
**Information technology — Process
assessment — Process capability
assessment model for quality
management**

*Technologies de l'information — Évaluation des processus
— Modèle d'évaluation de l'aptitude des processus pour le
management de la qualité*

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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).

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For an explanation on 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 the following URL: www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 7, *Software and systems engineering*.

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Introduction

This document provides a Quality Management Process Assessment Model (PAM) for use in performing a conformant assessment of process capability in accordance with the requirements of ISO/IEC 33002. It is structured in accordance with the requirements of ISO/IEC 33004 to reflect processes that enable implementation of ISO 9001. The scale for assessing the extent of achievement of process capability is based on ISO/IEC 33020.

The publication of the revised edition of ISO 9001:2015 has rendered the publication of this document as both timely and appropriate.

An integral part of conducting an assessment is to use a PAM that is constructed for that purpose. A PAM is related to a Process Reference Model (PRM) and is conformant with ISO/IEC 33004. ISO/IEC 33002 identifies the minimum requirements for performing an assessment in order to ensure consistency and repeatability of the ratings. ISO/IEC 33002 addresses the assessment of process and the application of process assessment for improvement and capability determination. Results of conformant process assessments may be compared when the scopes of the assessments are considered to be similar.

The requirements for process assessment defined in ISO/IEC 33002 form a structure which:

- a) facilitates self-assessment;
- b) provides a basis for use in process improvement and capability determination;
- c) takes into account the context in which the assessed process is implemented;
- d) produces a process rating;
- e) addresses the ability of the process to achieve its purpose;
- f) is applicable across all application domains and sizes of organization;
- g) may provide an objective benchmark between organizations.

The relationship between ISO/IEC TR 24774, ISO 9001, ISO/IEC 33002, ISO/IEC 33004, ISO/IEC 33020, and this document is shown in [Figure 1](#).

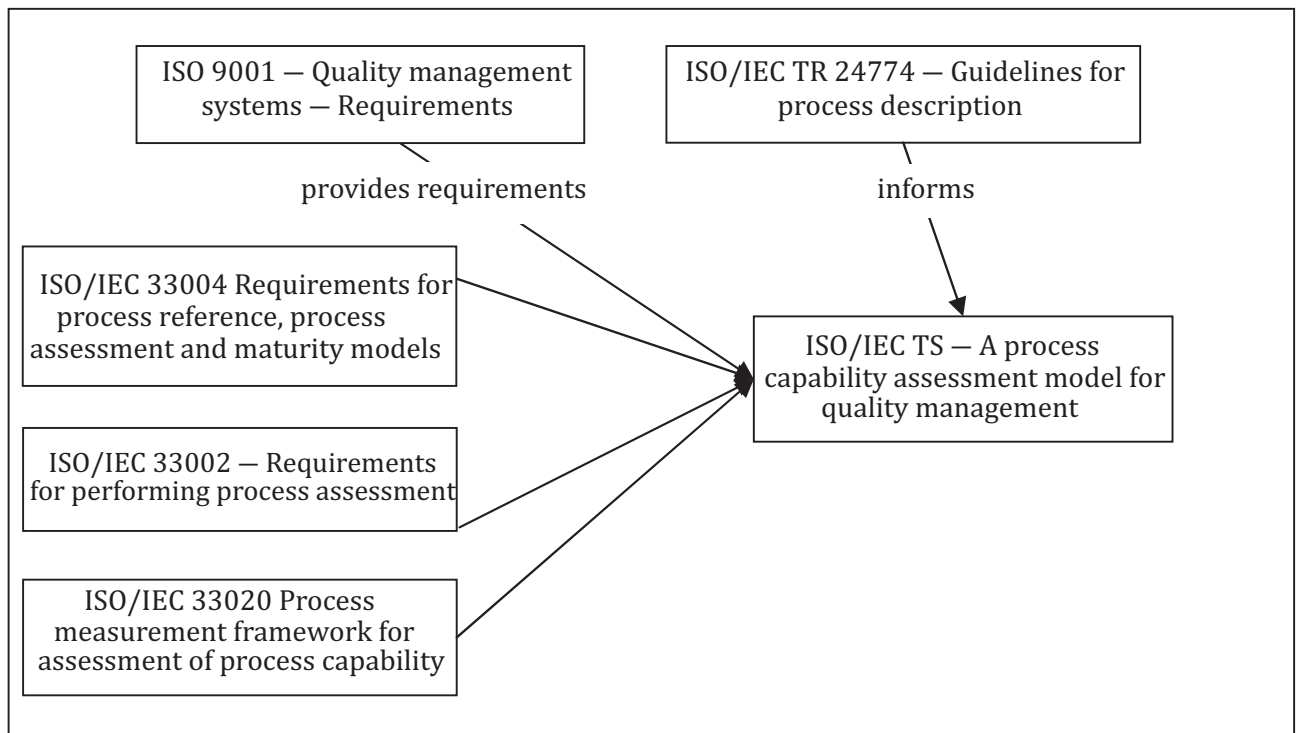


Figure 1 — Relationships between relevant standards

Any organization may use processes with additional elements in order to suit it to the environment and circumstances. This PAM contains a set of indicators to be considered when interpreting the intent of its PRM. It provides greater detail to indicate process performance and capability. The indicators may also be used when implementing a process improvement program or to help evaluate and select an assessment model, method, methodology or tools.

As an exemplar, this PAM embodies the core characteristics that could be expected of any PAM consistent with ISO/IEC 33004. Nevertheless, any other PAMs meeting the requirements of ISO/IEC 33004 may be used in a conformant assessment.

This document has a similar structure to ISO/IEC 15504-5 and ISO/IEC 15504-6. It may be used in conjunction with these process assessment models to support joint assessment of quality management processes and system/software life cycle processes.

Within this document:

- [Clause 4](#) provides a detailed description of the structure and key components of a PAM, which includes two dimensions: a process dimension and a capability dimension. Assessment indicators are introduced in this clause.
- [Clause 5](#) addresses the process dimension. The processes are described in the PAM in terms of purpose and outcomes. The PAM includes a set of process performance indicators called base practices for each process. The PAM also defines a second set of indicators of process performance by associating inputs and outputs with each process. [Clause 5](#) is also linked directly to [Annex B](#), which defines the inputs/outputs characteristics.
- [Clause 6](#) addresses the capability dimension. It duplicates the definitions of the capability levels and process attributes from ISO/IEC 33020 and expands each of the nine attributes through the inclusion of a set of generic practices. These generic practices belong to a set of indicators of process capability, in association with generic resource indicators, and generic inputs/outputs indicators. [Annex B](#) is also linked directly to [Clause 6](#) as it defines the inputs/outputs characteristics.