
**Systems and software engineering —
Lifecycle profiles for Very Small
Entities (VSEs) —**

**Part 5-2-1:
Organizational management
guidelines**

*Ingénierie des systèmes et du logiciel — Profils de cycle de vie pour
très petits organismes (TPO) —*

Partie 5-2-1: Guide de gestion organisationnelle

PROOF / ÉPREUVE

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Full standard:
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Foreword

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

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

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

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

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

The committee responsible for this document is ISO/IEC JTC 1, *Information technology*, Subcommittee SC 7, *Software and systems engineering*.

The full list of parts of ISO/IEC 29110 is available [here](#).

Introduction

Very Small Entities (VSEs) around the world are creating valuable products and services. For the purpose of ISO/IEC 29110, a Very Small Entity (VSE) is an enterprise, an organization, a department or a project having up to 25 people. Since many VSEs develop and/or maintain system and software components used in systems, either as independent products or incorporated in larger systems, a recognition of VSEs as suppliers of high quality products is required.

According to the Organization for Economic Co-operation and Development (OECD) SME and Entrepreneurship Outlook report (2005), “Small and Medium Enterprises (SMEs) constitute the dominant form of business organization in all countries worldwide, accounting for over 95 % and up to 99 % of the business population depending on country”. The challenge facing governments and economies is to provide a business environment that supports the competitiveness of this large heterogeneous business population and that promotes a vibrant entrepreneurial culture.

From studies and surveys conducted, it is clear that the majority of International Standards do not address the needs of VSEs. Implementation of and conformance with these International Standards is difficult, if not impossible. Consequently, VSEs have no, or very limited, ways to be recognized as entities that produce quality systems/system elements including software in their domain. Therefore, VSEs are excluded from some economic activities.

It has been found that VSEs find it difficult to relate International Standards to their business needs and to justify the effort required to apply International Standards to their business practices. Most VSEs can neither afford the resources, in terms of number of employees, expertise, budget and time, nor do they see a net benefit in establishing over-complex systems or software lifecycle processes. To address some of these difficulties, a set of guides has been developed based on a set of VSE characteristics. The guides are based on subsets of appropriate standards processes, activities, tasks and outcomes, referred to as “profiles”. The purpose of a profile is to define a subset of International Standards relevant to the VSEs’ context; for example, processes, activities, tasks and outcomes of ISO/IEC/IEEE 12207 for software; and processes, activities, tasks and outcomes of ISO/IEC/IEEE 15288 for systems; and information products (documentation) of ISO/IEC/IEEE 15289 for software and systems.

VSEs can achieve recognition through implementing a profile and by being audited against ISO/IEC 29110 specifications.

The ISO/IEC 29110 series can be applied at any phase of system or software development within a life cycle. The ISO/IEC 29110 series is intended to be used by VSEs that do not have experience or expertise in adapting/tailoring ISO/IEC/IEEE 12207 or ISO/IEC/IEEE 15288 to the needs of a specific project. VSEs that have expertise in adapting/tailoring ISO/IEC/IEEE 12207 or ISO/IEC/IEEE 15288 are encouraged to use those International Standards instead of ISO/IEC 29110.

ISO/IEC 29110 is intended to be used with any lifecycle such as waterfall, iterative, incremental, evolutionary or agile.

The ISO/IEC 29110 series, targeted by audience, has been developed to improve system or software and/or service quality and process performance (see [Table 1](#)).

Table 1 — ISO/IEC 29110 target audience

| ISO/IEC 29110 | Title | Target audience |
|---------------|--|--|
| Part 1 | Overview | VSEs and their customers, assessors, standards producers, tool vendors and methodology vendors |
| Part 2 | Framework for profile preparation | Profile producers, tool vendors and methodology vendors Not intended for VSEs |
| Part 3 | Certification and assessment guidance | VSEs and their customers, assessors, accreditation bodies |
| Part 4 | Profile specifications | VSEs, customers, standards producers, tool vendors and methodology vendors |
| Part 5 | Management, engineering and service delivery guides | VSEs and their customers |
| Part 6 | Management and engineering guides not tied to a specific profile | VSEs and their customers |

If a new profile is needed, ISO/IEC 29110-4 and ISO/IEC TR 29110-5 can be developed with minimal impact to existing documents.

ISO/IEC 29110-1 defines the terms common to the ISO/IEC 29110 series. It introduces processes, lifecycle and standardization concepts, the taxonomy (catalogue) of ISO/IEC 29110 profiles and the ISO/IEC 29110 series. It also introduces the characteristics and needs of a VSE and clarifies the rationale for specific profiles, documents, standards and guides.

ISO/IEC 29110-2-1 introduces the concepts for systems and software engineering profiles for VSEs. It establishes the logic behind the definition and application of profiles. For standardized profiles, it specifies the elements common to all profiles (structure, requirements, conformance, assessment). For domain-specific profiles (profiles that are not standardized and developed outside of the ISO process), it provides general guidance adapted from the definition of standardized profiles.

ISO/IEC 29110-3 defines certification schemes, assessment guidelines and compliance requirements for process capability assessment (ISO/IEC 33020), conformity assessments (ISO/IEC 17021-1) and self-assessments for process improvements. ISO/IEC 29110-3 also contains information that can be useful to developers of certification and assessment methods and developers of certification and assessment tools. ISO/IEC 29110-3 is addressed to people who have direct involvement with the assessment process, e.g. the auditor, certification and accreditation bodies and the sponsor of the audit, who need guidance on ensuring that the requirements for performing an audit have been met.

ISO/IEC 29110-4-m provides the specification for all profiles in one profile group that are based on subsets of appropriate standards elements.

ISO/IEC TR 29110-5-m-n provides management, engineering and service delivery guides for the profiles in a profile group.

The future ISO/IEC TR 29110-6-x provides management and engineering guides not tied to a specific profile.

This part of ISO/IEC 29110 provides organizational management processes to VSEs which have already implemented the processes of the system engineering and/or the software engineering Basic profile.

Figure 1 describes the ISO/IEC 29110 International Standards (IS) and Technical Reports (TR) and positions the parts within the framework of reference. Overview, assessment guide, management and engineering guide are available from ISO as freely available Technical Reports (TR). The Framework document, profile specifications and certification schemes are published as International Standards (IS).

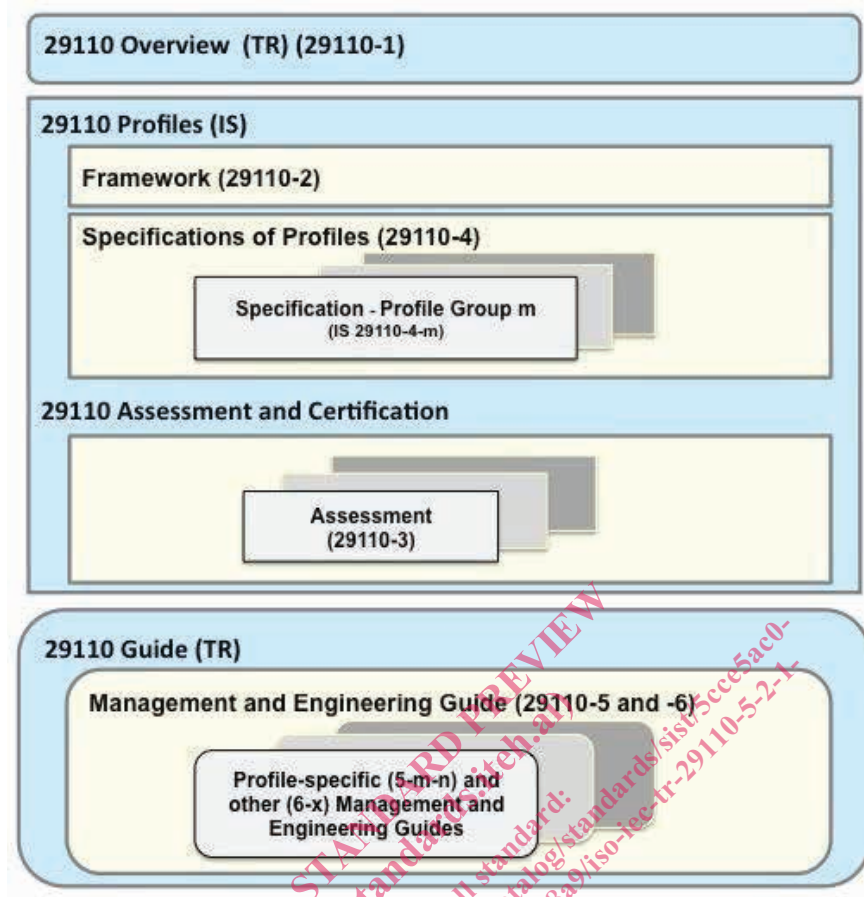


Figure 1 — ISO/IEC 29110 series

Systems and software engineering — Lifecycle profiles for Very Small Entities (VSEs) —

Part 5-2-1: Organizational management guidelines

1 Scope

1.1 Fields of application

This part of ISO/IEC 29110 is applicable to Very Small Entities (VSEs). VSEs are enterprises, organizations, departments or projects having up to 25 people. The lifecycle processes described in the ISO/IEC 29110 series are not intended to preclude or discourage their use by organizations bigger than VSEs.

This part of ISO/IEC 29110 is the Organizational management guidance for profiles described in ISO/IEC 29110-4-1 through Organizational Management, Project Portfolio Management, Resource Management and Process Management Processes. It is not intended for a VSE to use the standardized profile to implement this part of ISO/IEC 29110.

Using this part of ISO/IEC 29110, a VSE can obtain benefits in the following aspects:

- multiple project execution and supervision of its performance, making sure all processes are executed according to the organizational strategy;
- continuous monitoring of the customer satisfaction;
- deployment and improvement of the organizational standard processes in all projects;
- controlled provision of required resources.

1.2 Target audience

This part of ISO/IEC 29110 is targeted at VSEs which already use at least ISO/IEC TR 29110-5-6-2 and/or ISO/IEC TR 29110-5-1-2 for their software projects.

This part of ISO/IEC 29110 is intended to be used with any processes, techniques and methods that enhance the VSEs' customer satisfaction, quality and productivity.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 29110-2-1 apply.

4 Conventions and abbreviated terms

4.1 Naming, diagramming and definition conventions

The following process structure description and notation are used to describe the processes.

Name — process identifier, followed by its abbreviation in parentheses “()”.

Purpose — general goals and results expected of the effective implementation of the process. The implementation of the process should provide tangible benefits to the stakeholders. The purpose is identified by the abbreviation of the process name.

Objectives — specific goals to ensure the accomplishment of the process purpose. The objectives are identified by the abbreviation of the process name, followed by a consecutive number, for example RM.01, PSM.02, etc. Each objective is followed by the square box which includes a list of the chosen processes for the Basic profile from ISO/IEC/IEEE 15288 or ISO/IEC/IEEE 12207 and its outcomes related to the objective.

Input Products — products required to perform the process and its corresponding source, which can be another process or an external entity to the process, such as the Customer. Input products identified by the abbreviation of the process name and showed as two-column table of product names and sources.

Output Products — products generated by the process and its corresponding destination, which can be another process or an external entity to the project, such as Customer or Organizational Management. Output products identified by the abbreviation of the process name and showed as two-column table of product names and destinations.

Internal Products — products generated and consumed by the process. Internal products identified by the abbreviation of the process name and showed as one-column table of the product names.

All products' names are printed in cursive and initiate with capital letters. Some products have one or more statuses attached to the product name surrounded by square brackets “[]” and separated by “,”. The product status may change during the process execution. See [Clause 9](#) for the alphabetical list of the products, its descriptions, possible statuses and the source of the product. The source can be another process or an external entity to the project, such as the Customer.

Roles involved — names and abbreviation of the functions to be performed by project team members. Several roles may be played by a single person and one role may be assumed by several persons. Roles are assigned to project participants based on the characteristics of the project. The role list is identified by the abbreviation of the process name and showed as two-column table. See [Clause 11](#) for the alphabetical list of the roles, its abbreviations and required competencies description.

Diagram — graphical representation of the processes. The large round-edged rectangles indicate process or activities and the smaller square-edged rectangles indicate the products. The directional or bidirectional thick arrows indicate the major flow of information between processes or activities. The thin directional or bidirectional arrows indicate the input or output products. The notation used in the diagrams does not imply the use of any specific process lifecycle.

Activity — a set of cohesive tasks. Task is a requirement, recommendation, or permissible action, intended to contribute to the achievement of one or more objectives of a process. A process activity is the first level of process workflow decomposition and the second one is a task. Activities are identified by process name abbreviation followed by consecutive number and the activity name.

Activity Description — each activity description is identified by the activity name and the list of related objectives surrounded by parentheses “()”. For example, PSM.1 Process Management Planning and Monitoring (PSM.01, PSM.05) means that the activity PSM.1 contributes to the achievement of the listed objectives: PSM.01 and PSM.05. The activity description begins with the task summary and is followed by the task descriptions table. The task description does not impose any technique or method to perform it. The selection of the techniques or methods is left to the VSE or project team.

Tasks description table contain four columns corresponding to the following.

- Role — the abbreviation of roles involved in the task execution.
- Task List — description of the tasks to be performed. Each task is identified by activity ID and consecutive number, for example PSM.1.1, PSM.1.2, and so on.

- Input Products — products needed to execute the task.
- Output Products — products created or modified by the execution of the task.

Incorporation to the *Organizational Repository* — list of products to be saved in *Organizational Repository*; the *Organizational Repository Strategy* has to be applied to some of them.

NOTE Tables used in process description are for presentation purpose only.

4.2 Abbreviated terms

The following abbreviations are used in this document:

| | |
|------|------------------------------|
| AS | Assessor |
| CUS | Customer |
| OM | Organizational Management |
| PG | Planning group |
| PSMG | Process Manager |
| PPMG | Project Portfolio Manager |
| PSM | Process Management |
| PPM | Project Portfolio Management |
| PJM | Project Manager |
| PO | Process Owner |
| RM | Resource Management |
| RRM | Resource Manager |
| VSE | Very Small Entity |

5 Overview

The Organizational Management Profile Guide applies to a Very Small Entity (VSE) (enterprise, organization, department or project having up to 25 people) which already follows at least ISO/IEC TR 29110-5-1-2 for their software projects or ISO/IEC TR 29110-5-6-2 for their systems engineering projects or any other profiles in the ISO/IEC 29110 series.

This part of ISO/IEC 29110 provides Organizational Management, Resource Management, Process Management, and Project Portfolio Management processes which integrate practices based on the selection of ISO/IEC/IEEE 15288, ISO/IEC/IEEE 12207 and ISO/IEC/IEEE 15289.

Using this part of ISO/IEC 29110, VSE can obtain benefits in the following aspects:

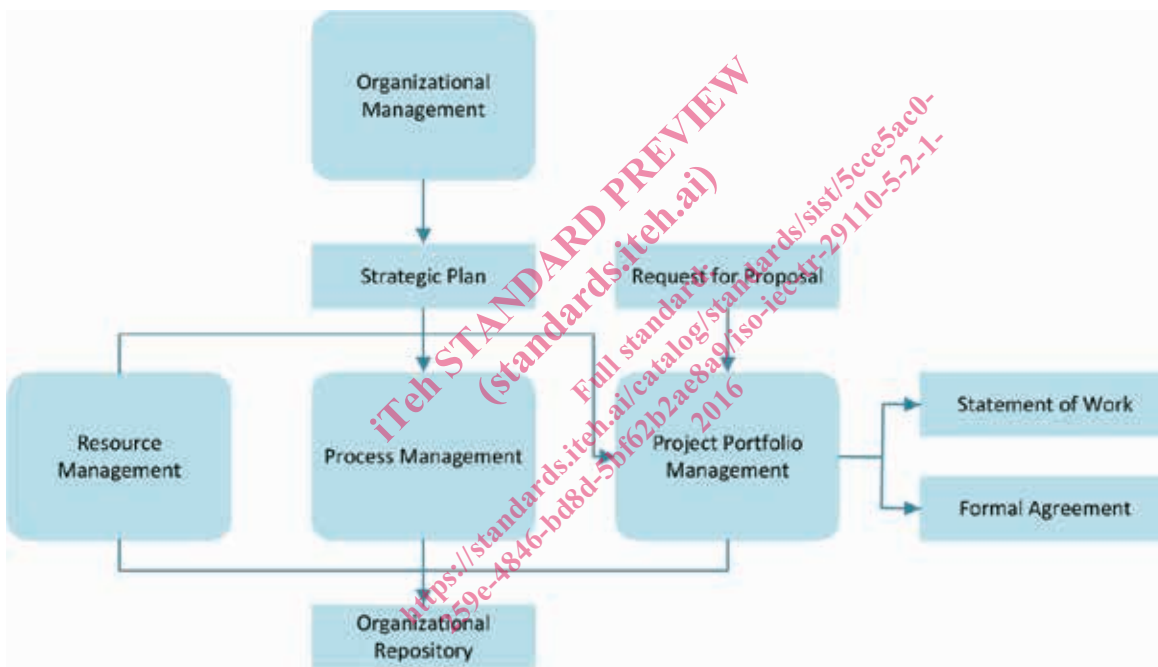
- multiple project execution and supervision of its performance, making sure all activities are executed according to the organizational strategy;
- continuous monitoring of the customer satisfaction;
- deployment and improvement of the organizational standard processes in all projects;
- controlled provision of required resources.

To use this part of ISO/IEC 29110, a VSE needs to fulfil the following entry conditions:

- VSE already uses the ISO/IEC TR 29110-5-6-2 or ISO/IEC TR 29110-5-1-2 or any other Basic Profile in the ISO/IEC 29110 series;
- VSE identifies the external or internal *Best Practices* sources (standards, models, methods and techniques) and uses them as a basis for the process definition and improvement.

The purpose of the Organizational Management Process is to make sure that value is delivered by the VSE to the customer through planning, organizing, monitoring and controlling organizational activities. The purpose of the Resource Management process is to obtain and provide the organization with the necessary resources. The purpose of the Process Management process is to establish and improve the organizational processes. The purpose of the Project Portfolio Management process is to generate projects for the organization, provide technical content to establish the projects Formal Agreement, and supervise its performance while monitoring the customer satisfaction.

The four processes are interrelated (see [Figure 2](#)).



NOTE Diagram notation is explained in [4.1](#).

Figure 2 — Organizational Management guide processes

The Organizational Management process will generate the *Strategic Plan* that will guide the activities of the VSE.

The Resource Management process, the Process Management process and the Project Portfolio Management process receive the *Strategic Plan* as an input that will guide the activities of the VSE.

The Resource Management process receives the *Resource Request* from all the processes and projects, analyses them and assigns resources to the processes and projects according to the *Resource Policies* and/or *Mechanisms*.

The Process Management process receives the *Process Improvement Suggestions* from all the processes, analyses them and applies suggestions to the processes in order to improve them. The Process Evaluation activity evaluates the processes implementation, finding strengths and weakness, and coordinates the resolution of the weakness.

The Project Portfolio Management process receives the *Request for Proposal* from the Customers, activates the accepted projects and supervises the correct execution of these projects.

6 Organizational Management (OM) process

6.1 OM purpose

The purpose of the Organizational Management process is to make sure that value is delivered by the VSE to the customer through planning, organizing, monitoring and controlling organizational activities.

6.2 OM objectives

OM.01. Establish or refine an appropriate value proposition and its corresponding business model.

OM.02. Develop or revise objectives for the organization, based on the business model, and establish the strategies and resources necessary to support those objectives.

OM.03. Measure the achievement of the objectives, identify deviations and control actions.

6.3 OM input products

Table 2 — OM input products

| Name | Source |
|---------------------------------|---|
| <i>Resource Report</i> | Resource Management |
| <i>Process Progress Report</i> | Process Management |
| <i>Project Portfolio Report</i> | Project Portfolio Management |
| <i>Market Information</i> | External |
| <i>Technology Trends</i> | External |
| <i>Competitors Information</i> | External |
| <i>Financial Information</i> | Financial/Controlling area within the VSE |

6.4 OM output products

Table 3 — OM output products

| Name | Destination |
|---|---|
| <i>Strategic Plan</i> — <i>Budget</i> | Resource Management |
| <i>Strategic Plan</i> — <i>Required processes</i> | Process Management |
| <i>Strategic Plan</i> — <i>Projects and customer strategy</i> | Project Portfolio Management |
| <i>Strategic Plan</i> — <i>Mission, vision, values, objectives</i> — <i>Required functional areas</i> — <i>Objectives relationship table</i> — <i>Customer strategy</i> | Resource Management Process Management Project Portfolio Management |