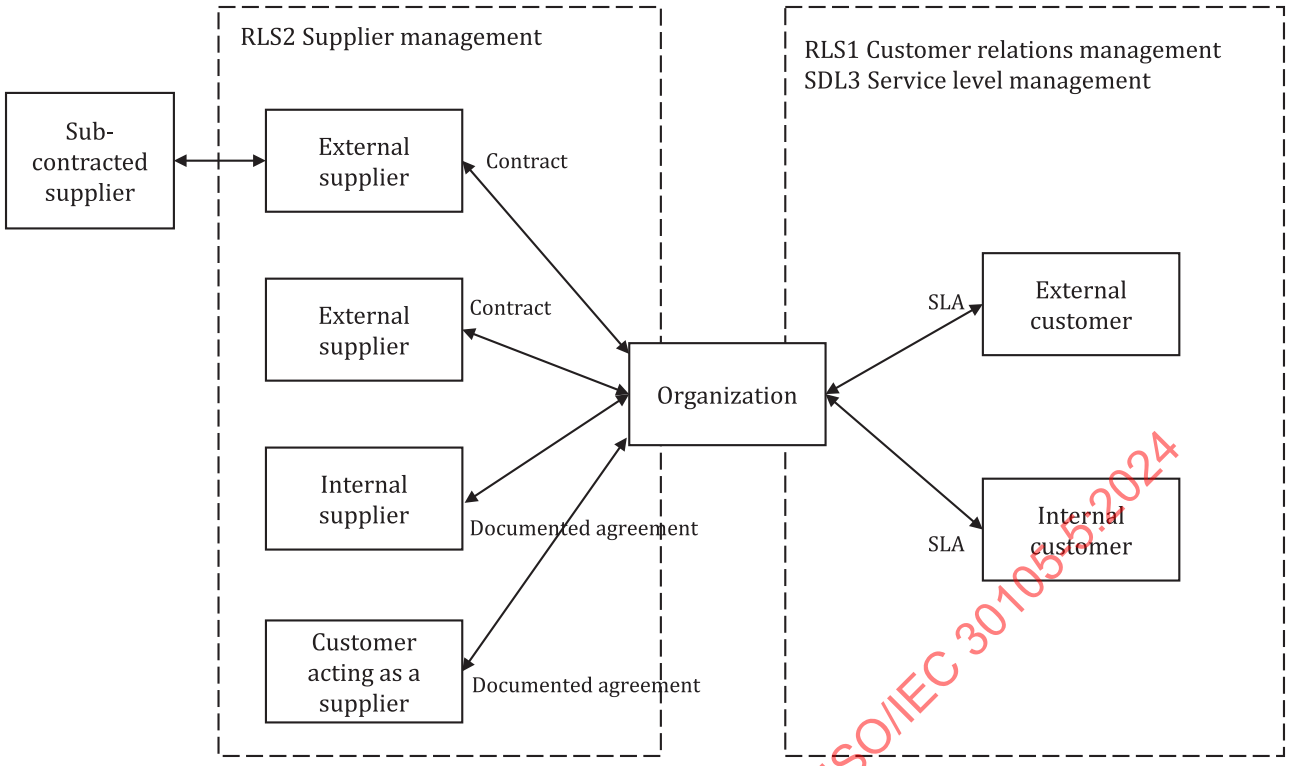
— It focuses on IT enabled business processes which are outsourced.

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

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

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

Figure 1 illustrates the key entities and relationships involved in an ITES-BPO service. This includes the customer, the service provider and various levels of suppliers. This is in line with the supply chain relationship depicted in ISO/IEC 20000-1:2018, 8.3.1. This document and ISO/IEC 20000-1 complement each other. ISO/IEC 30105-2:2024, Annex C describes the potential correlation and differences, and their complementary nature.



Key

RLS relationship

SDL service delivery

SLA service level agreement

Figure 1 — ITES-BPO key entities

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

Part 5: Guidance

1 Scope

This document contains the guidance on supporting maturity improvement for service providers. It specifies the provision of assessment results that are repeatable, objective and comparable within similar contexts, and can be used for either process improvement or process capability gap determination. The framework for the conduct of assessments is designed to support the achievement of dependable assessment results.

This document provides guidance on the usage of the core parts of the ISO/IEC 30105 series: ISO/IEC 30105-1, ISO/IEC 30105-2 and ISO/IEC 30105-3.

This document also introduces the extended parts of the ISO/IEC 30105 series: ISO/IEC TS 30105-6, ISO/IEC TR 30105-7, ISO/IEC 30105-8 and ISO/IEC TS 30105-9.

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 33020, *Information technology — Process assessment — Process measurement framework for assessment of process capability*

3 Terms, definitions and abbreviated terms

For the purposes of this document, the terms and definitions given in ISO/IEC 33020 and the following apply.

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

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

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

3.1 Terms and definitions

3.1.1
assessment input
information required before a process assessment can commence

Note 1 to entry: The assessment input can change over the course of an assessment.

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

3.1.2
assessment output
all of the tangible results from an assessment

[SOURCE: ISO/IEC 33001:2015, 3.2.4, modified — "(see assessment record)" removed from the definition.]

3.1.3
corrective action
action to eliminate the causes of a non-conformity and to prevent recurrence

Note 1 to entry: There can be more than one cause for a non-conformity.

Note 2 to entry: Corrective action is taken to prevent recurrence whereas preventive action is taken to prevent occurrence.

Note 3 to entry: This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1. The original definition has been modified by adding Notes 1 and 2 to entry.

[SOURCE: ISO 9000:2015, 3.12.2]

3.1.4
organizational unit
identified part of an organization that deploys one or more processes that operate within a coherent set of business goals and which forms the basis for the scope of an assessment

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

[SOURCE: ISO/IEC 33001:2015, 3.2.14]

3.1.5
process capability gap determination
systematic assessment and analysis of selected processes within an organization against a target process profile

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

3.1.6
process improvement
actions taken to improve the quality of the organization's processes aligned with the business needs and the needs of other concerned parties

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

3.2 Abbreviated terms

BCM	business continuity management
BP	base practice
GP	generic practice
GR	generic resource
ITES-BPO	IT Enabled Services-Business Process Outsourcing
KPI	key performance indicator
MF	measurement framework
OMM	organization maturity model

PA	process attribute
PAM	process assessment model
PCI	process capability indicator
PPI	process performance indicator
PRM	process reference model
RLS	relationship
SDL	service delivery
SLA	service level agreement

4 Overview

4.1 General

This document aims to provide guidance on the process capability level and the organization maturity model (OMM), including the organization maturity rating scale. This scale represents the extent to which an organization is able to demonstrate its maturity through process quality. Process quality is demonstrated through assessment of the organization's ability to establish, manage and execute its processes with high capability.

An assessment of process capability and organizational maturity will identify the strengths, weaknesses and capability gaps associated with individual processes, and thus areas of potential improvement.

Assessment of the process capability gap is applicable across all ITES-BPO domains and to any service provider wanting to determine the process capability gap of its own processes.

Process improvement uses the results of a current state assessment for a service provider to formulate and prioritize improvement plans. These plans improve the processes, thus creating the inherent ability to support continual improvement.

The outputs from a process assessment and process capability gap determination can be analysed against the organization goals for an organizational unit and those for the ITES-BPO engagement. From this, the strengths, weaknesses and capability gaps related to the processes, operations, structure, etc. can be identified. This can help to determine whether the processes are effective in achieving organization goals and provide the critical triggers for making improvements.

The guidance on assessment of process capability gaps covers the following:

— overview of process capability: target capability and process-oriented capability gap analysis;

— guidance for conducting an assessment of process capability: core and extended.

The guidance on process improvement provides the following:

— overview of process improvement: the factors which drive ITES-BPO process improvement and the underlying general principles;

— methodology for process improvement: improving ITES-BPO processes within a continual improvement cycle;

— MF and management: ITES-BPO process improvement from a management perspective, including an overall framework for process measurement.

These service provider improvements can be marketed to customers and can provide increased value to customers and stakeholders.

For all practical purposes, "value" can be considered as business outcomes achieved in line with the requirements of the customer contract or customer requirements.

4.2 Inter-relationship between parts of the ISO/IEC 30105 series

Figure 2 identifies the relationships between parts of the ISO/IEC 30105 series and also the relationships with the requirements which are necessary for assessment.

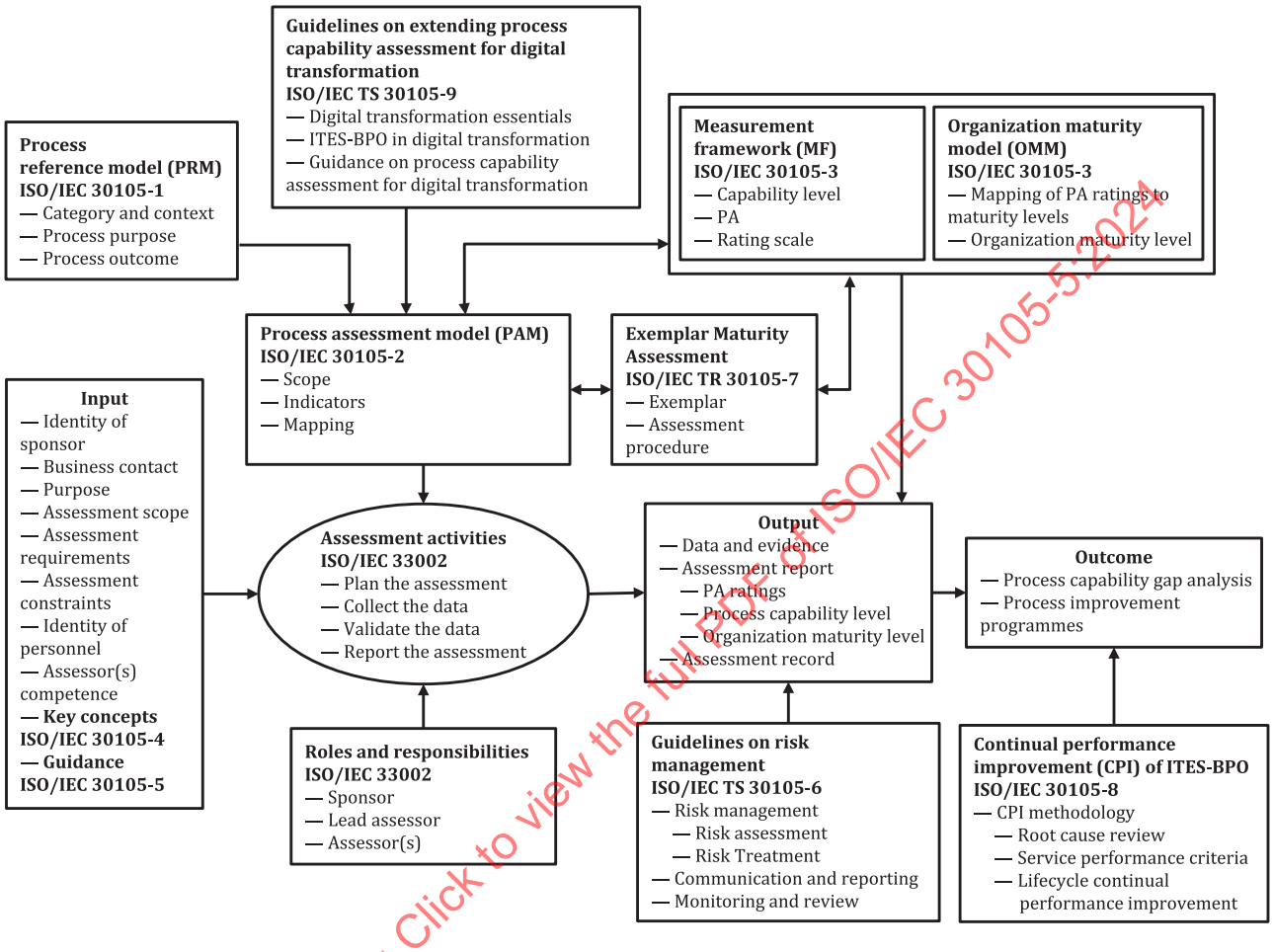


Figure 2 — Components of the ISO/IEC 30105 series and the inter-relationship between parts

ISO/IEC 30105-1 provides a process reference model (PRM), which defines a set of processes, characterized by statements of process purpose and process outcomes.

ISO/IEC 30105-2 provides a process assessment model (PAM) that specifies the lifecycle process requirements performed by the service provider. It also defines a set of process indicators. These indicators are used as a basis for collecting the objective evidence that enables an assessor to determine process capability and organization maturity ratings.

ISO/IEC 30105-3 provides an MF for the processes outlines in ISO/IEC 30105-1 and ISO/IEC 30105-2, and provides an OMM for organizations providing ITES-BPO services. These frameworks enable organizations to measure and derive process capability and organization maturity levels based an assessment of their current performance.

ISO/IEC 30105-4 describes key concepts of the ISO/IEC 30105 series that can be used as an entry point. It describes how the parts of the series fit together and provides guidance for their selection and use. It explains the requirements contained within the ISO/IEC 30105 series and their applicability to the performance of an assessment.

ISO/IEC 30105-5 (this document) provides guidance on using the ISO/IEC 30105 series and on process assessment for the purposes of capability gap determination and process improvement. The guidance provided does not presume specific organizational structures, management philosophies, lifecycle models or development methods, enabling it to be used by all types of organizations to determine their process capability and implement improvement activities.

ISO/IEC TS 30105-6 helps service providers to improve and mature their risk management practices by providing sound principles for effective risk management and governance. It provides guidance for planning, establishing, implementing, operating, monitoring, reviewing, maintaining and improving the risk management framework for the ITES-BPO services. ISO/IEC TS 30105-6 aligns to ISO 31000 by elaborating the risk principles, risk management framework and risk management process from an ITES-BPO perspective.

ISO/IEC TR 30105-7 presents an assessment exemplar to enable service providers to understand the measurement methods defined in ISO/IEC 30105-2 and ISO/IEC 30105-3, and to provide a model that a service provider can adopt to measure the process capability and assess the maturity level. By using this document, a service provider can accelerate delivery of its maturity level assessment.

ISO/IEC 30105-8 specifies a continual performance improvement (CPI) methodology, extending the continual improvement process defined in ISO/IEC 30105-1. It helps service providers to improve their performance by assessing service delivery to identify and prioritize business service performance improvement opportunities. Using this methodology can lead to improved effectiveness, efficiency and maturity of delivered services.

ISO/IEC TS 30105-9 outlines seven essentials of digital transformation that service providers should consider. It gives guidance for service providers to implement the organization's digital transformation and it extends the PAM defined in ISO/IEC 30105-2 to enable the assessment of process capability for service providers undergoing digital transformation.

4.3 Readership for the ISO/IEC 30105 series

This document provides an overview to the ISO/IEC 30105 series, enabling the reader to identify the relevant components to use within the ISO/IEC 30105 series. This document also provides detailed guidance on process improvement and process capability gap determination.

NOTE ISO/IEC 30105-4 provides a general entry point to the ISO/IEC 30105 series.

Table 1 identifies the principal roles of reader for the ISO/IEC 30105 series and shows where their primary areas of interest are addressed.

Table 1 — Readership for the ISO/IEC 30105 series

Role of reader	Interests	Relevant documents
Assessment team	The assessment team consists of assessors. Conducting a conformant assessment and maturity assessment.	ISO/IEC 30105-1, ISO/IEC 30105-2, ISO/IEC 30105-3, ISO/IEC 30105-4, ISO/IEC 30105-5, ISO/IEC TS 30105-6, ISO/IEC TR 30105-7, ISO/IEC 30105-8, ISO/IEC TS 30105-9
Process manager or consultant	Developing, implementing and improving processes. Conducting process self-assessments.	ISO/IEC 30105-1, ISO/IEC 30105-2, ISO/IEC 30105-3, ISO/IEC 30105-4, ISO/IEC 30105-5, ISO/IEC TR 30105-7, ISO/IEC 30105-8, ISO/IEC TS 30105-9
Process capability gap determination sponsor	Initiating a programme for the determination of any process capability gaps, defining a target capability profile, verifying and using assessment results to determine any capability gap.	ISO/IEC 30105-4, ISO/IEC 30105-5, ISO/IEC TS 30105-6
Process improvement sponsor	Initiating an improvement programme, defining assessment inputs for an assessment for improvement purposes, using assessment results for improvement.	ISO/IEC 30105-4, ISO/IEC 30105-5, ISO/IEC TS 30105-6, ISO/IEC 30105-8, ISO/IEC TS 30105-9
Analysts, marketing, sales leader, or senior leaders	Understanding the criteria and general appreciation of key terms and principles.	ISO/IEC 30105-4, ISO/IEC 30105-5

5 ITES-BPO service features

ITES-BPO services are based on the delivery of business process transactions, which are of varied complexity and have a direct impact on the customer's business delivery. Typically, an outsourcing approach is adopted by a customer to gain overall process efficiency, economies of scale and transformation savings through an expert service provider.

Service delivery providers have two distinct delivery features:

1) operational service delivery (i.e. process execution) happens in real time;

2) processes are driven by service level agreements (SLAs) and key performance indicators (KPIs), which measure the performance and quality of delivery, and the quality of experience.

One of the key requirements in outsourcing is business continuity management (BCM) for the outsourced operations, which enables the overall system to work at the desired level of resilience.

This allows the customer to stay focused on their core strategic goals, end-customer management and business growth, while the service provider takes full ownership of process delivery.

6 Benefits of adopting the ISO/IEC 30105 series

6.1 Key aspects addressed by the ISO/IEC 30105 series

The ISO/IEC 30105 series improves key aspects of a service provider by:

— managing performance across the framework of people, processes and technology;

— driving stabilization and improvement of the processes;

— optimizing and sustaining the processes;

— aligning improvement and process efforts to deliver desired results;

— ensuring the realization of process improvement benefits and quality results;

— achieving a differentiated approach to attaining maturity.

6.2 Benefits of the adoption and implementation of the ISO/IEC 30105 series

The adoption and implementation of the ISO/IEC 30105 series can lead to the following benefits:

a) a greater degree of standardization of business processes in ITES-BPO industry;

b) benchmarking for useful comparisons across adopting service providers;

c) improved process efficiency and productivity, improved asset utilization, effective risk management practices and reduced internal or external failures or potential failures, thereby improving the quality of output and services;

d) improved customer focus and customer satisfaction, leading to a clear return on investment from the maturity assessment journey. This also creates an ability to achieve and communicate the business benefits to the customers and all direct stakeholders;

e) reduced time to maturity for new start-up service providers and new services for existing service providers through the adoption of the ITES-BPO PRM;

f) a mechanism to jointly solve issues proactively with customers and to work on the strategic programmes to understand the capabilities of service providers through a common standard, leading to increased levels of transparency and trust;

g) shorter transition lead time for new processes, reduced defect rates, improved cycle time, improved time to market, better capability gap determination, etc.;

h) improved assessment procedures and assessment practices;

i) improved process capability assessment for digital transformation, outlining the outcomes for a digitally transformed service provider's processes.

6.3 Value to stakeholders

6.3.1 General

Stakeholders for service providers can be external and internal. They can have many different needs, often conflicting in nature.

The key direct stakeholders are as follows:

— senior management of the service provider;

— entire workforce, including leaders;

— customer.

The key indirect stakeholders are as follows:

a) suppliers and partners;

b) analyst community — these are the third-party rating agencies, analysts who study and rate service providers based on their cost efficiency, brand image and automation capabilities in an ITES-BPO context;

c) consumers or service users.

An organization's performance measurements need to focus on key objectives and results. Results should be used to create and balance value for the service provider's key stakeholders. By creating value for the key stakeholders, the service provider builds loyalty.

The use of a balanced composite of leading and lagging performance measures:

1) offers an effective means to communicate short and longer-term priorities;

2) monitors actual performance;

3) provides a clear basis for improving results.

Stakeholder needs are influenced by a number of drivers, e.g. strategy changes, a changing business and regulatory environment and technology evolutions.

6.3.2 Direct stakeholders

The key impacts of adopting the ISO/IEC 30105 series for the direct stakeholders are as follows.

— Senior management of service providers:

  — delivery rigour — consistency and predictability in each transaction and in overall operations;

  — a stronger focus on internal delivery performance management;

  — a focus on innovation and continual improvement;

  — a conscious impact to deliver towards a customer's business objectives and financial targets, as applicable;

  — improved customer focus and customer satisfaction, leading to a clear return on the investment of adopting the ISO/IEC 30105 series;

  — reduced time to maturity for new start-up service providers, through the adoption of the defined ITES-BPO PRM;

  — cost efficiency;

  — the structured identification of waste or inefficiency;

  — the ability to use a benchmark and to identify transformation goals and drive organization-wide change management programmes;

  — the ability to grow the business.

— Entire workforce, including leaders:

  — ability to manage better with known control points;

  - overall learning and growth.
- Customers:
  - clarity in understanding the maturity of service providers;
  - improved productivity and the quality of services;
  - the simplification of service provider selection and contracting;
  - cost efficiency;
  - the structured identification of waste or inefficiency;
  - the ability to use a benchmark and to identify transformation goals and drive organization-wide change management programmes;
  - improved customer experience and engagement (moments of truth) throughout the service and management of interactions;
  - improved support for the achievement of the customer's business objectives and financial targets, as relevant and applicable.

While the impact for the service provider is direct and clear, the impact for the customer is more implied and expected.

Value and satisfaction can be influenced by many factors throughout the customer's overall experience with the service provider. These factors include the service provider's customer relationships, which help to build trust, confidence and loyalty.

Customer-driven excellence means much more than reducing defects and errors, meeting requirements or reducing complaints. In addition, the service provider's success in recovering from defects, service errors and mistakes is crucial for retaining customers and engaging customers for the long-term.

A customer-driven organization addresses not only the service features that meet basic customer requirements but also those features that differentiate the organization from its competitors. Such differentiation can be based on innovative offerings, combinations of service offerings, customization of offerings, multiple access channels, rapid response or special relationships.

Customer-driven excellence is a strategic concept. It is directed toward customer retention and loyalty, market share gain and business growth. It demands constant sensitivity to changing and emerging customer and market requirements and to the factors that drive customer engagement. It demands close attention to the voice of the customer, managing and improving the customer experience and end-customer journey at every point of engagement and interaction. It demands anticipating changes in the marketplace. Therefore, customer-driven excellence demands a customer-centric culture and organizational agility.

6.3.3 Indirect stakeholders

The key impacts of adopting the ISO/IEC 30105 series for indirect stakeholders are as follows:

- the ability to objectively rate and compare service providers with the use of independent assessments;
- improved experience for interactions and service effectiveness;
- understanding and interpreting of the key process maturity measures.

7 PRM

7.1 General

The purpose of a PRM is to define a set of processes that can collectively support the primary aims of a community of interest. The PRM defines the processes in the ITES-BPO lifecycle that are described in terms

of process name, context, purpose and outcomes, together with an architecture describing the relationships between the processes, as required by ISO/IEC 33004, which defines the requirements for process reference, process assessment and maturity models.

A PRM can provide the basis for one or more PAMs. The PAM uses the same process descriptions provided in the PRM. The PRM aligns outcomes to the business benefits derived by the customer and the service provider. A PRM cannot be used alone as the basis for conducting reliable and consistent assessments of process capability since the level of process detail available is not sufficient.

For new start-up service providers or those with a less mature process framework, the creation and maturity of processes can be expedited by adoption and adaption of this ITES-BPO PRM.

7.2 Process categories and processes

Processes from within the process categories in the ISO/IEC 30105-1 ITES-BPO lifecycle are included in the process dimension of the ITES-BPO PAM. This includes all aspects of an ITES-BPO outsourced service, from developing an ITES-BPO solution through service delivery, to transitioning out. It includes the strategic enablement, relationship, and tactical and operational enablement processes that support the outsourced business across its lifecycle.

The purpose of the process categories is to give clarity on the ways of working, as a group of linked and inter-dependant processes within the process framework, for ease of understanding for the reader.

An overview of the PRM is given in ISO/IEC 30105-1:2024, Clause 4.

8 PAM

8.1 General

The purpose of a PAM is to assess process capability, based on one or more PRMs. A PAM provides a common basis for performing assessments on ITES-BPO lifecycle processes and enabling the results to be reported using a common rating scale. It is established by the PRM defined in ISO/IEC 30105-1 and the process attributes (PAs) defined in ISO/IEC 30105-2.

The PAM defines a two-dimensional model of process capability, as defined in ISO/IEC 30105-2. The two dimensions are as follows:

— process dimension: processes are defined and classified into process categories;

— capability dimension: a defined set of PAs grouped into capability levels.

The PA provides the measurable characteristics of process capability. The PAM in ISO/IEC 30105-2 is directed at assessment sponsors and assessors who are identifying a model and the associated documented assessment process, either for the ITES-BPO lifecycle processes, or for capability gap determination or process improvement, or for both.

The structure of the ITES-BPO PAM is defined in ISO/IEC 30105-2:2024, 4.2.

8.2 Assessment indicators

Assessment indicators are used as a basis for collecting the objective evidence that enables an assessor to determine ratings. There are two types of assessment indicators: process capability indicators (PCIs), which apply to capability levels 1 to 5, and process performance indicators (PPIs), which are defined for capability level 1 but apply to all capability levels 1 to 5.

The PAM further expands the PRM to include PCIs and PPIs to achieve the defined outcomes. PCIs include generic practices (GPs), generic resources (GRs) and generic information items. PPIs include base practices (BPs) and information items.

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

These identified BPs and information items, with characteristics, are defined to provide objective evidence to support the assessment of a process. Information items and their characteristics should be considered as a starting point for determining whether, given the context, they are contributing to the intended purpose of the process, not as a checklist of what every organization should have.

A documented process and assessor judgment are needed to ensure that the context (application domain, business purpose, development methodology, size of the organization, etc.) is considered when using assessment indicators.

An overview of the assessment indicators is provided in ISO/IEC 30105-2:2024, 4.3.

To support the assessment of process capability level, the ITES-BPO PAM further defines:

— specific process capability levels for an ITES-BPO process framework as described in Clause 9;

— specific PCIs for an assessor to use when evaluating an ITES-BPO process framework to determine the process capability level.

Evidence from PCIs are used by an assessor to identify that the potential criteria have been achieved in the assessment of process capability leading to the determination of the process capability level.

To undertake a process capability assessment to determine process capability levels, and also derive organization maturity, the PAM should be used in conjunction with ISO/IEC 30105-3 as described in Clause 9.

9 MF and OMM

9.1 MF

The MF is employed for the assessment of process capability in the ITES-BPO domain. It forms a structure which can:

a) facilitate self-assessment;

b) provide a basis for use in process capability gap determination and process improvement;

c) apply across all business domains and sizes of organization;

d) produce a set of PA ratings (process profile);

e) derive a process capability level.

Within this MF, the measurement of capability is based upon a set of PAs, as defined in the ITES-BPO PAM in ISO/IEC 30105-2. A PA rating is a judgment of the degree of achievement of the PA for the assessed process. The degree of PA achievement is characterized on a defined rating scale. Although PAs are defined in such a way that they can be rated independently of one another, this does not imply that there are no other relationships between them, e.g. the achievement of one PA can be associated with the achievement of another PA within the MF.

The rating method is defined in ISO/IEC 30105-3:2024, 6.2.

The capability level achieved by a process is derived from the PA ratings for that process according to the process capability level model defined in ISO/IEC 30105-2. There are six capability levels incorporating nine PAs. At each level there is no ordering between the PA; each attribute addresses a specific aspect of the capability level. The list of PAs is shown in table 2.

Table 2 — Capability levels and PA

Capability levels	PA ID	PA
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	Documented information management
Level 3: Established process	PA 3.1	Process definition
	PA 3.2	Process deployment
	PA 3.3	Process assurance
Level 4: Predictable process	PA 4.1	Quantitative analysis
	PA 4.2	Quantitative control
Level 5: Innovating process	PA 5.1	Process innovation

The results of such an assessment are:

a) a set of process profiles — identifying the ratings achieved for the set of PAs for each process in the scope of the assessment;

b) the capability level ratings achieved for each process in the assessment scope.

A 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 MF can be applied to all ITES-BPO domains and sizes of organization. It can be applied to a single process or group of processes where an organization wants to assess or improve process capability, or identify a baseline.

9.2 OMM

OMMs are used to assess as-is organizational maturity, to guide improvement initiatives and to measure progress. An organization's maturity is measured on a six-point ordinal scale. The scale represents the extent to which the organization has explicitly and consistently performed, managed and established its processes with predicable performance and demonstrated the ability to change and adapt the performance of the processes fundamental to achieving the organization's business goals.

Within this model, each level of an organization's maturity is characterized by the demonstrable achievement of specified ratings of PA achievement in process sets drawn from the ISO/IEC 30105-2 ITES-BPO PAM. Definition of organization maturity levels and rules for deriving maturity levels are given in ISO/IEC 30105-3:2024, Clause 9 and 10.

Figure 3 depicts the typical behaviour of organization maturity across organization and what it means to the stakeholders. It also illustrates how an organization improves its processes, to become more agile, competitive, efficient and effective.

Maturity level	Maturity representation	Typical supporting tools or process adopted	Key results
L5	Transformational	Benchmarking of best or next practices	— World class thinking and acting — Managing for innovation — Making disruptive change, not incremental change — Setting trends or new benchmarks
		Innovation or transformational	
L4	Strategic alignment	Reliability management	— Improved customer perception about service quality — Failure rate or defects low — Performance improving overall
		Quality of management	
L3	Managed organization	Lean Six Sigma	— Process performance is managed with excellence goals — Organization level processes
		Managing for quality	
L2	Managed activities	Process definition	— Initial thinking about performance excellence — Functional level processes
		Problem solving (mostly reactive)	
L1	Basic	Services or output delivered with variation	— Services managed in some parts of delivery — Variation exists
L0	Immature	Processes do not exist in many parts or functions	— Failures in delivery — Inconsistent output

Figure 3 — Organization maturity and key results

For each of the maturity levels 1 to 5, processes are categorized based on their contributions to the business goals of the organization. A basic or extended process set will include a minimum set of processes, together with additional optional or conditional processes, depending on the particular scope of application and organization context for the assessment. Therefore, prior to any assessment to determine an organization maturity's, the scope of the process assessment activity should be clarified with the assessor to ensure that all appropriate additional processes (conditionally required or optional) are included in scope of the assessment.

Conditions for the inclusion of additional processes are defined in ISO/IEC 30105-3:2024, Clause 11.

The scale for organization maturity retains the semantic intent of the process capability levels that are defined in ISO/IEC 30105-3. The scale for process capability characterizes the ability of a process to meet current or projected business goals. The scale of an organization's maturity characterizes the extent to which an organization consistently implements its set of processes within a defined scope that contributes 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 MF provides a schema for use in characterizing the maturity of an organization with respect to the specified PAM.

Figure 4 illustrates the structure of the ITES-BPO OMM and the relationship between the assessment of process capability and the derivation of organization maturity.

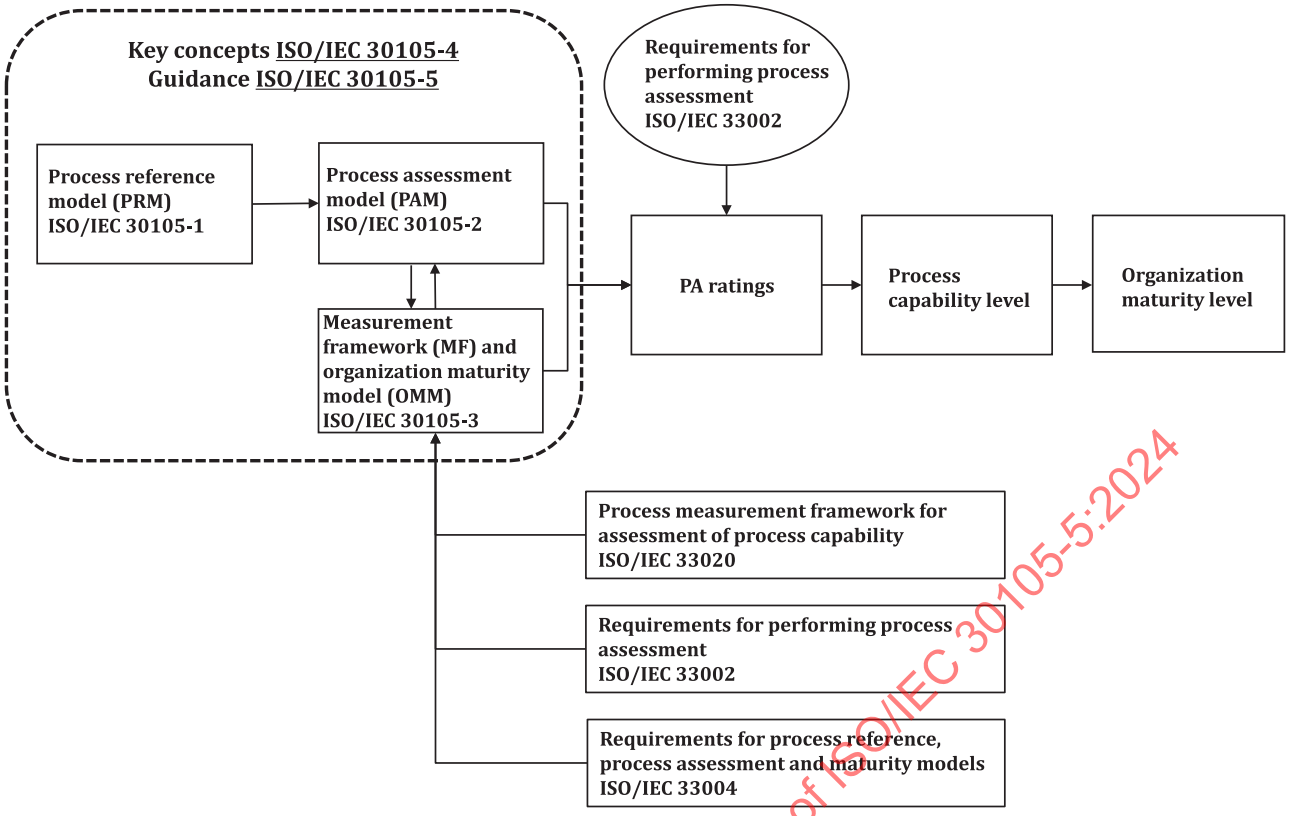


Figure 4 — Structure of the ITES-BPO OMM

10 Process capability assessment and organization maturity level determination

10.1 Assessment initiation

Process capability assessments can be initiated to support process capability gap determination or process improvement programmes. These programmes will usually require and be resourced by a sponsor. The sponsor has the authority to ensure that the programme is carried out effectively, and takes ownership of the results. The sponsor can have one or more staff working within a team whose task is to plan and implement the actions required to achieve the objectives identified by the sponsor.

Sponsorship can be implemented in a variety of ways, according to the culture of the organization. In non-hierarchical or higher maturity organizations, for example, both sponsorship and project management of process improvement activities can be delegated to a working level, although authorities, roles and responsibilities should always be clearly defined.

Capability assessment can be undertaken by independent external assessors with the appropriate skills and experience, as described in ISO/IEC 30105-3, to deliver an industry benchmark against the ISO/IEC 30105 series.

Process capability assessments can also be undertaken internally, as a self-assessment, on an individual process-by-process basis to drive continual improvement.

10.2 Process assessment output

The output of a process assessment includes a set of process profiles, which express the PA ratings achieved for each process from ISO/IEC 30105-2.

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 artefacts.

The method for rating and aggregating PAs is defined in ISO/IEC 30105-3:2024, 6.1 and 6.2.

The organization maturity levels are derived according to the guidelines provided in ISO/IEC 33004:2015, 7.3.6. Rules for deriving maturity level from process quality levels are based on the process profiles of PA ratings. Description of the PA are provided in ISO/IEC 30105-2:2024, 6.2.

The maturity level of an organization is determined as a function of the PA rating ascertained by the MF. An organization's maturity level is derived from the set of processes (basic, extended and additional processes) prescribed for that level of maturity. There are six levels of organization maturity as defined in Figure 3.

11 Process capability gap determination

11.1 Overview

Process capability gap determination is a systematic assessment and analysis of selected processes within an organization and carried out with the aim of identifying the strengths, weaknesses and capability gaps associated with deploying the processes to meet a particular specified requirement.

a) Core process capability gap determination is applicable for a minimum set of activities within a single organization (for example, when an organization proposes to meet a specified requirement by deploying its current process capability without any suppliers or sub-contractors being involved).

b) Additional process capability gap determination is applicable when an enhanced capability is proposed, or when consortia or sub-contractors are involved.

A process capability gap determination can be initiated by a service provider for a number of reasons. A service provider can initiate an assessment of capability in order to:

— identify and establish the capability gaps involved in delivering the work;

— improve specific process capability that has been identified as a weakness and capability gap to the organization;

— improve process capability and maturity to:

  — increase process capability, maturity, performance and effectiveness,

  — improve delivery to customers,

  — reduce a capability gap,

  — increase profitability;

— achieve organizational quality standards and targets in line with organization strategy;

— improve the organization's ability to compete and win new business in the ITES-BPO market.

A service provider's process capability gap determination can also provide a fundamental input to a supplier selection process for an organization planning to outsource its ITES-BPO services or be initiated by the customer during the course of service delivery to manage a capability gap and drive improvement.

Both self-assessment and independent assessment approaches can be used to assess current capability. In a contractual situation, a customer can invite the potential suppliers to provide a self-assessment set of process profiles when submitting a proposal for a contract. The customer can then choose to:

a) accept the self-assessment at face value;

b) initiate a full independent assessment, possibly using assessors from their own organization, following the guidance of ISO/IEC 30105-3, and make this a condition of contract awarding;

c) initiate a limited independent assessment, after a pilot engagement, to verify that the self-assessment is a true representation of the supplier's current process capability. This approach offers the benefit of reducing disruption to supplier's business activities caused by multiple process assessments.

Figure 5 illustrates the steps of process capability gap determination, and the information flow between the steps, which can be used with the ITES-BPO PAM as described in ISO/IEC 30105-2.

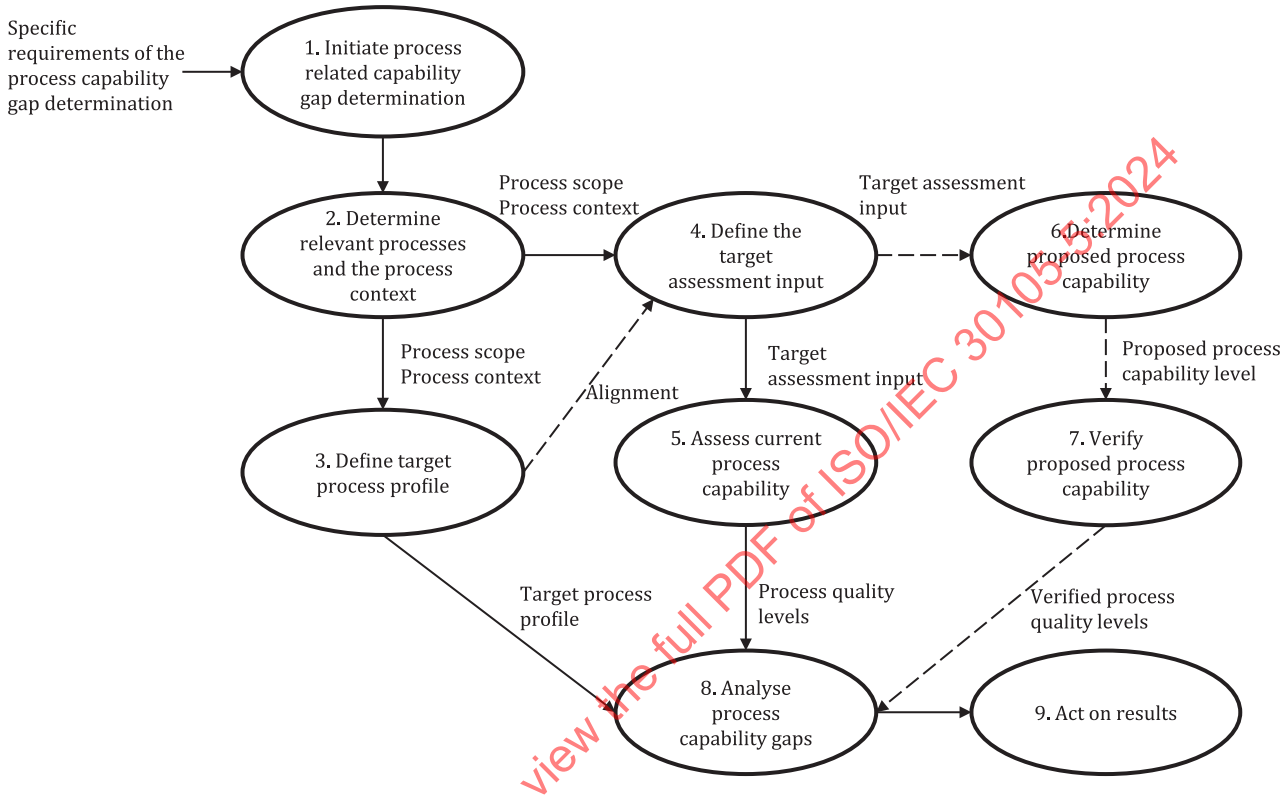


Figure 5 — Steps of process capability gap determination

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

These indicators provide guidance for assessors in accumulating the necessary objective evidence to support judgments of capability. They are not mandatory nor are they exhaustive. The steps involved in assessment of capability are based on ISO/IEC TR 33015, which introduces a process risk determination process. They are given in 11.2.

11.2 Process capability gap determination — Steps

11.2.1 Step 1 — Initiate process-related capability gap determination

The assessment sponsor first decides whether or not to carry out a process capability gap determination. The process capability gap determination should be implemented as a project in its own right with defined sponsorship, project management, budget, milestones and accountability. In short, the project should be managed according to a project management process and aligned to the PAM defined in ISO/IEC 30105-2.

A process capability gap determination plan should be produced, approved by the sponsor, and used to monitor progress. The plan should include:

— the purpose of the process capability gap determination;

— the process assessment method to be used;

— the organizational scope, i.e. the organizational unit whose processes are to be the subject of the process capability gap determination;

— the target process profile (inserted after it has been defined in step 3, 11.2.3);

— key roles and responsibilities;

— resources;

— appropriate milestones, review points and reporting mechanisms.

The sponsor may also invite the organizational unit to submit a statement of the capability that it proposes to bring to bear in meeting the specified requirement.

The assessment team may optionally align the assessment scope to the specific requirements relating to the impacts of the selected processes with identified capability gaps under investigation and the intended application of the processes. These requirements may include all aspects of the process or be related to specific elements only, such as human resources or technology elements.

11.2.2 Step 2 — Determine relevant processes and the process context

The assessment team identifies relevant processes and associated process reference and assessment models.

The process context of the intended application of the processes for a particular requirement is identified.

11.2.3 Step 3 — Define target process profile

The assessment team defines the target process profile.

The target process profile comprises a set of target process profiles that express the process capability which the assessment team judges to be adequate and are subject to any acceptable process-related risks in meeting the specified requirements for the organization and ITES-BPO service delivery.

Senior management or the assessment sponsor reviews and approves the target.

11.2.4 Step 4 — Define the target assessment inputs

The assessment inputs are prepared.

The assessment inputs should comprise, as a minimum:

— the process capability and process MF;

— the process reference and assessment model as identified in step 2;

— the identified relevant processes and the relevant process context as defined in step 2 and in line with the target process profile as defined in step 3;

— the criteria for data and information collection.

The assessment inputs may also comprise specific rating rules or recommendations.

11.2.5 Step 5 — Assess current process capability

The assessment team may invite the organizational unit to perform a conformant self-assessment (ISO/IEC 30105-2) based on the defined assessment inputs and provide the results to the assessment team.

Alternatively, the assessment team may decide to initiate an independent process assessment, considering the nature, cost and importance of the specified requirement.

In either case, the output from the assessment of current capability should take the form of a set of process profiles as defined in ISO/IEC 30105-2.

The typical risks or concerns that can affect the business process delivery can include (but not limited to) the following:

— delay in transition timelines, missing transition deadlines (leading to cost or delivery risk);

— cycle time (not able to meet the market time);

— back up skills not fully available;

— budget overshoot (in some cases due to lack of automation);

— lack of availability of right talent or skills;

— peak or seasonal spikes not planned;

— communication gaps leading to delivery misses.

11.2.6 Step 6 — Determine proposed process capability

The organizational unit may optionally submit to the assessment team a statement of the capability that it proposes to bring to bear in meeting the specified requirement. The proposed capability should be based on one or more process assessments which:

— satisfy the requirements of ISO/IEC 30105-2;

— are a true representation of the organizational unit's current process capability with respect to the given target assessment input;

— may be produced specifically for the process capability gap determination, generated during a recent self-assessment, or produced following a recent independent assessment.

A key feature of the ISO/IEC 30105 series is that process assessment outputs are re-usable. Many organizational units will have a repository of process assessment outputs generated as part of a process improvement programme. If a number of suitable process assessments are available, then the organizational unit may use the outputs as the basis of a proposed capability. If not, then the organization may carry out a self-assessment in accordance with the requirements of ISO/IEC 30105-2.

If the organizational unit has a process improvement programme underway, then it can optionally propose to bring an improved capability to bear in meeting the specified requirement. The improved capability can be justified via a set of current process profiles plus a process improvement plan. The process improvement plan can, in turn, be supported by a process improvement track record.

If the proposed capability does not meet the requirements of the target capability, the organizational unit can optionally submit a mitigation plan, setting out the organization's view of any capability level gaps, and proposing measures to mitigate them. The organization unit can then pass a proposed capability to the assessment team, justified by the following:

a) the output of a current, conformant process assessment;

b) a process improvement plan;

c) a process improvement track record;

d) a mitigation plan.

11.2.7 Step 7 — Verify proposed process capability

If the organizational unit has submitted a statement of the process profile that it proposes to bring to bear in meeting the specified requirement, then the assessment team should review the proposed process profile to establish how much credibility it merits, and decide what further action is needed to establish confidence in it. This can typically involve:

— checking that the proposed process profile is based on one or more conformant process assessments;

— checking the credibility of any improved capability achievement by reviewing it against the defined target assessment input;

— checking the relevance and timeliness of the assessment result.

NOTE Since detailed information about the underlying assessment (e.g. the list of collected evidence or the assessment plan) can be unavailable to the assessment team, the verification can be supported by self-declaration of the providing organizational unit.

The sponsor may accept the proposed profile or decide to initiate an appropriate degree of independent process assessment. This may involve a sample of selected processes or a comprehensive independent assessment of all processes specified in the target process profile. Having carried out the verification assessment, the assessment team is able to compare this output with the organization's proposed capability and derive a profile to be used for subsequent process capability gap analysis.

If the process capability gap determination involves a number of competing suppliers, then the sponsor can wish to verify each supplier's proposed process profile by using an independent assessment team, the same assessment method and the same conformant PAM. This can provide the sponsor with greater confidence in the consistency with which each supplier is assessed, and provide the suppliers with greater confidence in the fairness of the selection process.

If several organizational units (i.e. subcontractors, partners in a joint venture, or distinct divisions of an organization) are involved in meeting a specified requirement, then the proposed process profile can comprise contributions from each of the organizational units.

11.2.8 Step 8 — Analyse process capability gaps

Process capability gaps are assessed from a range of perspectives, including risk and impact (or probability of occurring), potential organizational benefits from addressing gaps (including return on investment), and the contribution that addressing the gap would make towards the business strategy and objectives.

The chosen process capability gap determination method should contain a defined approach to analysing the capability gap.

11.2.9 Step 9 — Act on results

If the process capability gap determination has been carried out to understand the suitability of another organization's processes for a particular contract, then the sponsor should consider the assessment results and any identified capability gaps or risks, not only in making contract award decisions, but also when establishing contractual commitments related to improvement and risk management activities.

If the process capability gap determination has been carried out by an organization to understand the capability of its own processes for a particular requirement, then the sponsor should consider initiating a process improvement programme to address any process-related capability gaps or risks identified.

12 Process improvement

12.1 Purpose and outcomes

The purpose of process improvement is to continually improve the organization’s effectiveness and efficiency through alignment of the processes with the business need.

As a result of successful implementation of process improvement:

— commitment is established to provide resources to sustain improvement actions;

— issues arising from the organization's internal or external environment are identified as improvement opportunities and justified as reasons for change;

— analysis of the current status of the existing process is performed, focusing on those processes from which improvement stimuli arise;

— improvement goals are identified and prioritized, and consequent changes to the process are defined and implemented;

— the effects of process implementation are monitored and confirmed against the defined improvement goals;

— knowledge gained from the improvements is communicated within the organization;

— delivered improvements are evaluated and consideration is given to deployment elsewhere within the organization.

The information sources providing input for change can include: process assessment results, audits, customer satisfaction reports, organizational effectiveness or efficiency, cost of quality.

The current status of processes can be determined by process assessment, such as that defined by the ISO/IEC 30105 series for an ITES-BPO service.

12.2 Types of process improvement

Process improvement can be initiated and undertaken at operational, tactical and strategic levels, depending on the process and results stability, and the maturity of the organization. These types of improvement are shown in Figure 6. The terms T1, T2 and T3 are explained below the figure.

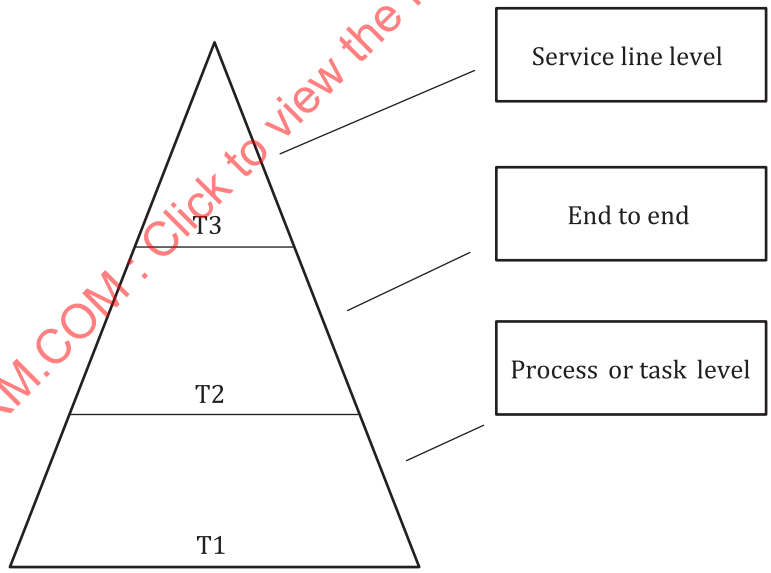


Figure 6 — Types of process improvements

— T1: This refers to task or process level improvement. This covers improvements only for the tasks outsourced to the service provider. This typically happens in a very transactional environment, where low-end tasks are outsourced to the service provider.

— T2: This includes the end-to-end process improvement, encompassing both the customer and service provider process elements. The key is that it covers the full service line. This is the next level of maturity in the engagement, where the service provider is able to undertake end-to-end service improvement, including those elements of the processes that are not outsourced.

— T3: This refers to the overall line of service or business and is holistically owned by the customer. This is the overarching next level of maturity, where the service provider is a strategic partner for the customer. This needs the service provider to be able to demonstrate and deliver strong and accurate domain knowledge, significant execution capabilities and thought leadership. Often, these outcomes are transformational, generating a non-linear step change in outcomes.

Figure 7 shows the steps of a process improvement programme using a conformant process assessment.

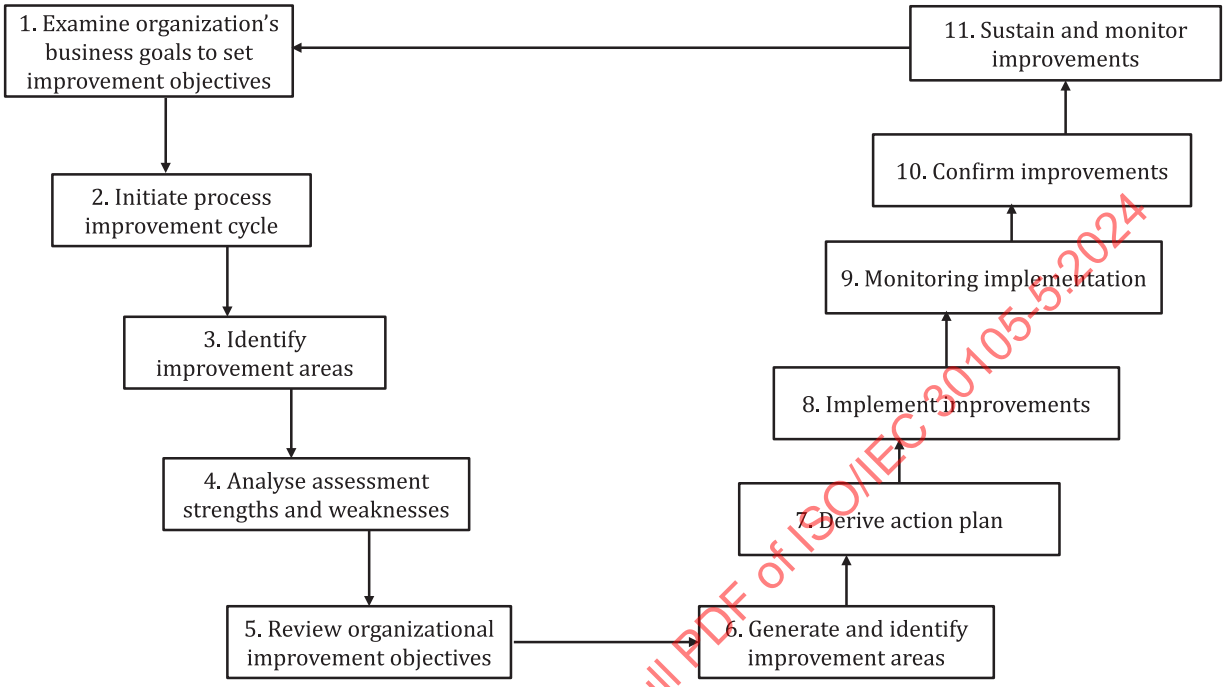


Figure 7 — Steps of the process improvement programme

12.3 Process improvement programme

12.3.1 Examine organization's business goals to set improvement objectives

The business goals of an organization, in this case a service provider, are typically centred on achieving the following:

— customer satisfaction and experience;

— greater competitiveness;

— improved business value associated with delivery of services;

— more delivery at less cost;

— repeat sales;

— lower cost of operations;

— consistency in delivery;

— meet and deliver expectations;

— sustainability in business;

— business growth at a healthy and sustainable rate, year on year;

— driving the digital strategy for the organization.

These key management challenges become drivers that initiate process improvement throughout the organization with the following objectives:

a) increasing service quality;

b) decreasing cost of operations;

c) process optimization;

d) decreasing time to market;

e) increasing predictability and controllability of processes;

f) decreasing variability between services;

g) reducing the linearity between volume of work and effort;

h) improving right first time;

i) improving manual, duplicate steps in the end-to-end processing;

j) improving the level or process automation or controls.

Through analysis of the organization's business goals and existing stimuli for improvement, the objectives of process improvement are identified. Setting improvement objectives also initially involves determining which PRM can best address the organization's business goals and defining a set of target process profiles or target process capability levels that can deliver the most effective improvement actions. This determines the processes to be assessed and sets the improvement targets.

Following analysis of the organization's business goals, it is essential to build executive awareness of the necessity for a process improvement programme, which should require both managerial and financial commitments.

The objectives of such a process improvement programme should be clearly stated, understood and expressed using measurable objectives. The process improvement programme should form part of the organization's overall strategic business plan.

The executive decision to undertake the process improvement programme, together with the identification of a preliminary process improvement programme budget and the primary process improvement priorities, can enable the improvement process to progress.

12.3.2 Initiate process improvement cycle

The process improvement programme should be implemented as a project in its own right, with defined sponsorship, project management, budget, milestones and accountability. In short, the project should be managed according to a project management process, aligned to the PAM being used (in this case, as defined in ISO/IEC 30105-2).

Sponsorship can be implemented in a variety of ways, according to the culture of the organization. In non-hierarchical or higher maturity organizations, for example, sponsorship and project management can both be delegated to working level, although authorities, roles and responsibilities should always be clearly defined.

A process improvement programme plan should be produced and used to monitor progress. The plan should include the following:

— background, history and current status of organizational process improvement activities;

— improvement objectives derived from organizational business goals;

— organizational scope — the organizational boundaries for the improvement programme;

— process scope — the processes to be improved;