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

Part 4: Key concepts

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

Partie 4: Concepts clés

Reference number
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Foreword

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

This second edition cancels and replaces the first edition (ISO/IEC 30105-4:2016), which has been technically revised.

The main changes are as follows:

— This edition addresses editorial issues in the 1st edition of ISO/IEC 30105-4:2016.

— This edition modifies terms to use the same definition as the source, except for the ones agreed for modification.

— This edition is revised to contain only those terms that are relevant to ISO/IEC 30105-4.

— The title has been modified from “Terms and concepts” to “Key concepts.”

— “Work product” has been changed to “Information item” by reflecting the term used in ISO/IEC/IEEE 24774:2021.

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

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

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 services. 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.

The ISO/IEC 30105 series specifies the lifecycle process requirements involved in the ITES-BPO industry.

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

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

— It is an improvement standard that enables risk determination and improvement for service providers performing outsourced business processes.

— It also serves as a 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 improvements 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, 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 aligned with the supply chain relationship depicted in ISO/IEC 20000-1:2018, 8.3.1.

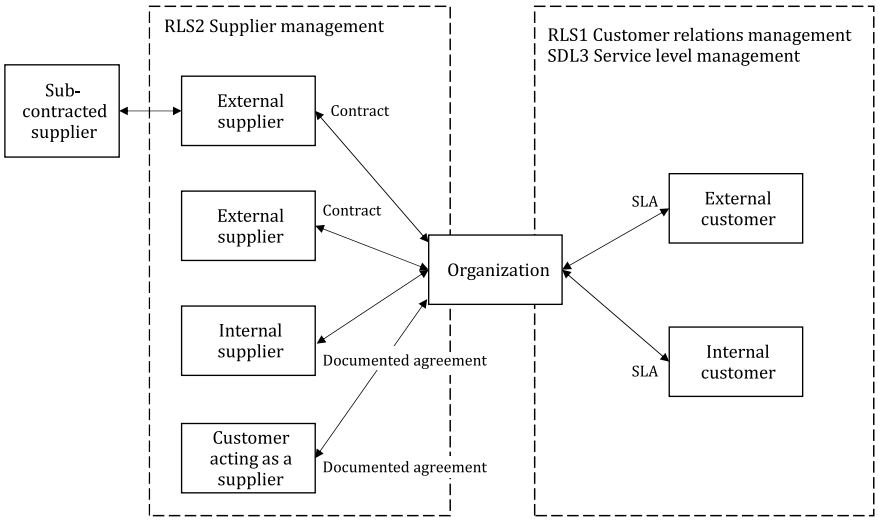

Figure 1 — ITES-BPO key entities

NOTE The ITES-BPO process IDs RLS1, RLS2, SDL3 are shown in Figure 3 — ITES-BPO lifecycle process categories and processes.

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

Part 4: Key concepts

1 Scope

The ISO/IEC 30105 series 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;

— details the lifecycle of ITES-BPO and the relationship between ISO/IEC 30105-1, ISO/IEC 30105-2, ISO/IEC 30105-3, ISO/IEC 30105-5 and other relevant International Standards.

2 Normative references

There are no normative references in this document.

3 Terms, definitions and abbreviated terms

For the purposes of this document, the following terms and definitions 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 indicator
sources of objective evidence used to support the assessor's judgement in rating process attributes

Note 1 to entry: Examples include practice, information item, or resource.

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

3.1.2
business continuity
capability of an organization to continue the delivery of products and services within acceptable time frames at predefined capacity to pre-defined performance levels during a period of disruption

[SOURCE: ISO 22301: 2019, 3.3, modified – "at predefined capacity during a disruption" has been changed to "at predefined capacity to pre-defined performance levels during a period of disruption".]

3.1.3
business process
collection of related, structured activities that produce a specific service or product for a particular customer

3.1.4
capability dimension
set of elements in a process assessment model explicitly related to the measurement framework for process capability

3.1.5
defined process
implemented process that is managed and tailored from the organization's set of standard processes according to the organization's tailoring guidelines

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

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

3.1.6
infrastructure
hardware, software, working environment and controls to support business process outsourcing

3.1.7
innovation
new or changed entity, realizing or redistributing value

Note 1 to entry: Value is relative to, and determined by, the perception of the *organization* (3.1.10) and relevant interested parties.

Note 2 to entry: An innovation can be a product, service, *process* (3.1.13), model, method, etc.

Note 3 to entry: Innovation is an outcome. The word "innovation" sometimes refers to activities or processes resulting in, or aiming for, innovation. When "innovation" is used in this sense, it should always be used with some form of qualifier, e.g. "innovation activities".

Note 4 to entry: For the purpose of statistical measurement, refer to the Oslo Manual 2018, 4th edition, by OECD/Eurostat. See Annex B.2 for a comparison between the definitions of innovation by ISO and the OECD/Eurostat.

[SOURCE: ISO 56000:2020, 3.1.1]

3.1.8
maturity model
model derived from one or more specified process assessment model(s) that identifies the process sets associated with the levels in a specified scale of organizational process maturity

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

3.1.9
objective evidence
data supporting the existence or veracity of something

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

Note 2 to entry: Objective evidence for the purpose of audit generally consists of records, statements of fact or other information which are relevant to the audit criteria and verifiable.

[SOURCE: ISO 9000:2015, 3.8.3]

3.1.10
organization
person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives

[SOURCE: ISO 9000:2015, 3.2.1, modified — Notes 1 and 2 to entry have not been included.]

3.1.11
outsourcing
business model for the delivery of a product or services to a customer by a provider

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

— the outsourcing process is based on a sourcing decision (make or buy);

— resources can be transferred to the provider;

— the provider is responsible for the product or service for an agreed period of time;

— the accountability for delivery outcomes is owned by the customer and the provider is responsible for performing the services.

[SOURCE: ISO 37500:2014, 3.10, modified – client has been changed to customer, and Note 1 entry has been added.]

3.1.12
preventive action
action to eliminate the cause of a potential non-compliance or other potential undesirable situation

Note 1 to entry: There can be more than one cause for a potential nonconformity.

Note 2 to entry: Preventive action is taken to prevent occurrence whereas corrective action is taken to prevent recurrence.

[SOURCE: ISO 9000:2015, 3.12.1]

3.1.13
process
set of interrelated or interacting activities that use inputs to deliver an intended result

Note 1 to entry: Whether the “intended result” of a process is called output, product or service depends on the context of the reference.

Note 2 to entry: Inputs to a process are generally the outputs of other processes and outputs of a process are generally the inputs to other processes.

Note 3 to entry: Two or more interrelated and interacting processes in series can also be referred to as a process.

Note 4 to entry: Processes in an organization are generally planned and carried out under controlled conditions to add value.

Note 5 to entry: A process where the conformity of the resulting output cannot be readily or economically validated is frequently referred to as a “special process”.

Note 6 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 to prevent circularity between process and output, and Notes 1 to 5 to entry have been added.

[SOURCE: ISO 9000:2015, 3.4.1]

3.1.14
process assessment
disciplined evaluation of an organization unit's processes against a process assessment model

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

3.1.15
process assessment model
model suitable for the purpose of assessing a specified process quality characteristic, based on one or more *process reference models* (3.1.24)

Note 1 to entry: Process assessment models addressing a specific process quality characteristic can include the identification of the characteristic in the title; for example, a process assessment model addressing process capability can be termed a "process capability assessment model".

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

3.1.16
process attribute
PA
measurable property of a process quality characteristic

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

3.1.17
process capability
characterization of the ability of a process to meet current or projected business goals

[SOURCE: ISO/IEC 33020:2019, 3.4]

3.1.18
process capability level
characterisation of a process on an ordinal measurement scale of process capability

[SOURCE: ISO/IEC 33020:2019, 3.5]

3.1.19
process dimension
set of process elements in a process assessment model explicitly related to the processes defined in the relevant process reference model(s)

Note 1 to entry: For example, in ISO/IEC 33061, the elements of the process dimension include processes, process purpose statements, process outcomes, and process performance indicators.

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

3.1.20
process outcome
observable result of the successful achievement of the process purpose

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

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

3.1.21
process performance
extent to which the execution of a process achieves its purpose

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

3.1.22
process quality
ability of a process to satisfy stated and implied stakeholder needs when used in a specified context

[SOURCE: ISO/IEC 33001:2015, 3.4.8]

3.1.23
process quality characteristics
measurable aspect of process quality; *category of process attributes* (3.1.16) that are significant to process quality

[SOURCE: ISO/IEC 33001:2015, 3.4.9]

3.1.24
process reference model
model comprising definitions of processes in a domain of application described in terms of process purpose and outcomes, together with an architecture describing the relationships between the processes

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

3.1.25
transition in
activities for migrating agreed upon knowledge, assets, liabilities, systems, processes and people from the customer to the provider or back in-house, in order to create desired delivery capability

[SOURCE: ISO 37500:2014, 3.24, modified– "client" has been changed to "customer".]

3.1.26
transition out
activities for migrating agreed upon knowledge, assets, liabilities, systems, processes and people from one service provider to another, or back in-house, enabling the customer to change service provider or service solution

3.1.27
work environment
set of conditions under which work is performed

Note 1 to entry: Conditions can include physical, social, psychological and environmental factors (such as temperature, lighting, recognition schemes, occupational stress, ergonomics and atmospheric composition).

[SOURCE: ISO 9000:2015, 3.5.5]

3.2 Abbreviated terms

BP	base practice
GP	generic practice
GR	generic resource
ITES-BPO	IT Enabled Services-Business Process Outsourcing
MF	measurement framework
OMM	organization maturity model
PA	process attributes
PAM	process assessment model

PCI	process capability indicator
PPI	process performance indicator
PRM	process reference model
SLA	service level agreement

4 Concepts

4.1 General

The ISO/IEC 30105 series establishes a framework for performing process assessment for an ITES-BPO service. This framework can be extended and adapted to address the assessment of other process quality characteristics with additional guidance to support its application and ongoing improvement. The principal focus of ISO/IEC 30105 series is on assessment of the process quality characteristic of process capability.

The framework provides a structured approach for the assessment of processes by an organization for the following purposes:

— to understand the state of its own processes for process improvement;

— to determine the suitability of its own processes for a particular requirement or set of requirements;

— to determine the suitability of another organization's processes for a particular contract or set of contracts.

The framework for process assessment:

— facilitates self-assessment;

— provides a basis for use in process improvement and risk determination;

— takes into account the context in which the assessed process is implemented;

— enables production of a process profile;

— addresses the ability of the process to achieve its purpose;

— is appropriate across all business process domains and sizes of organization;

— provides an objective benchmark among organizations.

4.2 ITES-BPO lifecycle process categories

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

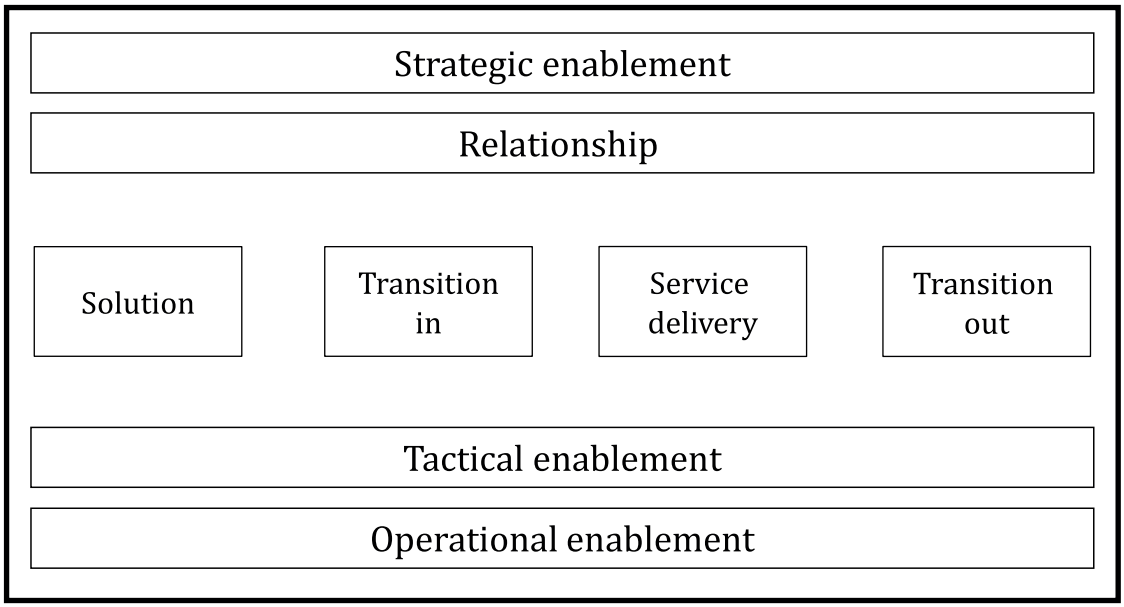

Figure 2 — ITES-BPO lifecycle process categories

The ITES-BPO process categories are as follows.

— **Strategic enablement processes**:

Leading the organization towards achievement of business objectives by providing resources and direction, and achieving customer satisfaction.

Strategic enablement processes include strategic direction and review of the business performance against plan for the service provider organization, and innovation to drive breakthrough changes.

— **Relationship processes**:

Establishing processes for managing customers and suppliers to ensure objectives are aligned and their relationships are managed.

Relationship processes cover the relationship of the service provider with the customer and the suppliers.

— **Solution processes**:

Developing feasible solutions, including the transition approach (e.g. proposals to transfer knowledge, mobilize people and create the infrastructure), service delivery risk management, information security and business continuity. A suitable solution can lead development, negotiation and agreement of the contract.

Solution processes include details on how the ITES-BPO solution is envisaged and the contract developed and managed.

— **Transition in processes**:

Migrating a business process from customer and other incumbent suppliers, delivery to service provider delivery via seamless transfer of knowledge, service set-up and effective project management, to ensure that services are available and service levels are achieved, in line with contracted service requirements.

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**:

Managing and executing the customer's business processes on a day-to-day basis as an extension of the customer's business, in line with the defined processes to meet the agreed service levels, with required service reporting.

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**:

Migrating a process from service provider delivery to that of the customer or an alternative service provider customer, including human resources, processes, technology and knowledge, ensuring continued service to the customer, during the transition period.

Transition out process covers the movement of the business process delivery back to the customer or to a different service provider.

— **Tactical enablement processes**:

Managing, assuring and improving service delivery through a set of key processes that underpin seamless and effective delivery, including financial, risk, knowledge, change, business continuity, audit, review and improvement, and maintaining alignment to business needs.

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**:

Operational enablement processes involve a set of processes that ensures day-to-day operations of service delivery are supported and are performed alongside the service delivery processes.

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

Table 1 — ITES-BPO lifecycle process categories

Process categories	Process	Description
Strategic enablement	Strategic planning and direction setting	Determines the strategic objectives based on analysis of external environment and internal capability. Develops business plans and reviews performance against these plans.
	Innovation management	Drives delivery of major change to deliver significant benefits to stakeholders.
Relationship	Customer relations management	Establishes and implements management of customer relationships.
	Supplier management	Establishes and implements management of suppliers to meet identified requirements.
Solution	Solution development	Identifies any supplier requirements. Identifies constraints. Designs the complete solution, develops the key deliverables and achieves sign-off by the customer.

Table 1 *(continued)*

Process categories	Process	Description
	Contract lifecycle management	Develops, agrees and manages the contract in consultation with customer. Undertakes due diligence: — assessment of customer's baseline performance; — assessment of customer's legal, business, statutory and regulatory requirements, translating them into deliverables from the service provider. Understands the contract financials, obligations, and limitations. Ensures adherence to contractual requirements.
Transition in	People mobilization	Identifies the resources required with the relevant skill sets for employee recruitment to enable service delivery. Creates training plans, milestones and review mechanisms. Plans and implements required training for pilot team. Aligns the stakeholders within the customer organization and obtains formal agreement for the people mobilization.
	Infrastructure setup — technology	Evaluates and finalizes detailed technology requirements and fulfilment plan, including: — design to meet technology requirements; — design of the technology setup. Implements technology with formal agreement obtained from all internal and external stakeholders.
	Infrastructure setup — non-technology	Includes the physical infrastructure, such as employee facilities, premises, security, housekeeping and transport. Management, maintenance and monitoring of non-technology infrastructure within the agreed requirements with the customer or set internally. Implements non-technology infrastructure with formal agreement obtained from all internal and external stakeholders.
	Knowledge transfer	Maps and attains knowledge of the customer process. Creates training material which details the customer process; training plan key contacts and, process checkpoints.
	Service delivery planning	Creates mechanisms for operational service measurement, management and governance. Identifies potential risks in the process and prepares mitigating plans.

Table 1 *(continued)*

Process categories	Process	Description
	Pilot implementation	Creates the project plan in the pilot stage with customer agreement. Defines success criteria to support sign-off of pilot completion. Executes the pilot plan. Validates SLAs and baseline process service levels. Assesses service delivery readiness to implement. Achieves sign-off of pilot based on agreed success criteria and formal agreement to proceed into service delivery.
Service delivery	Service delivery execution	Undertakes service delivery in accordance with the service delivery plan to meet customer requirements.
	Service delivery reporting	Reports the status of performance and deliverables at a defined frequency.
	Service level management	Monitors and manages delivery to service level targets as agreed with the customer.
	Business process management	Manages and optimizes the business process in an effective way through appropriate controls.
Transition out	Transition out	Establishes and implements plans for the transfer of the service to the customer/service provider to meet defined requirements and contractual commitments. This may include: — assets; — resource; — knowledge.
Tactical enablement	Management review	Performs a comprehensive review of its management system periodically and takes actions to address deficiencies and gaps identified in this review.
	Financial management	Ensures effective management of finances and funding.
	Change management	Ensures all changes are recorded, assessed, authorized and controlled.
	Knowledge management	Establishes and implements knowledge sharing among stakeholders. Identifies, controls and provides the required knowledge to enable resources to perform their work and deliver improvements. Establishes and maintains a set of knowledge assets for use across the organization.
	Risk management	Identifies, monitors and manages risks. Evaluates and mitigates risks to understand and minimize impact to service delivery.
	Business continuity management	Identifies requirements and monitors and manages business continuity. Provides assurance to customers with an appropriate business continuity plan to ensure continuity of business services to agreed service levels during and after service disruptions.
	Audit management	Monitors delivery conformance through an audit process, initiating the necessary actions for identified non-conformances.

Table 1 *(continued)*

Process categories	Process	Description
	Continual improvement	Identifies continual improvements opportunities. Initiates improvements to continually improve the processes.
Operational enablement	Transaction quality management	Monitors transaction quality on the basis of agreed verification strategy. Provides feedback to employees on the quality of service and initiates any appropriate corrective/preventive action.
	Information security management	Protects the confidentiality, integrity and availability of the data and information.
	Compliance management	Monitors and manages adherence to legislative, regulatory and statutory requirements.
	Human resource management	Monitors and manages recruitment and attrition. Defines and manages non-standard working arrangements. Defines performance management, reward and recognition, professional development and employee satisfaction mechanisms.
	Infrastructure and technology management	Ensures the infrastructure and technology are monitored, supported and managed to meet business and service delivery requirements. Establishes and maintains measurement of infrastructure and technology performance, capacity and availability, aligned to business needs.
	Work environment management	Establishes and maintains a work environment that enables employees to work efficiently and effectively.
	Issue management	Identifies and tracks issues to closure. Initiates necessary corrective/preventive action based on analysis of the root cause.

4.3 The assessment framework

4.3.1 ISO/IEC 30105-1 — Process reference model (PRM)

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

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

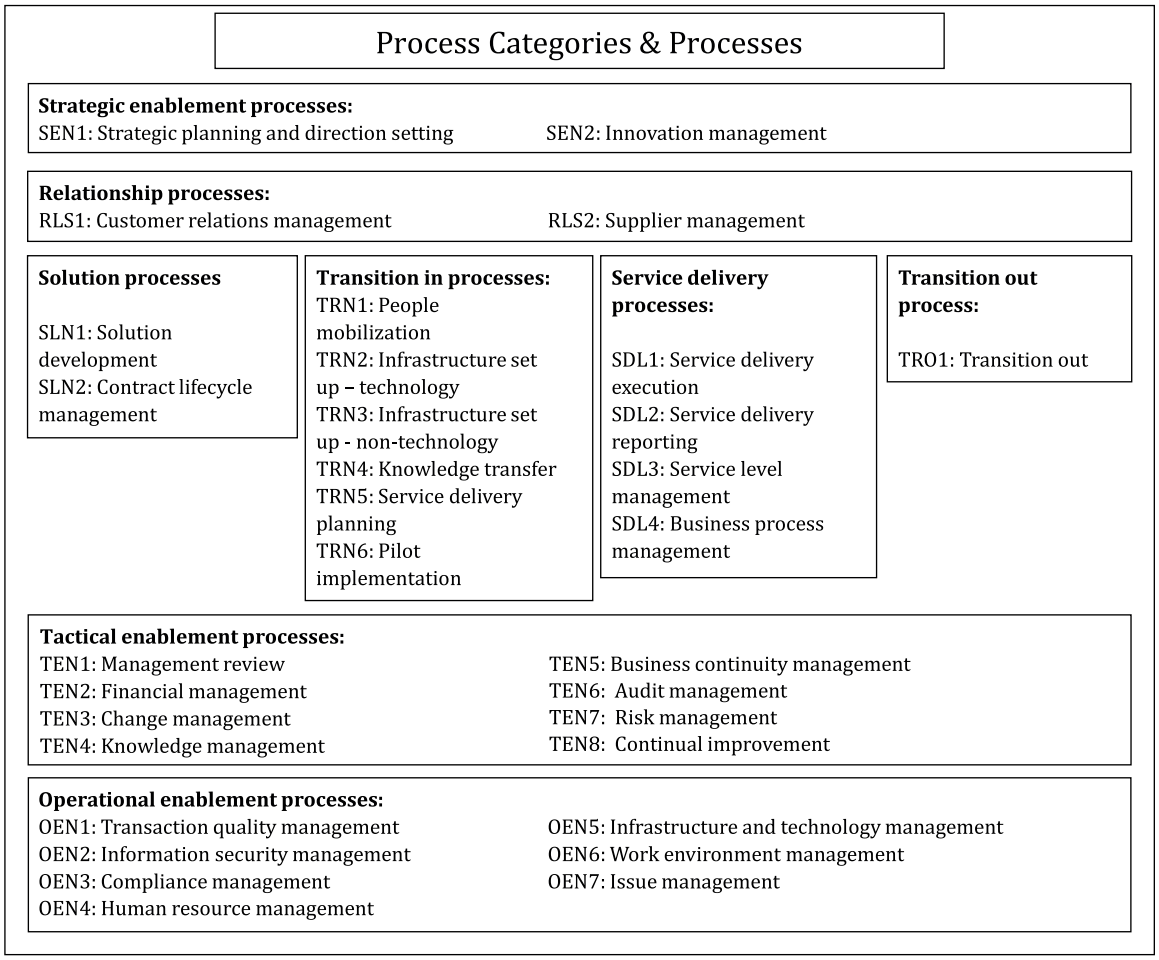

Figure 3 — ITES-BPO lifecycle process categories and processes

Each process in the PRM has the following descriptive elements.

a) **Name:** the name of a process is a short noun phrase that summarizes the scope of the process, identifying the principal concern of the process, and distinguishes it from other processes within the scope of the PRM.

b) **Context:** for each process, a brief overview describes the intended context of the application of the process.

c) **Purpose:** the purpose of the process is a high level and overall goal for performing the process.

d) **Outcomes:** an outcome is an observable result of the successful achievement of the process purpose. Outcomes are measurable, tangible technical or business results that are achieved by a process. They are observable and assessable.

A typical process in a PRM appears as shown in Table 2:

Table 2 — Example of a typical process in a PRM

Name	Solution development
Context	This process covers the development of a solution meeting customer requirements.
Purpose	The purpose of the SLN1 process is to develop solutions that meet the identified customer requirements within known constraints.
	As a result of the successful implementation of this process:

Table 2 *(continued)*

Outcomes	a) customer requirements and known constraints are defined; b) a project plan is developed for transition and delivery of the required outsourced business processes; c) solutions are identified for the transition and the delivery of services that meet agreed current and future business needs; d) customer success criteria are clearly defined; e) solutions are formally accepted by the customer.

4.3.2 ISO/IEC 30105-2 — Process assessment model (PAM)

4.3.2.1 PAM overview

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

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

Figure 4 shows the interrelationship of the PRM with the PAM and establishes the link with the MF that enables process capability assessment and organization maturity determination.

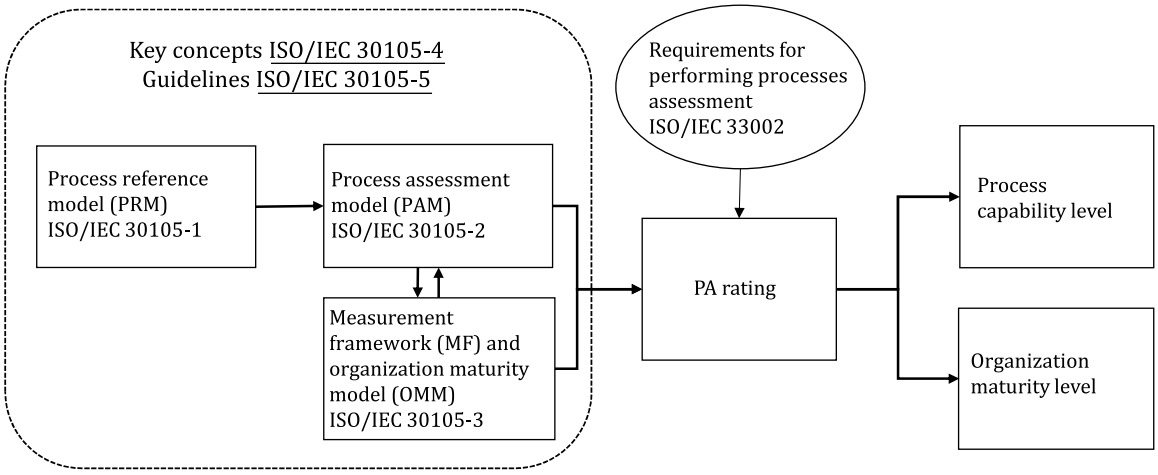

Figure 4 — Interrelationship across the Parts of the ISO/IEC 30105 series

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

— **Process dimension**: processes are defined and classified into process categories.

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

The PAs provide the measurable characteristics of process capability.

There are two types of assessment indicators: PCIs, which apply to capability levels 1 to 5 and PPIs.

PCIs enable 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.

Types of PCI are:

— GP;

— GR;

— Generic information item.

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

Types of PPI are:

— BP;

— information item.

Figure 5 explains the relationship between PRM, PAM, MF and OMM.

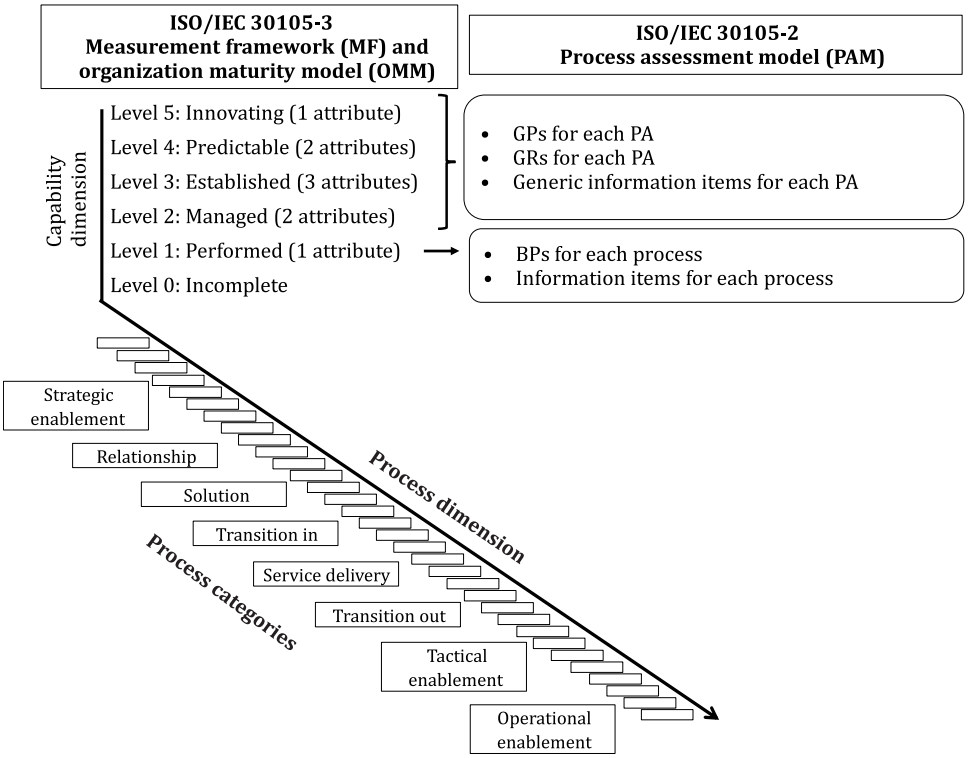

Figure 5 — Relationship between PRM, PAM, MF, and OMM

The ITES-BPO PRM and the capability dimension defined in ISO/IEC 30105 series cannot be used alone as the basis for conducting reliable and consistent assessments of process capability since the level of detail available is not sufficient. The descriptions of process purpose and outcomes in the PRM and the PA definitions in ISO/IEC 30105 series need to be supported by a comprehensive set of PPIs and PCIs to undertake performance assessment.

4.3.2.2 Process dimension

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

Each process in the PAM is described by a purpose statement which contains objectives of the process and a set of specific expected outcomes. The outcomes are associated with the process purpose statements, and indicate the expected positive result of the process performance.

Satisfying the purpose statements of a process represents the only step in achieving a level 1 process capability where the expected outcomes are observable.

4.3.2.3 Capability dimension

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

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

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

4.3.2.4 Assessment indicators

4.3.2.4.1 Assessment indicators overview

The PAM is based on the principle that the capability of a process can be assessed by demonstrating the achievement of PAs on the basis of evidence related to assessment indicators. There are two types of assessment indicators: PCIs, which apply to capability levels 1 to 5, and PPIs, which are defined only for capability level 1. The process performance and PCIs defined in the PAM represent types of objective evidence that might be found in an implementation of a process and therefore can be used to judge achievement of capability.

Figure 6 shows how the assessment indicators are related to process performance and process capability.

Figure 6 — Relationship of process assessment indicators with PCI and PPI

4.3.2.4.2 PCI

The three types of PCIs related to levels 1 to 5 are identified in Figure 7. They are intended to be applicable to all processes.

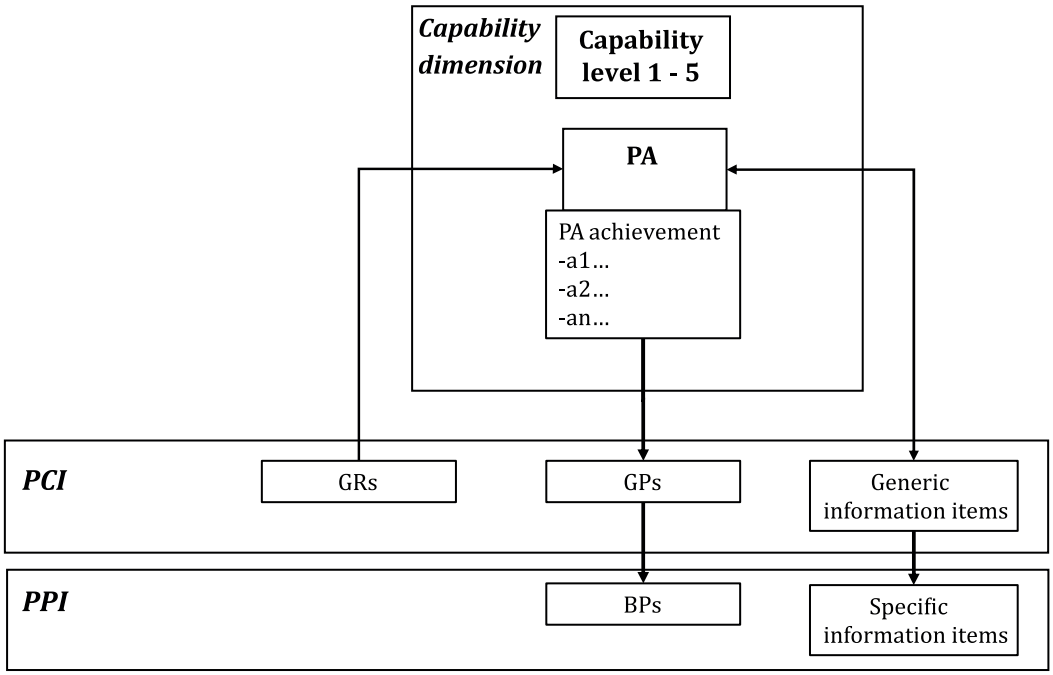

Figure 7 — Process assessment indicators

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

The GP indicators are activities of a generic type and provide guidance on the implementation of the attribute's characteristics. They support the achievement of the PAs and many of them concern management practices, i.e. practices that are established to support the process performance as it is characterized at level 1.

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

The generic information item indicators are sets of characteristics that are expected to be evident in information items of generic types as a result of achievement of a PA. The generic information items form the basis for the classification of the information items defined as PPIs. They represent basic types of information items from all types of process.

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

Due to the fact that level 1 capability of a process is only characterized by the measure of the extent to which the process purpose is achieved, the process performance attribute (PA 1.1) has a single GP indicator (GP 1.1.1). In order to support the assessment of PA 1.1 and to amplify the process performance achievement analysis, additional PPIs are defined in the PAM.

4.3.2.4.3 PPIs

As mentioned in 4.3.2.1, there are two types of PPIs: BPs and information items indicators. PPIs relate to individual processes defined in the process dimension of the PAM and are chosen to explicitly address the achievement of the defined process outcomes.

Evidence of performance of the BPs and the presence of information items with their expected characteristics provide objective evidence of the achievement of the process outcomes.

A BP is an activity that addresses the purpose of a particular process. Consistently performing the BPs associated with a process helps to consistently achieve the process purpose. A coherent set of BPs is associated with each process in the process dimension. The BPs are described at an abstract level, identifying "what" should be done without specifying "how". Implementing the BPs of a process should achieve the basic outcomes that reflect the process purpose. BPs represent only the first step in building process capability, but they represent the unique, functional activities of the process, even if that performance is not systematic.

The performance of a process requires information items that are identifiable and usable in achieving the purpose of the process. In this ITES-BPO assessment model, each information item has a defined set of example characteristics that can be used when reviewing the information item to assess the effective performance of a process. Information item characteristics can also be used to identify the corresponding information item that is used or produced by the organization being assessed.

4.3.3 ISO/IEC 30105-3 — Measurement framework (MF) and organization maturity model (OMM)

4.3.3.1 MF

Within a MF, the measure of capability is based upon a set of PAs. Each PA defines a measurable property of process capability. The extent to which PAs are achieved is characterized on a defined rating scale. The process capability level for an assessed process is derived from the set of PA ratings represented in the process profile. 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 relationships between them, e.g. the achievement of one PA can be associated with the achievement of another PA within the MF.

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

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

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

An indicator is defined as sources of objective evidence used to support the assessor's judgement in rating PAs.

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

The existence of BPs, information items and information item characteristics provides evidence of the performance of the relevant process. Similarly, the existence of PCIs provides evidence of process capability.

The evidence obtained is recorded in a form that clearly relates to an associated indicator, such that the assessor's judgement can be readily confirmed or verified as required by ISO/IEC 33002:2015.

The result of an assessment, using a PAM that incorporates this MF, is a set of process profiles — ratings of the achievement of the set of PAs for each process in the scope of the assessment. The result can also be expressed in terms of 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.

4.3.3.2 Process capability level model — Achievement of process capability levels

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 Table 3, which is more fully explained in ISO/IEC 30105-3.

Table 3 — Capability level ratings

Scale	PA	Rating
Level 0	Process performance	Largely(–) or below
Level 1	Process performance	Largely(+) or fully
Level 2	Process performance	Fully
	Performance management	Largely(+) or fully
	Documented information management	Largely(+) or fully
Level 3	Process performance	Fully
	Performance management	Fully
	Documented information management	Fully
	Process definition	Largely(+) or fully
	Process deployment	Largely(+) or fully
	Process assurance	Largely(+) or fully
Level 4	Process performance	Fully
	Performance management	Fully
	Documented information management	Fully
	Process definition	Fully
	Process deployment	Fully
	Process assurance	Fully
	Quantitative analysis	Largely(+) or fully
	Quantitative control	Largely(+) or fully
Level 5	Process performance	Fully
	Performance management	Fully
	Documented information management	Fully
	Process definition	Fully
	Process deployment	Fully
	Process assurance	Fully
	Quantitative analysis	Fully
	Quantitative control	Fully
	Process innovation	Largely(+) or fully

4.3.3.3 OMM

An organization's maturity is measured on a six-point ordinal scale from Level 0 Organization — Immature Organization, through 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.

ISO/IEC 30105-3 defines the rules for deriving ITES-BPO organization maturity levels based on the ITES-BPO PA ratings achieved following process capability assessment for the processes defined in ISO/IEC 30105-2.

4.3.3.4 Major elements of the assessment process

The major elements of the assessment process are illustrated in Figure 8. This defines the relationship between assessment of process capability and derivation of organization maturity.

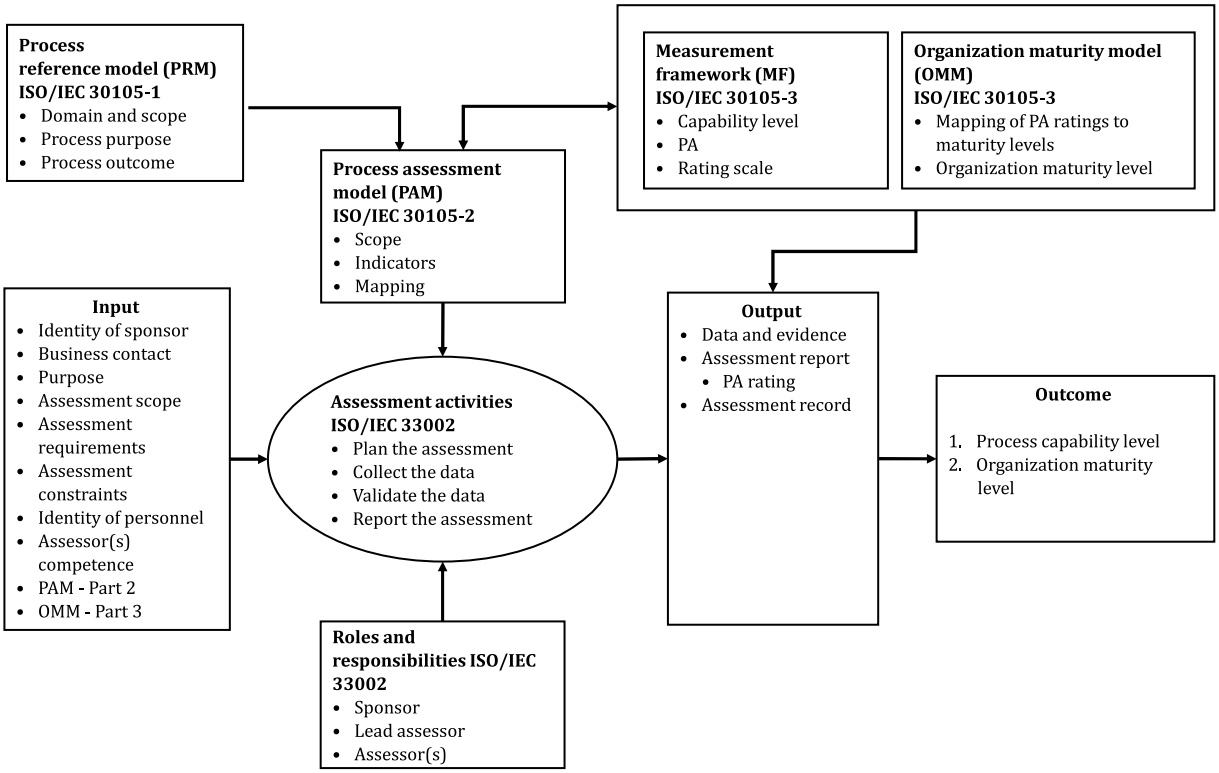

Figure 8 — Relationship between assessment of process capability and derivation of organization maturity

4.3.4 ISO/IEC 30105-4 — Key concepts

This document provides:

— terms and definitions with appropriate source references where applicable;

— concepts within the assessment framework.

4.3.5 ISO/IEC 30105-5 — Guidelines

This document aims to provide guidance on:

— the key parts of ISO/IEC 30105 series, including the PAM, MF and the OMM;

— how to undertake process assessment and determine organization maturity through assessment of process capability gap;

— the approach to the OMM, including the organization maturity rating scale. This scale represents the extent to which an organization is able to demonstrate its maturity through process performance. Process performance is demonstrated through assessment of the organization's ability to establish, manage, and execute its processes with predicable performance;

— the use of the assessment and outcomes as part of a framework for performing process improvement in a continual cycle.

It provides support for both ITES-BPO service providers and assessors on the application of ISO/IEC 30105 series when undertaking process capability and organization maturity assessments.

5 Interrelationship between International Standards

The interrelationship between ISO/IEC 30105-1, ISO/IEC 30105-2, ISO/IEC 30105-3, ISO/IEC 30105-5 and other ISO/IEC International Standards is detailed in Figure 9.

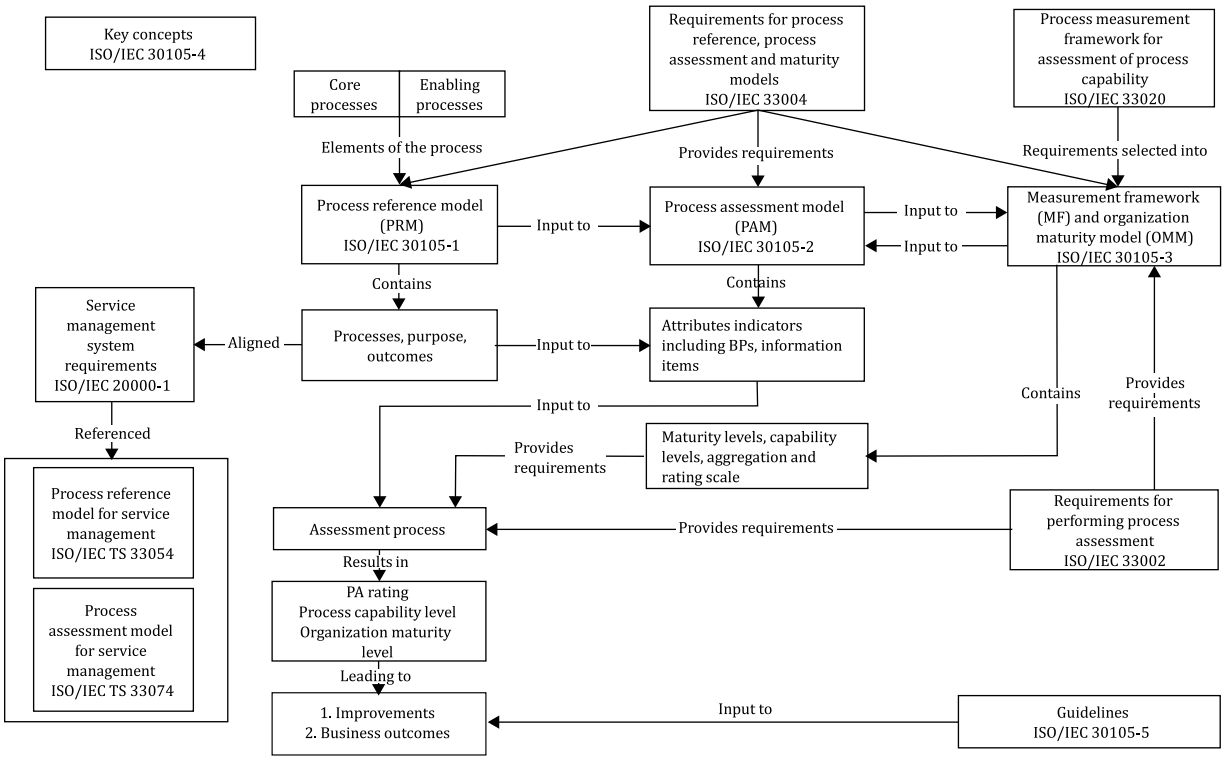

Figure 9 — Interrelationship between International Standards

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