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

Part 7: Exemplar for maturity assessment

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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 ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

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For an explanation of the voluntary nature of standards, 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 www.iso.org/iso/foreword.html.

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This document was prepared by Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 40, *IT Service Management and IT Governance*.

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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.

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Introduction

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

ISO/IEC 30105 (all parts) specifies the lifecycle process requirements involved in the generic ITES-BPO industry, which covers the entire outsourcing lifecycle and defines the processes that are considered as good practice. Alignment to ISO/IEC 30105 (all parts) can improve consistency, quality and predictability in delivery of ITES-BPO services, which can lead to clear return on investment for the customer and service provider.

ISO/IEC 30105-1 specifies the lifecycle process requirements performed by the IT-enabled business process outsourcing service provider for the outsourced business processes, ISO/IEC 30105-2 and ISO/IEC 30105-3 provide a detailed assessment and measurement framework for all business outsourcing processes listed in ISO/IEC 30105-1.

This document presents an assessment exemplar, based on ISO/IEC 30105 (all parts), to enable ITES-BPO organizations intending to apply ISO/IEC TR 30105-7 (this document) to understand the measurement methods defined in ISO/IEC 30105-2 and ISO/IEC 30105-3, and to provide a model that an ITES-BPO organization can adopt to measure the process capability and assess the maturity level. By using this document, an ITES-BPO organization can accelerate delivery of its maturity level assessment. Furthermore, this document assists internal and/or external assessors, to facilitate the assessment activities.

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Benefits of applying this document are:

— presenting an efficient assessment procedure: assessment procedures based on ISO/IEC 30105-1, ISO/IEC 30105-2 and ISO/IEC 30105-3 can become more visible and easier to implement through this document, which can significantly improve the assessment efficiency;

— illustrating the assessment framework across the different parts of ISO/IEC 30105: this document illustrates the relationship between ISO/IEC 30105-2 and ISO/IEC 30105-3, especially the relationship between process attribute and process capability level, as well as the relationship between process attribute and maturity level;

— aligning standardizing the assessment practice: this document standardizes the procedures to assess the organization maturity level to maximize the objectivity and minimize the impact limited by a user's knowledge of the ISO/IEC 30105 series.

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

Part 7: Exemplar for maturity assessment

1 Scope

This document presents an exemplar for maturity assessment, following the framework for assessment of process capability levels and measurement of an organization's maturity level for an ITES-BPO service provider.

This document:

— uses the set of indicators for process performance and process capability;

— helps to collect the objective evidence that enables an assessor to determine the process ratings;

— helps to assess the result of the process capability level;

— serves as a measurement framework for processes and provides an organization maturity model for ITES-BPO organizations delivering the services;

— is useful for all users of the ISO/IEC 30105 series, including but not limited to internal assessors, external assessors, ITES-BPO service providers and ITES-BPO service customers;

— supports the performance assessment by providing a framework to measure and derive capability and organization maturity levels.

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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 30105-4:2016, *Information technology — IT Enabled Services-Business Process Outsourcing (ITES-BPO) lifecycle processes — Part 4: Terms and concepts*

3 Terms and definitions

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

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

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

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

4 Interrelationship across the parts of the ISO/IEC 30105 series

Figure 1 shows the interrelationship of the process reference model with the process assessment model, and establishes the link with the measurement framework that enables process capability

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assessment and organization maturity determination. This assessment framework is based on this interrelationship across these parts.

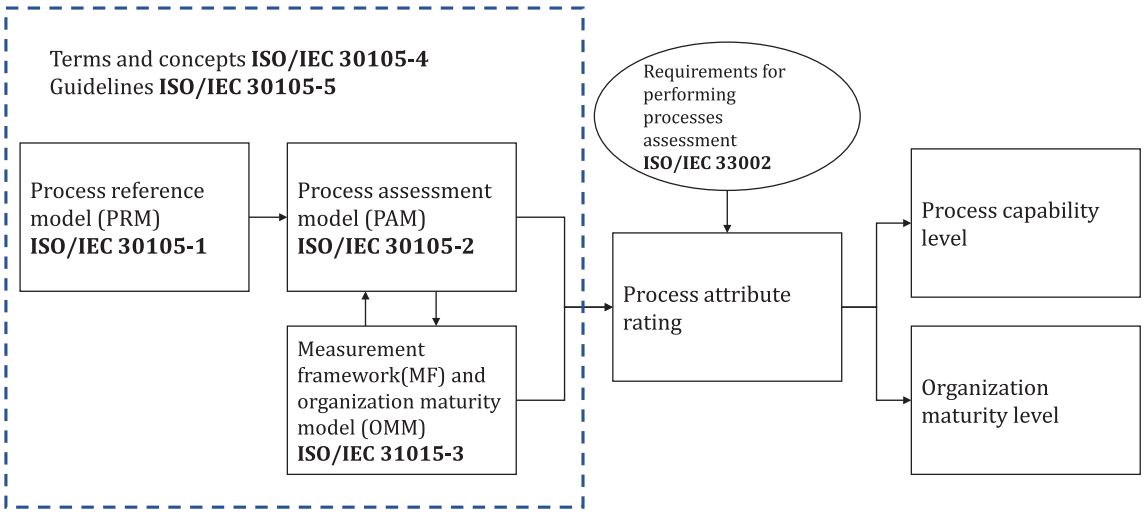

Figure 1 — Interrelationship across the parts of the ISO/IEC 30105 series

5 Undertaking an assessment using the exemplar

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5.1 Prepare for the assessment

5.1.1 Identify the processes in scope

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ITES-BPO organizations should identify the ITES-BPO services scope and its process model to confirm if the ISO/IEC 30105 series is suitable for the overall environment.

All processes from the ISO/IEC 30105-1 process reference model are included in the process dimension for the process assessment model for ITES-BPO. This includes all aspects of an ITES-BPO outsourced service, from developing an ITES-BPO solution through service delivery and to transition out.

The processes include the leadership, relationship management and enabling processes which support the outsourced business across its lifecycle. The name, context, purpose and outcomes of the process will give an ITES-BPO organization a clear understanding of the processes.

A basic or extended process set will include additional processes that are required for assessments with a particular scope of application, but can be optional depending on the particular circumstances of the organization, as described in ISO/IEC 30105-3.

5.1.2 Prepare required evidence

When the processes in scope have been identified, an ITES-BPO organization should gather all related evidence to support the assessment activities. By examining the assessment indicators in ISO/IEC 30105-2, the ITES-BPO organization can determine how well these processes are performed. Process attributes (PA) are process features which can be evaluated on a scale of achievement to provide a process capability measure. Each process attribute describes a feature of the overall capability in managing and improving process effectiveness in achieving its process purpose and contributing to the organization's business goals. This evidence also provides observable evidence for collection by the assessor.

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5.2 Set up the assessment activity

5.2.1 Set up the assessment activity at audit entity level

This exemplar is based on a spreadsheet model. As assessments may vary by organization, ITES-BPO organizations should create their own assessment model based on the assessment logic outlined in this document and in accordance with the assessment logic in ISO/IEC 30105-2 and ISO/IEC 30105-3 and the defined process attribute rating scale in ISO/IEC 30105-3.

The assessment activity should be set up based on audit entity level, i.e. to support auditing of each process in the PRM across every business process service within scope. The key steps include:

a) the assessor creates a template, as shown in Table 1, for audit entity information: including columns for key practices;

b) the assessor pre-populates the template columns from ISO/IEC 30105-2, for ease of reference:

   — key practices: all base practices (BPs) and generic practices (GP);

   — work products (inputs and outputs): all relevant for each BP or GP;

c) the percentage achievement for each key practice (a BP or a GP) is calculated based on the number of key practices achieving a compliance status of 'Y' as a percentage of the total number of applicable practices (Y and N, excludes N/A);

d) as the key practice achievement corresponds with the PA achievement, the achievement percentage can be used to determine the key practice rating, based on the process attribute rating scale defined in ISO/IEC 30105-3:2016, 6.1:

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

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

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

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

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

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

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

The corresponding percentages shall be as follows:

— *N Not achieved 0 % to ≤15 % achievement;*

— *P- Partially achieved ->15 % to ≤32,5 % achievement;*

— *P+ Partially achieved+>32,5 % to ≤50 % achievement;*

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— *L- Largely achieved->50 % to ≤ 67,5 % achievement;*

— *L+ Largely achieved+>67,5 % to ≤85 % achievement;*

— *F Fully achieved >85 % to ≤100 % achievement.*

e) the assessment activity should be carried out for all selected audit entities and processes.

Using the defined process capability ratings in ISO/IEC 30105-3, the process attribute ratings achieved can be used to determine the process capability level for each process within each service.

In this document, OEN2 is used as an example process for audit entity level (see Table 1). All the applicable services and processes should be assessed in the same way. Table 1 shows an example template with the compliance status column completed to illustrate the calculation of the achievement.

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Table 1 — Sample assessment template at entity level (partially completed)

Process	Key practice	Applicability			Notes for the auditor	Work product (Input)	Work product (Output)	Achievement (%)	Rating result
OEN2		Y/N/NA	Corporation/Function	Service					
BP	**BP1. Define information security policy**	Y				1.02 Contract	4.02 Information security policy	80 %	L+
	BP2. Agree on new and changed information security requirements: Analyse evolving business requirements, information flows, organizational policies, customer requirements, contractual obligations, regulatory requirements, technology environments and threat environments from the perspective of information security on a regular basis. Identify, evaluate, modify and report information security requirements in agreement with all relevant stakeholders.	Y				8.16 Legal. Statutory and regulatory requirements	8.12 Information security requirements		
						4.02 Information security policy	5.15 Security risk management approach		

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Table 1 *(continued)*

Process OEN2	Key practice	Applicability			Notes for the auditor	Work product (Input)	Work product (Output)	Achievement (%)	Rating result
		Y/N/NA	Corporation/Function	Service					
BP	**BP3. Define a risk management approach:** Identify suitable risk acceptance levels, mitigation, criteria for assessment and assessment frequency. Determine required security assessor competencies and qualifications. Classify information of information security risks.	Y				8.12 Information security requirements	9.30 Risk log	80 %	L+
						5.15 Security risk management approach	5.14 Security controls procedure		
	BP4. Apply risk management approach: Apply defined risk management approach across the information lifecycle at defined frequency. Identify and select appropriate security controls.	N				6.18 Information security action log	2.06 Training material		
						6.19 Information security audit report	6.20 Information security incident report		
	BP5. Deploy selected information security controls: Secure information with selected information security controls.	NA				3.26 Information security awareness plan	9.05 Communication record		
						5.14 Security controls procedure			
BP	**BP6. Establish awareness of information security**: Define and implement training and awareness for information security.	NA				3.14 Communication plan		80 %	L+
BP	**BP7. Manage information security incidents to closure:** Manage information security incidents including identification, categorization, notification, and response and reporting.	Y				6.20 Information security incident report			

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