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

Part 2: Process assessment model (PAM)

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National foreword

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The UK participation in its preparation was entrusted to Technical Committee IST/60/3, IT-enabled Services/Business Process Outsourcing.

A list of organizations represented on this committee can be obtained on request to its secretary.

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© The British Standards Institution 2016.
Published by BSI Standards Limited 2016

ISBN 978 0 580 84646 5

ICS 35.080

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This British Standard was published under the authority of the Standards Policy and Strategy Committee on 30 November 2016.

Amendments/corrigenda issued since publication

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

**Part 2:
Process assessment model (PAM)**

*Technologies de l'information — Processus du cycle de vie de la
délocalisation du processus d'affaires des services activés par IT —
Partie 2: Modèle d'évaluation du processus (PAM)*





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ISO copyright office
Ch. de Blandonnet 8 • CP 401
CH-1214 Vernier, Geneva, Switzerland
Tel. +41 22 749 01 11
Fax +41 22 749 09 47
copyright@iso.org
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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 WTO principles in the Technical Barriers to Trade (TBT) see the following URL: [Foreword - Supplementary information](#)

The committee responsible for this document is ISO/IEC JTC 1, *Information technology, SC 40, IT Service Management and IT Governance*.

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

Introduction

ITES-BPO services encompass the delegation of one or more IT enabled business processes to a service provider who uses an appropriate technology to deliver a 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, telecommunications, manufacturing, etc. These services provide business solutions to customers across the globe and form the part of the core service delivery chain for customers.

ISO/IEC 30105 (all parts) specifies the lifecycle processes 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 process reference model 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 implemented using ISO/IEC 30105 (all parts) can lead to a clear return on investment for customers and service providers.
- Alignment to ISO/IEC 30105 (all parts) 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. It includes the customer, the ITES-BPO service provider and various levels of suppliers. This is in line with the supply chain relationship depicted in ISO/IEC 20000-1:2011, 7.2.

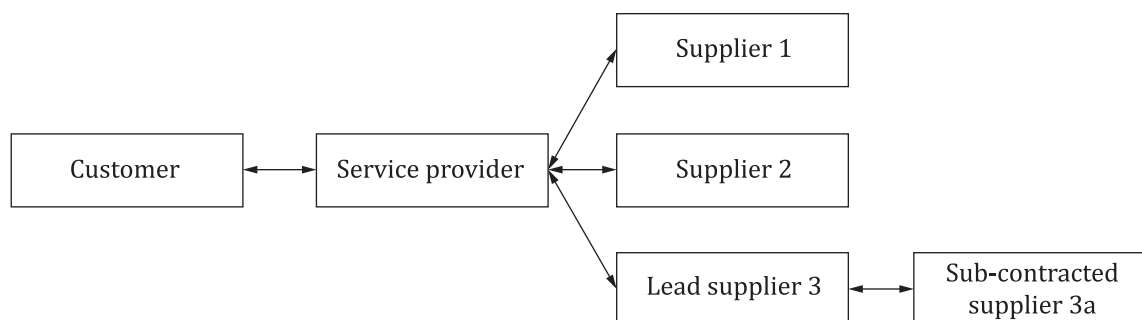


Figure 1 — ITES-BPO key entities

This document details the process assessment model (PAM). This PAM contains process definitions of ITES-BPO lifecycle defined in ISO/IEC 30105-1 and a model suitable for assessing a specified process quality characteristic. The outcomes in the PAM are clearly defined observable results, aligned to the business benefits derived by the customer and service provider.

This document defines a process assessment model that is an improvement standard that enables risk determination and improvement for ITES-BPO service providers. ISO/IEC 20000-1 is a service management system standard which defines the criteria for a conformity assessment. Whilst there is potential for overlaps between this document and ISO/IEC 20000-1, in fact, they complement each other. [Annex C](#) describes the potential overlaps and differences, and their complementary nature.

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

Part 2: Process assessment model (PAM)

1 Scope

ISO/IEC 30105 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;
- serves as a process assessment model for organizations providing ITES-BPO services that:
 - conforms to the requirements of ISO/IEC 33004;
 - supports the performance assessment by providing indicators for the interpretation of the process purposes and outcomes, as defined in ISO/IEC 24774, and the process attributes, as defined in ISO/IEC 33020.

A process assessment model consists of a set of indicators for process performance and process capability. The indicators are used as a basis for collecting the objective evidence that enables an assessor to determine ratings. The set of indicators included in this document is not intended to be an all-inclusive set nor is it intended to be applicable in its entirety. Supersets and subsets that are appropriate to the context and scope of the assessment should be selected.

The process assessment model in this document is directed at assessment sponsors and competent assessors who wish to select a model, and associated documented assessment process, for the ITES-BPO lifecycle processes, for risk determination or process improvement.

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 33004:2015, *Information technology — Process assessment — Requirements for process reference, process assessment and maturity models*

ISO/IEC 30105-3, *Information Technology — IT enabled services-business process outsourcing (ITES-BPO) lifecycle processes — Part 3: Measurement framework (MF) and organization maturity model (OMM)*

3 Terms and definitions

For the purpose of this document, the terms and definitions given in ISO/IEC 30105-4, ISO/IEC 33001 and ISO/IEC TR 20000-10 apply.

For the purposes of this document, the following terms and definitions apply.

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

- IEC Electropedia: available at <http://www.electropedia.org/>
- ISO Online browsing platform: available at <http://www.iso.org/obp>

3.1 General

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

The process reference model defined in ISO/IEC 30105-1, associated with the process attributes defined in this document, establishes a process assessment model that provides a common basis for performing assessments on ITES-BPO lifecycle processes, enabling the results to be reported using a common rating scale. A.2 in Annex A provides the requirements for process assessment models.

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

- **Process dimension:** Processes are defined and classified into process categories.
- **Capability dimension:** A set of process attributes grouped into capability levels is defined.

The process attributes provide the measurable characteristics of process capability.

The ITES-BPO process reference model defined in ISO/IEC 30105-1 and the capability dimension defined in ISO/IEC 33020 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 process assessment model defined in this document has been derived from the measurement framework defined in ISO/IEC 30105-3, adapted to be suitable for ITES-BPO service providers.

3.2 Structure of the ITES-BPO process assessment model

3.2.1 Relationship to process reference model

The ITES-BPO process assessment model extends the process reference model provided in ISO/IEC 30105-1 with the definition of the ITES-BPO assessment indicators and their use. Assessment indicators are indicators of process performance and process capability. They are defined to objectively support an assessor's objective judgment of the performance and capability of an implemented process. The ITES-BPO process descriptions meet the following requirements:

- a process is described in terms of its purpose and process outcomes;
- the set of process outcomes will be necessary and sufficient to achieve the purpose of the process;
- process descriptions shall not contain or imply aspects of the process quality characteristic beyond the lowest level of its intended measurement scale.

3.2.2 Process categories and processes

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

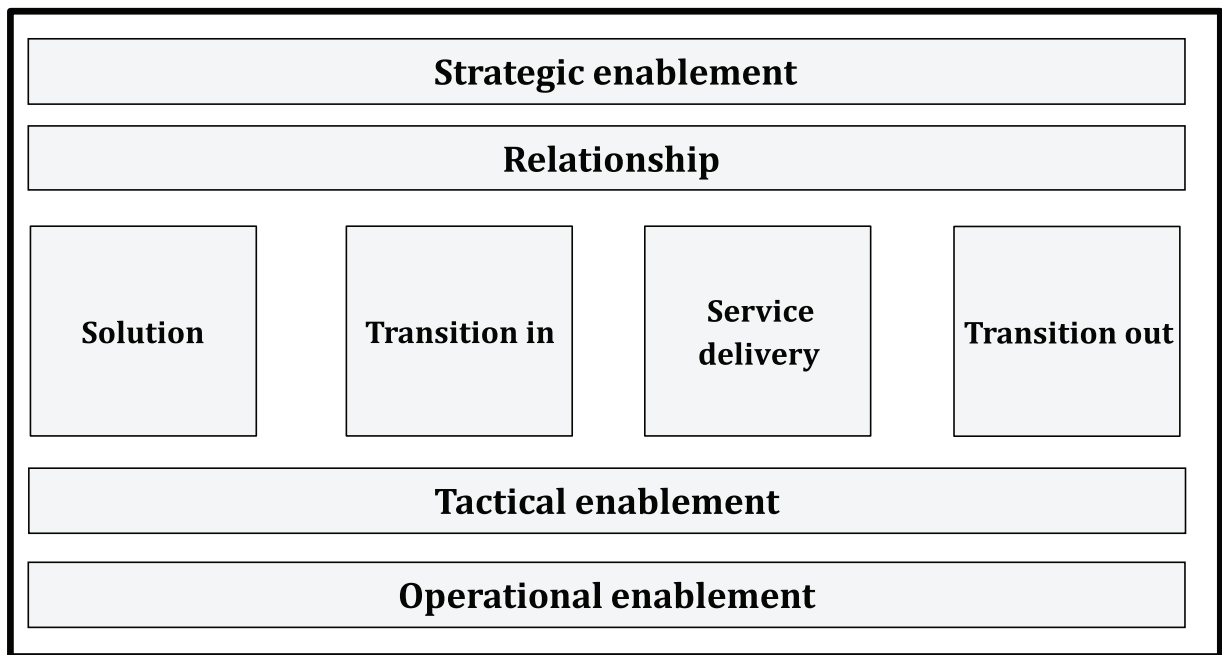


Figure 2 — ITES-BPO lifecycle process categories

The ITES-BPO process categories are:

- **Strategic enablement processes:** include strategic direction and review of the business performance against plan for the service provider organization and innovation process to bring in breakthrough changes;
- **Relationship processes:** cover the relationship of the service provider with the customer and the suppliers;
- **Solution processes:** include details on how the ITES-BPO solution is envisaged and the contract developed and managed;
- **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:** include all the processes that are required for the day to day management and delivery of ITES-BPO services;
- **Transition out process:** covers the movement of the business process delivery back to the customer or to a different service provider;
- **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:** involve a set of processes that ensures day-to-day operations of service delivery are supported and are performed alongside the service delivery processes.

The process categories and processes in the ITES-BPO process reference model which underpin the process dimension of the ITES-BPO process assessment model are shown in [Figure 3](#).

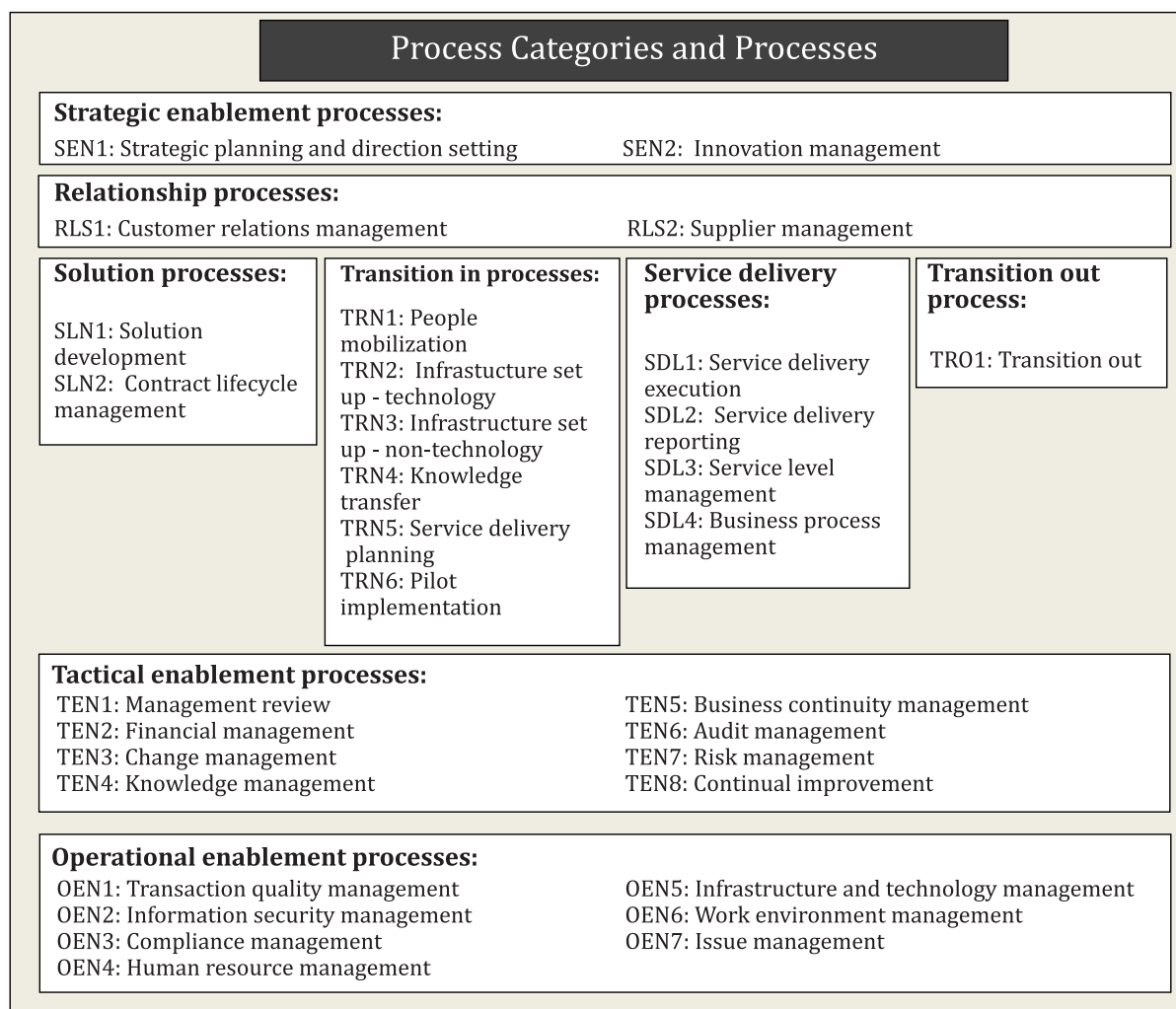


Figure 3 — ITES-BPO lifecycle process categories and processes

3.2.3 Process dimension

All processes in [Figure 3](#) are included within the process dimension of the process assessment model.

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.

3.2.4 Capability dimension

Process capability levels are defined in ISO/IEC 30105-3 and detailed definitions of the process capability levels and process attributes are set out in Clause 6 together with the relevant process capability indicators. Process capability is expressed in the PAM by grouping process assessment indicators into capability levels.

Process attributes 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.

A capability level is a set of process assessment indicators that together describe an ability to operate and perform a process at a given capability level. The existence or not of evidence to meet these process assessment indicators helps determine the capability levels. The levels constitute a rational path for improving capability for any process and are defined in ISO/IEC 30105-3.

There are six capability levels incorporating nine process attributes.

Level 0: Incomplete process

The process is not implemented or fails to achieve the process purpose.

At this level, there is little or no evidence of any systematic achievement of the process purpose.

Level 1: Performed process

The implemented process achieves its process purpose.

Level 2: Managed process

The previously described “Performed” process is implemented in a managed fashion (planned, monitored and adjusted) and its work products are appropriately established, controlled and maintained.

Level 3: Established process

The previously described “Managed” process is implemented using a defined process that is capable of achieving the process outcomes.

Level 4: Predictable process

The previously described “Established” process now operates within defined limits to achieve the process outcomes. Quantitative management needs are identified, measurement data are collected and analysed to identify causes of variation.

Level 5: Innovating process

The previously described “Predictable” process is continually improved to respond to organizational change.

Within the process assessment model, the measure of capability is based upon the nine process attributes (PA) defined in ISO/IEC 30105-3. Process attributes are used to determine whether a process has reached a given capability. Each attribute measures a particular aspect of the process capability.

At each level there is no ordering between the process attributes; each attribute addresses a specific aspect of the capability level. The list of process attributes is shown in [Table 1](#).

Table 1 — Capability levels and process attributes

Process attribute ID	Capability levels and process attributes
	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	Work product management
	Level 3: Established process
PA 3.1	Process definition
PA 3.2	Process deployment
	Level 4: Predictable process

Table 1 (continued)

Process attribute ID	Capability levels and process attributes
PA 4.1	Quantitative analysis
PA 4.2	Quantitative control
	Level 5: Innovating process
PA 5.1	Process innovation
PA 5.2	Process innovation implementation

The process attributes are evaluated on a six-point ordinal scale of achievement, as defined in ISO/IEC 30105-3. They provide insights into the specific aspects of process capability required to support process improvement and risk determination.

Within the process assessment model, the measure of capability is based upon the nine process attributes (PA) defined in ISO/IEC 30105-3 and listed in 6.2.

3.3 Assessment indicators

3.3.1 Overview

The process assessment model is based on the principle that the capability of a process can be assessed by demonstrating the achievement of process attributes on the basis of evidences related to assessment indicators.

There are two types of assessment indicators: process capability indicators (PCI), which apply to capability levels 1 to 5 and process performance indicators (PPI), which apply exclusively to capability level 1. These indicators are defined in 4.3.2.

Process capability indicators enable assessment of the extent of achievement of a process attribute 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 process capability indicators are:

- generic practice (GP);
- generic resource (GR);
- generic work product (GWP).

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

Types of process performance indicators are:

- base practice (BP);
- work product (WP).

The performance of base practices indicates the extent of achievement of the process purpose and process outcomes. Work products are either used or produced (or both) when performing the process.

The process performance and process capability indicators defined in the ITES-BPO process assessment model represent types of objective evidence that can be found in an implementation of an ITES-BPO process. Therefore, these can be used to judge achievement of capability.

[Figure 4](#) shows how the assessment indicators are related to process performance and process capability.

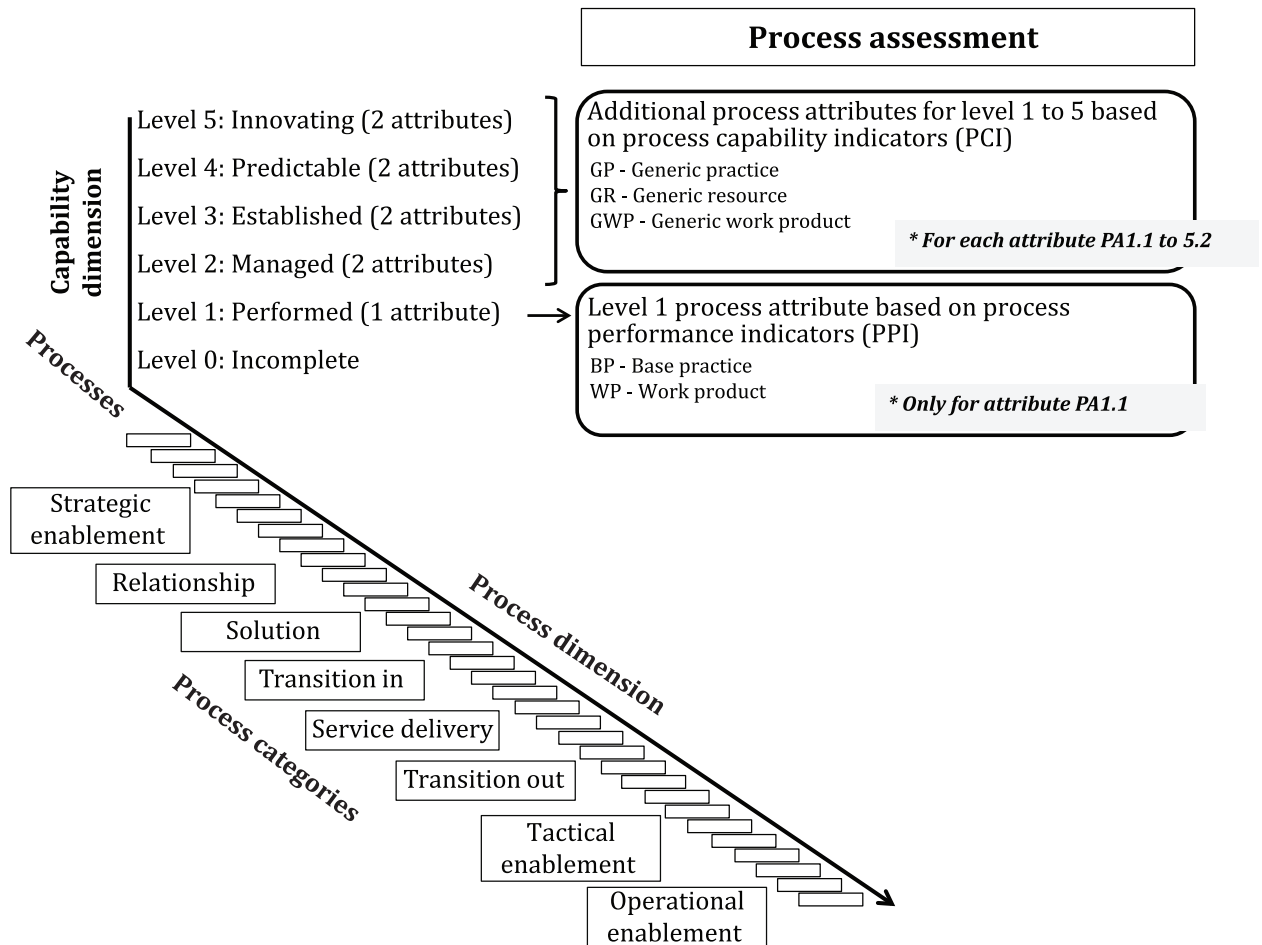


Figure 4 — Process attributes and process assessment indicators

3.3.2 Process capability indicators (PCI)

The three types of process capability indicators related to levels 1 to 5 are identified in [Figure 5](#). They are intended to be applicable to all processes and are defined for ITES-BPO lifecycle processes in Clause 6.

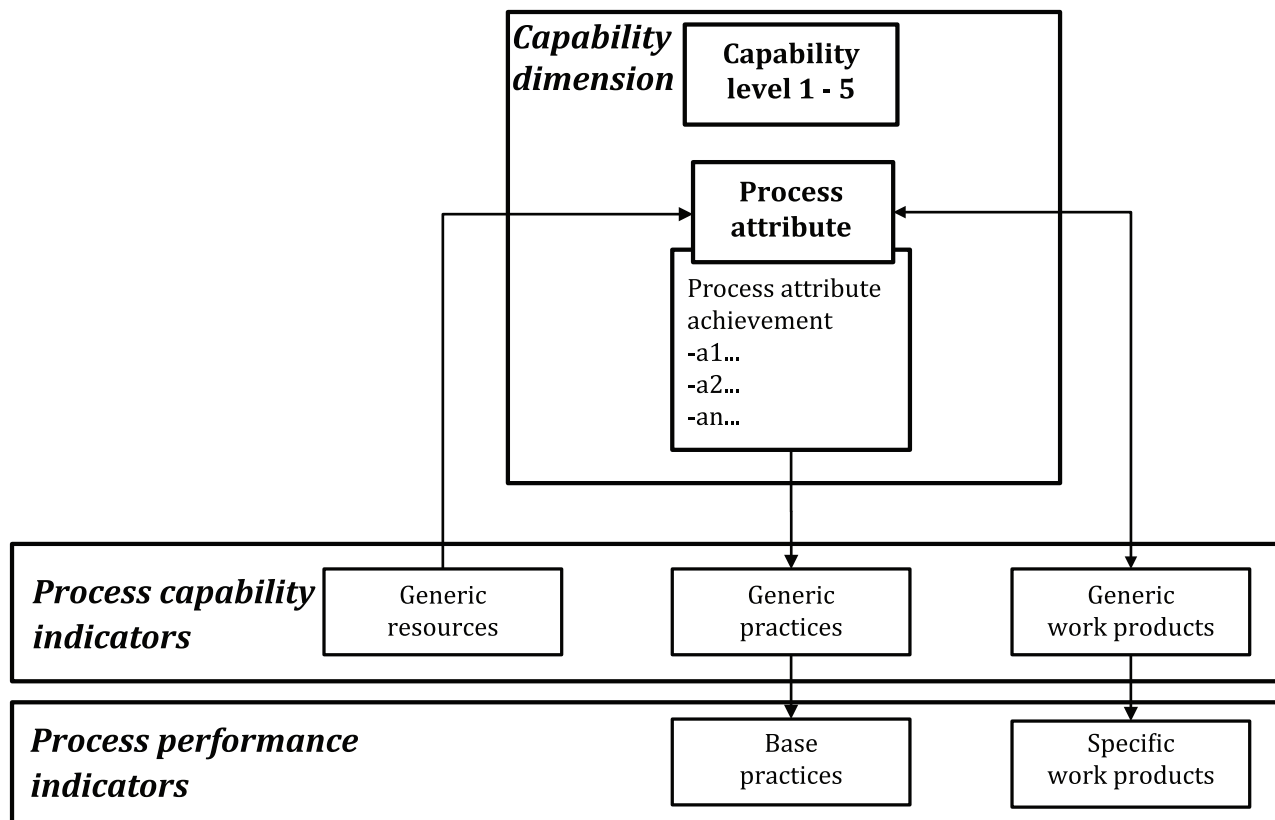


Figure 5 — Process assessment indicators

All the process capability indicators relate to the process attributes defined in the capability dimension of the process assessment model. They represent the type of evidence that supports judgments of the extent to which the attributes are achieved. Evidence of their effective performance or existence supports the judgment of the degree of achievement of the attribute. The generic practices are the principal indicators of process capability.

The **generic practice (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 process attribute 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. [Table A.1](#) lists the mappings of the GPs to the achievements associated with each process attribute.

During the evaluation of process capability, the primary focus is on the performance of the generic practices. In general, performances of all generic practices are expected for full achievement of the process attribute.

The **generic resource (GR)** indicators are associated resources that can be used when performing the process in order to achieve the attribute. These resources can include human resources, tools, methods and infrastructure. The availability of a resource indicates the potential to fulfill the purpose of a specific attribute.

The assessor should interpret the generic resources according to the process assessed. For example, for PA 2.1: human resources with identified objectives, responsibilities and authorities, an assessor looks for roles with identified objectives, responsibilities and authorities in service delivery management processes, but for organizational processes looks for governance structures (e.g. mandated committees, positions) with identified objectives, responsibilities and authorities.

The **generic work product (GWP)** indicators are sets of characteristics that are expected to be evident in work products of generic types as a result of achievement of a process attribute. The generic work products form the basis for the classification of the work products defined as process performance

indicators. They represent basic types of work products that can be inputs to or outputs from all types of process.

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

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 generic practice indicator (GP.1.1.1). In order to support the assessment of PA.1.1, and to amplify the process performance achievement analysis, additional process performance indicators are defined in the process assessment model.

3.3.3 Process performance indicators (PPI)

There are two types of process performance indicators: **base practice (BP)** and **work product (WP)** indicators as identified in [Figure 5](#). Process performance indicators relate to individual processes defined in the process dimension of the process assessment model and are chosen to explicitly address the achievement of the defined process outcomes.

Evidence of performance of the base practices and the presence of work products with their expected characteristics provide objective evidence of the achievement of the process outcomes.

A base practice is an activity that addresses the purpose of a particular process. Consistently performing the base practices associated with a process helps to consistently achieve the process purpose. A coherent set of base practices is associated with each process in the process dimension. The base practices are described at an abstract level, identifying “what” should be done without specifying “how.” Implementing the base practices of a process should achieve the basic outcomes that reflect the process purpose. Base practices 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 work products that are identifiable and usable in achieving the purpose of the process. In this ITES-BPO assessment model, each work product has a defined set of example characteristics that can be used when reviewing the work product to assess the effective performance of a process. Work product characteristics can also be used to identify the corresponding work product that is used or produced by the organization being assessed.

[Clause 5](#) contains a complete description of the processes, including the base practices and the associated work products. [Annex B](#) described work product characteristics, with [B.2](#) containing a list of generic work products and their characteristics and [B.3](#) containing a list of process-specific work products, with the generic work products for completeness, and their characteristics.

Similar to the concept of modularity in object orientation, the shared characteristics of a group of work products have been extracted into a generic work product. An assessor should refer to both the specific work product and the generic work product in the PAM in the context of the actual specific work product when performing an assessment.

3.4 Measuring process capability

The process performance and process capability indicators in this ITES-BPO model give examples of evidence that an assessor might obtain, or observe, in the performance of an assessment. The evidence obtained in the assessment 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 intended to be regarded as a mandatory set of checklists to be followed.

An indicator is defined as an objective characteristic of a base practice or work product that supports the judgment of the performance or capability of an implemented process. The assessment indicators and their relationship to process performance and process capability are shown in [Figure 6](#).

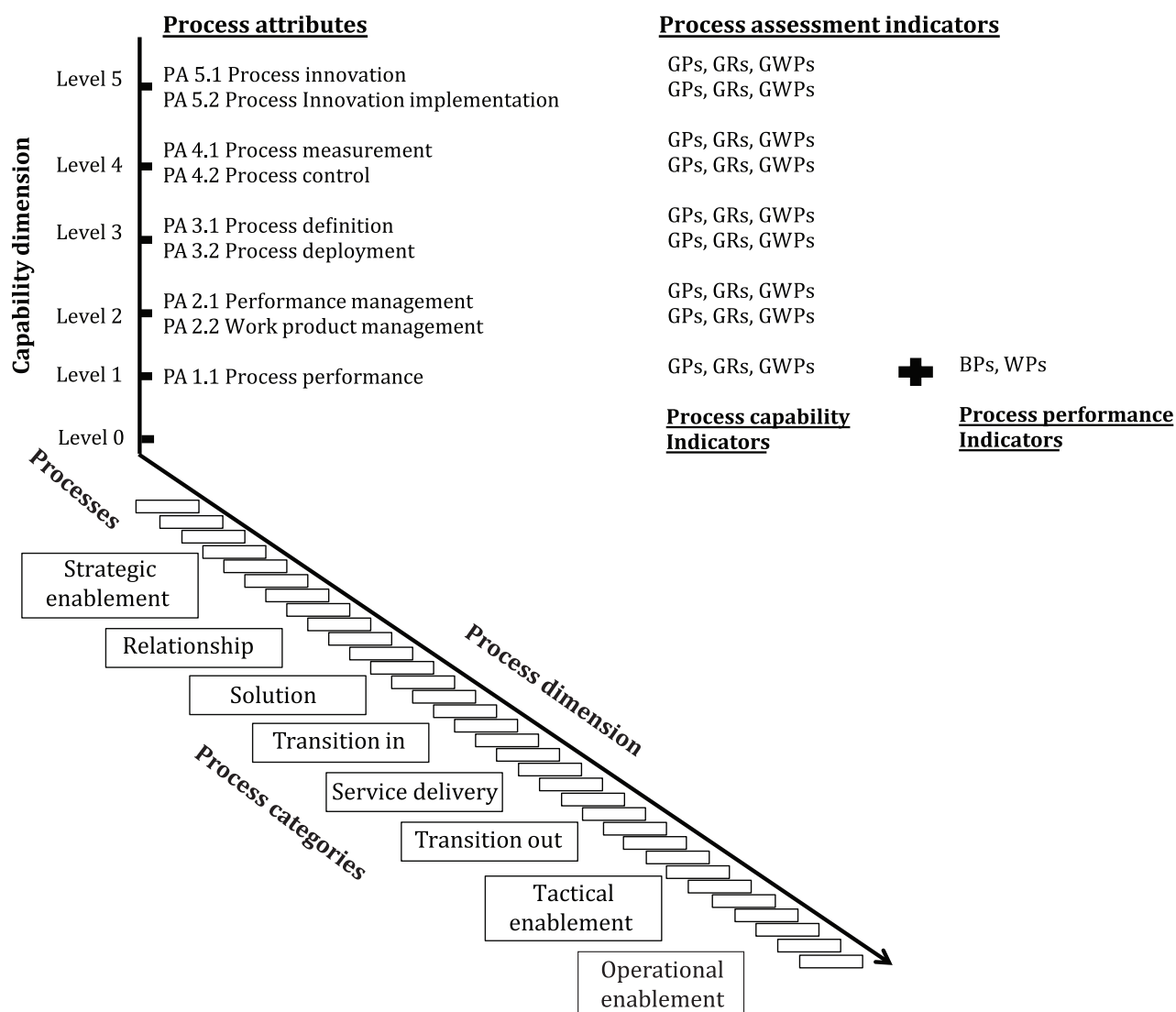


Figure 6 — Relationship of process assessment indicators with process capability indicators and process performance indicators

Assessment indicators are used to confirm that certain practices were performed, as shown by observable evidence collected during an assessment. All such evidence comes either from the examination of work product and/or from statements made by the performers and managers of the processes.

The existence of base practices, work products and work product characteristics provide evidence of the performance of the processes associated with them. Similarly, the existence of process capability indicators provides evidence of process capability.

The evidence obtained should be recorded in a form that clearly relates to an associated indicator, so that the support for the assessor's judgment can be readily confirmed or verified as required by ISO/IEC 33002.

The output from a process assessment is a set of process profiles, one for each process within the scope of the assessment. Each process profile consists of a set of the process attribute ratings for an assessed process. 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 judgments of the assessor are based on a coherent set of recorded objective evidences.

4 Processes and process performance indicators (level 1)

4.1 General

This clause defines the processes and the associated process performance indicators within the process assessment model. The processes in this model can be directly mapped to those defined in the process reference model in ISO/IEC 30105-1.

The processes are classified (for the purpose of this process assessment model) into process categories listed in ISO/IEC 30105-1.

The individual processes are stated in terms of process name, process purpose and process outcomes as defined in ISO/IEC 30105-1.

For each process, the process assessment model further provides:

- a) a set of base practices (BPs) defining the tasks and activities needed to accomplish the process purpose and fulfill the process outcomes; each base practice is explicitly associated to a process outcome;
- b) a number of work products (WPs) associated with each process and related to one or more of its outcomes;
- c) characteristics associated with each work products, as indicated in [Annex B](#).

The base practices and work products constitute the set of indicators to assess process performance for a particular process.

NOTE The work products have a unique WP ID, a detailed characteristic of these work products is indicated in [Annex B](#) with the same WP ID.

A documented assessment process and assessor judgment is needed to ensure that process context (application domain, business purpose, development methodology, size of the organization, etc.) is explicitly considered when using this information. However, this list of work products should not be considered as a checklist of what each organization should have but rather as an example and starting point for considering whether, given the context, the work products are necessary and contributing to the intended purpose of the process.

4.2 Base practices (BPs) and work products (WPs) for ITES-BPO lifecycle processes

4.2.1 Strategic enablement processes

There are two processes under this category:

- a) SEN1: Strategic planning and direction setting;
- b) SEN2: Innovation management.

SEN1: Strategic planning and direction setting

ID	SEN1
Name	Strategic planning and direction setting
Purpose	The purpose of the SEN1 process is to define and share business objectives, strategies and the organizational road map to achieve these business objectives.
Outcomes	As a result of the successful implementation of this process: a) business objectives, direction and strategies are defined and shared to the organization and relevant stakeholders; b) business objectives, direction and strategies are defined for service offerings of the service provider; c) implementation plans are defined to achieve business objectives, direction and strategies; d) strategic roadmaps are developed within the constraints of the service provider resources.

ID	SEN1
Base Practices	BP1. Determine objectives: Bring together required stakeholders to develop long-term organization objectives in terms of lines of business, growth prospects, contributions to geography, etc. [Outcome a)] BP2. Cascade objectives across organization: Determine specific objectives at a business unit and department level in line with the organization objectives. [Outcome b)] BP3. Determine a road map and targets: Identify a specific road map, targets for business lines, both for long term and near term. [Outcome c), d)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
6.24	Market analysis report	a)	3.39	Strategic plan	a)
8.06	Customer objectives	a)	8.19	Organizational objectives	a)
2.01	Business case	a), c)	3.09	Business plan	a)
1.07	Stakeholder list	b)	6.05	Business review report	b), c)
			3.18	Department/unit implementation plans	c), d)
			3.37	Roadmap	d)

SEN2: Innovation management

ID	SEN2
Name	Innovation management
Purpose	The purpose of the SEN2 process is to plan and implement programmes to make major changes to business processes leading to significant benefits by deploying innovation.
Outcomes	As a result of the successful implementation of this process: a) an innovation framework is created at an organization level; b) a measurement framework is established; c) a deployment strategy is defined at an organization and process level; d) the major change (innovation) is executed and progress is monitored and reviewed against expected outcomes; e) the customer organization is involved as appropriate; f) progress is communicated to stakeholders; g) the impact of changes, issues and improvements on innovation management policy and measures is analysed and reported.

ID	SEN2
Base Practices	BP1. Create innovation framework: Create an organization-level innovation framework which provides guidance for deployment and management of innovation. [Outcome a), g)] BP2. Establish a measurement framework: Design and deploy a measurement framework to gauge the level of innovation at a process level. [Outcome b)] BP3. Define deployment strategy: Establish a framework deployment strategy at organization and process level, including innovation themes and teams. [Outcome c), e)] BP4. Monitor innovation progress: Measure innovation using established measurement framework at periodic intervals. Monitor progress against expected outcomes. [Outcome d)] BP5. Communicate progress and involve stakeholders: Communicate progress and involve stakeholders for bringing major change in the value chain. [Outcome e), f)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.39	Strategic plan	a), b), g)	5.06	Innovation framework	a), g)
3.04	Budget	c)	3.27	Innovation roadmap	a), g)
9.20	Innovation tracker	c), d)	4.03	Innovation deployment strategy	b), c), d), e)
5.11	Programme governance framework	c), d)	6.22	Innovation measurement dashboard	b), d), e)
5.13	Reward and recognition process document	d), e)	6.21	Innovation benefits report	d), e)
3.14	Communication plan	e), f)	9.20	Innovation tracker	c), d)
			9.05	Communication records	f)

4.2.2 Relationship processes

There are two processes under this category:

- a) RLS1: Customer relations management;
- b) RLS2: Supplier management.

ID	RLS1
Name	Customer relations management
Purpose	The purpose of the RLS1 process is to identify and manage customer relations, including the management of customer requirements and customer expectations to improve the level of customer satisfaction.
Outcomes	As a result of successful implementation of this process: a) all customers, users and stakeholders are identified and defined; b) customer requirements and expectations are identified and reviewed and agreed; c) customer satisfaction is measured, analysed and communicated to relevant stakeholders; d) customer escalations and complaints are recorded, tracked and resolved; e) updates, escalations, complaints, and actions taken are communicated to relevant stakeholders; f) actions to improve customer satisfaction are identified, recorded and tracked until closure.

ID	RLS1
Base Practices	BP1. Document relationship attributes: Identify cultural, market, loyalty and beneficiaries attributes. Identify customer attributes. [Outcome a)] BP2. Document customers and stakeholders: Record contacts and relationships with the business, customers, users and stakeholders. A customer relationship management system with details of contacts in the customer organization and corresponding contacts in the service provider organization is maintained. [Outcome a)] BP3. Identify customer needs and expectations including communication needs: Identify customer needs and expectations, and plan customer communications. [Outcome b)] BP4. Establish and measure customer satisfaction targets: Define measurement targets for achieving customer satisfaction. Collect data at a defined interval to gauge customer satisfaction. [Outcome c)] BP5. Communicate customer satisfaction results: Communicate results of customer satisfaction measurement to stakeholders. [Outcome c), e)] BP6. Manage complaints, compliments and escalations: Log all complaints and compliments from existing information, customer feedback and service reviews. Manage status, communication, escalations and closure. [Outcome d), e)] BP7. Identify and act on improvement opportunities: Analyse customer satisfaction results for improvement opportunities. Identify and select improvement opportunities. Take action on selected improvement opportunities. [Outcome c), f)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
6.24	Market analysis report	a)	9.13	Customer relationship repository	a)
9.12	Customer feedback	b), d), e)	8.07	Customer requirement	b)
1.02	Contract	b), f)	1.02	Contract	b), f)
9.13	Customer relationship repository	c), d), e)	8.05	Customer approved solution document	b)
3.14	Communication plan	c), e)	3.14	Communication plan	b)
8.08	Customer satisfaction measurement method	c), f)	9.05	Communication record	c), e)
			6.11	Customer satisfaction analysis	c)
			9.06	Complaints and compliment action log	d), e)
			9.20	Improvement opportunity record	c), f)

ID	RLS2
Name	Supplier management
Purpose	The purpose of the RLS2 process is to select and manage suppliers to provide the required service as per the requirements.
Outcomes	As a result of the successful implementation of this process: a) suppliers are selected for specific products or services; b) relationships between the service provider and suppliers are managed; c) services to be provided are negotiated with each supplier; d) roles and relationships between suppliers are determined; e) supplier obligations to meet service requirements, including security and privacy standards, are monitored and managed; f) supplier performance against agreed criteria is monitored and managed; g) corrective and preventive actions are identified and tracked to closure for performance deviations; h) service level requirements remain in line with overall committed customer needs or are actively managed where not.

ID	RLS2
Base Practices	BP1. Identify supplier nominations: Shortlist suppliers based on ability to deliver business requirements and defined service level agreements (SLAs). [Outcome a)] BP2. Undertake supplier selection: Determine the services to be provided, scope, timelines, cost and other business parameters, and supplier selection criteria. Evaluate supplier. [Outcome a), b)] BP3. Negotiate and agree services: Negotiate and agree on the price, service, service levels, obligations and governance. [Outcome b), c), h)] BP4. Define roles and responsibilities: Define roles and responsibilities for the supplier and service provider organization. [Outcome b), d)] BP5. Review supplier performance: Review performance against committed targets and obligations, security and privacy, and compliance. Seek remedial plans from supplier for any non-performance. [Outcome e), f), g)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
8.36	Supplier selection criteria	a)	1.09	Supplier shortlist	a)
8.34	Supplier requirements	a), b), c)	9.32	Supplier meet records	b)
8.21	Proposal	a), c)	6.27	Supplier performance report	e), f), g), h)
1.08	Supplier key contacts	b)	8.32	Supplier contract	c), d), f), h)
8.35	Supplier roles and responsibilities	b), c), d)	8.35	Supplier roles and responsibilities	c), d)
8.32	Supplier contract	d), g)	9.11	Corrective or preventive actions record	g)
6.29	Supplier performance report	e), f), g), h)			

4.2.3 Solution processes

There are two processes under this category:

- a) SLN1: Solution development;
- b) SLN2: Contract lifecycle management.

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

ID	SLN1
Base Practices	BP1. Identify requirements of services: Understand and record the requirements, including the broader purpose, scope, timelines and components of process to be outsourced. [Outcome a), d)] BP2. Develop a feasible solution(s): Develop feasible solutions based on the constraints and requirements of the customer. [Outcome b), c), d)] BP3. Develop knowledge transfer proposal: Define approach to understanding processes to be transitioned and to creating standard operating procedures and training manuals. [Outcome a), b), c)] BP4. Define people mobilization and transfer proposal: Based on transaction volumes, types of transaction and business cycles, determine appropriate headcount to deliver the processes, including the ramp-up and ramp-down plan during transfer of processes. [Outcome a), b), c)] BP5. Define infrastructure proposal: Identify appropriate technology to perform processes at the service provider's organization. This encompasses technology and non-technology infrastructure, both to be transferred or any additional infrastructure required, including license transfer. [Outcome a), b), c)] BP6. Define transition proposal: Define process changes in the service provider operation, timelines for transfer of the process. Establish milestone reviews, escalation process and project risk management. [Outcome b), c)] BP7. Define service delivery proposal: Define processes and procedures required to perform the processes for service delivery. [Outcome a), b), c)] BP8. Define plans for risk management, information security and business continuity: Define plans for risk management, information security and business continuity based on the service requirements identified. [Outcome a), c)] BP9. Obtain formal acceptance of solution from the customer: Based on mutual discussion, determine an optimum solution and achieve sign-off. [Outcome d), e)]

Work products					
WP ID	Inputs Name	Outcome	WP ID	Outputs Name	Outcome
5.17	Transition methodology document	b), c), d)	8.07	Customer requirements	a)
8.07	Customer requirement	a), e)	3.22	Governance plan	a)
6.32	Volume seasonality analysis	b)	3.43	Transition plan	b), c), d)
5.03	Current process maps	c)	8.31	Solution proposal	c)
1.07	Stakeholder list	d)	8.05	Customer approved solution document	d), e)
8.31	Solution proposal	d), e)	8.09	Customer success criteria	e)

ID	SLN2
Name	Contract lifecycle management
Purpose	The purpose of the SLN2 process is to develop, agree and manage a contract including mutually agreed terms and conditions against which the contracting parties perform their obligations.
Outcomes	As a result of a successful implementation of this process: a) goals and objectives of the contracting parties are aligned; b) obligations of the contracting parties are agreed; c) risks are clarified and agreed between the contracting parties; d) mutually satisfactory due diligence is achieved; e) service level and customer satisfaction targets are agreed; f) contracts are accepted and signed by contracting parties; g) contract changes are assessed, recorded, tracked and actioned; h) expirations and renewals are assessed, recorded, tracked and actioned; i) metrics are measured, alignment to all contracted targets assessed and corrective action put in place to address any deviations.

ID	SLN2
Base Practices	BP1. Align objectives: Goals and objectives of contracting parties are aligned. [Outcome a), d)] BP2. Define and monitor obligations: Define roles and responsibilities for the contracting parties with obligations. Monitor delivery of obligations, tracking corrective actions or invoking dispute resolution for deviations. [Outcome b), i)] BP3. Establish allocation of risks: Identify risks and assign to the respective parties. [Outcome c)] BP4. Agree service levels and targets: Customer satisfaction and SLAs are agreed between contracting parties. [Outcome e)] BP5. Assess performance: Define and agree measures, assess targets and implement corrective actions if required. [Outcome e), i)] BP6. Manage contracts: Undertake contracted activities in compliance with the relevant laws and regulations. Record, track and action contract change, expirations and renewals. [Outcome f), g), h)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
8.14	Internal stakeholder requirements	a)	8.06	Customer objectives	a), i)
8.06	Customer objectives	a), d), i)	8.33	Supplier objectives	a), d)
6.10	Contracts review report	a), b), g), h), i)	1.03	Contract obligation mapping	a), b), d), e), i)
1.02	Contract	b), c), f)	9.30	Risk log	c)
4.01	Contract policy	c), d), e), h)	9.08	Contract change control	g), h)
9.30	Risk log	c)	1.02	Contract	f), g), h)
8.33	Supplier objectives	a), d)	9.09	Contract tracker	f), g), h)
9.09	Contract tracker	f), g), h)	9.10	Contracts repository	f), g), h)

4.2.4 Transition in processes

There are six processes under this category:

- a) TRN1: People mobilization;
- b) TRN2: Infrastructure setup — technology;
- c) TRN3: Infrastructure setup — non-technology;
- d) TRN4: Knowledge transfer;
- e) TRN5: Service delivery planning;
- f) TRN6: Pilot implementation.

ID	TRN1
Name	People mobilization
Purpose	The purpose of the TRN1 process is to mobilize the required number of people with the required skills and experience to meet the identified service delivery requirements and the transition timescales.
Outcomes	As a result of the successful implementation of this process: a) required human resource levels and skill sets are determined based on agreed solutions; b) human resources are identified and recruited to meet requirements; c) human resources requirements mandated by the customer are verified; d) induction activities are completed within the transition timescales; e) skill sets of transferring resources are verified; f) skill sets are enhanced to meet service delivery requirements; g) continual professional development requirements are identified and assessed, recorded, tracked and met; h) transfer of employees is managed in line with relevant regulatory requirements; i) delivery organization structures, roles and responsibilities and competencies are defined and communicated; j) people mobilization activities are accepted by the customer in accordance with the acceptance criteria.

ID	TRN1
Base Practices	BP1. Undertake resource needs analysis: Determine and verify human resource requirements based on solutions and internal resource availability. [Outcome a), c)] BP2. Determine sourcing options: Identify sourcing options, such as recruitment, transfer of staff, reskilling, etc. Analyse and evaluate options. Define sourcing solution. [Outcome b), g)] BP3. Undertake resource selection: Select human resources from internal options. Comply with the regulatory requirements, acceptance criteria including but not limited to required background verification. Customer selection for required resources. [Outcome b), c), d), e), h)] BP4. Recruit resources: Initiate hiring of resources. Ensure availability of resources is accepted by the customer in accordance with the acceptance criteria. [Outcome b), c), i)] BP5. Develop and deliver induction: Define overall organization and delivery-specific induction and communicate to ensure new employees understand the culture and processes. [Outcome d), h)] BP6. Manage training needs: Establish and deploy training needs analysis, process training, customer culture training, domain and other identified training. Evaluate to ensure adequacy of knowledge and skills. Maintenance of training records. [Outcome d), e), f)] BP7. Undertake continual professional development: Identify, plan and deliver the continual professional development requirements for the resources, based on the present and future roles expected to be performed by the resources. Maintain records of continual professional development requirements (identified, planned and delivered) for each resource. [Outcome e), f)] BP8. Design delivery organization: Roles, responsibilities, organization structures, etc. are designed for the delivery of specific services based on acceptance criteria. [Outcomes i)] BP9. Gain acceptance of mobilized resources: Define acceptance criteria for review and acceptance of people mobilization activities. Gain customer acceptance. [Outcomes j)]

Work products					
WP ID	Inputs Name	Outcome	WP ID	Outputs Name	Outcome
8.05	Customer approved solution document	a)	3.34	Resource forecast	a)
3.34	Resource forecast	a), b), d), f)	1.04	Deployable resources list	b), c), d), e), g)
3.43	Transition plan	a), d), h), i)	9.33	Training records	c), d), e), h)
2.05	Skills framework	a), b), c), e), f)	3.24	Induction programme	d)
6.28	Sourcing options report	b), g), h)	8.23	Role competencies	e)
1.02	Contract	c), g), i)	2.06	Training material	e)
3.25	Induction programme outline	d), e), h)	1.11	Training needs analysis	e), f)
8.22	Regulatory requirements	g)	3.17	Continual professional development plan	f)
8.01	Acceptance criteria	j)	2.02	Delivery organization chart	i)

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
			9.05	Communication record	h), j)
			8.05	Acceptance criteria	j)
			9.14	Customer sign-off	i), j)

ID	TRN2
Name	Infrastructure setup — technology
Purpose	The purpose of the TRN2 process is to set up the technology infrastructure to meet the service delivery requirements.
Outcomes	As a result of the successful implementation of this process: a) technology infrastructure requirements, as appropriate, are identified, planned, validated, tested and implemented in line with the service delivery requirements and transition plan; b) technology infrastructure requirements are implemented and configured in line with security and compliance requirements, limiting access to authorized persons based on role provisioning and authorization; c) performance relating to the technology infrastructure is defined, measured, reviewed, improved and reported; d) technology infrastructure is agreed by the customer in accordance with the acceptance criteria.

ID	TRN2
Base Practices	BP1. Identify and validate technology requirements: Identify and validate all technology requirements to meet service delivery needs, including security and compliance. [Outcome a)] BP2. Plan, configure and implement technology: Define plan for the required technology to ensure technology requirements are met. Configure and implement planned technology. [Outcome b)] BP3. Integrate with customer technology: Establish seamless interface with customer's technology, with appropriate controls as identified. [Outcome b)] BP4. Correct technology setup defects: Take action to correct defects in the technology setup in a timely manner. [Outcome b)] BP5. Manage technology performance: Define and measure appropriate metrics related to technology performance. [Outcome b), c)] BP6. Gain acceptance of technology: Define acceptance criteria for the review and acceptance of the technology. Gain customer acceptance. [Outcome d)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.43	Transition plan	a), b)	3.40	Technology requirements and fulfillment plan	a)
1.02	Contract	a), b), c)	8.13	Infrastructure technology service definition	b)
3.40	Technology requirements and fulfillment plan	a), b)	6.31	User acceptance report	b)

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
8.26	Security and compliance requirements	b)	6.26	Service acceptance report	b)
8.24	Roles and responsibilities	b)	6.17	Incident report/dash-board	c)
8.25	Security and compliance IT checklist	b)	6.27	Service performance report	c)
6.27	Service performance report	c)	9.14	Customer sign-off	d)
8.15	IT SLA	c), d)	8.01	Acceptance criteria	d)
8.01	Acceptance criteria	d)			

ID	TRN3
Name	Infrastructure setup — non-technology
Purpose	The purpose of the TRN3 process is to set up the non-technology infrastructure to meet the service delivery requirements.
Outcomes	As a result of the successful implementation of this process: a) non-technology infrastructure requirements are identified in line with service delivery requirements and transition plan; b) non-technology infrastructure is planned, selected and implemented in line with service delivery requirements; c) non-technology infrastructure is tested and validated in line with service delivery requirements; d) non-technology facilities for special working arrangements are established; e) non-technology infrastructure is agreed by the customer in accordance with the acceptance criteria.

ID	TRN3
Base Practices	BP1. Identify and validate non-technology requirements: Identify and validate non-technology requirements (including physical security and time constraints) to meet service delivery requirements. [Outcome a), c)] BP2. Plan, select and set up non-technology requirements: Define a plan for the required non-technology to ensure non-technology requirements are met, including lead times. Finalize the delivery location(s). Establish seats, desktops and phones. Establish physical security (e.g. physical frisking, flap barriers, access-controlled delivery centers) and planned non-technology. [Outcome b)] BP3. Identify and implement special infrastructure needs: Establish non-technology infrastructure for non-standard working hours and other special requirements (such as transport, canteen, medical, physical security requirements, access control and other support services) based on process requirements.[Outcome d)] BP4: Gain acceptance of non-technology: Establish the process for formal acceptance, including definition of non-technology acceptance criteria and monitoring for consistent achievement. Gain customer acceptance. [Outcome e)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
1.02	Contract	a), b), d)	3.30	Non-technology requirements and fulfillment plan	a), b)
3.43	Transition plan	a), b), c), d)	2.04	Office facilities inventory	c), d)
3.30	Non-technology requirements and fulfillment plan	a), c)	5.09	Physical security controls procedure	c), d)
8.26	Security and compliance requirements	a), c)	8.18	Non-standard working hours requirement	d)
3.20	Facilities plan	c)	9.14	Customer sign-off	e)
8.18	Non-standard working hours requirement	d)	8.01	Acceptance criteria	e)
8.01	Acceptance criteria	e)			

ID	TRN4
Name	Knowledge transfer
Purpose	The purpose of the TRN4 process is to ensure the knowledge of business process, operations and information gets transferred between the customer's organization or current service provider and the new service provider.
Outcomes	As a result of the successful implementation of this process: a) the scope of required knowledge is identified; b) knowledge transfer plan is defined; c) required knowledge assets are created; d) human resources attain required knowledge to deliver the service; e) knowledge transfer completion is agreed by the customer and the service provider in accordance with the acceptance criteria.

ID	TRN4
Base Practices	BP1. Identify knowledge transfer scope: Identify the knowledge transfer requirements, including the processes, specific teams and locations and knowledge management objectives. [Outcome a)] BP2. Establish knowledge transfer plan: Define a knowledge transfer plan, including the overall duration to acquire knowledge, team sizes undertaking knowledge acquisition, data collection activities, sign-off criteria and assessment methods. [Outcome b)] BP3. Create knowledge assets: Obtain or produce process knowledge assets during knowledge acquisition, such as process maps, presentations, videos, etc. Retain knowledge assets with a mechanism to update. Manage and update the knowledge assets continually, based on changing customer requirements and processes. [Outcome c)] BP4. Acquire knowledge: Acquire knowledge to understand implemented process complexity, customer impact, current methods, tools, transfer procedures, cultural and other implications. Deploy detailed data collection plan to understand process characteristics. Track all practice cases based on the knowledge transfer plan. [Outcome d)] BP5. Transfer knowledge to identified employees: Transfer knowledge to the mobilized teams using the knowledge assets created by the initial core teams who undertook knowledge acquisition. [Outcome d)] BP6. Develop assessment mechanisms for acceptance: Determine and establish assessment mechanisms to assess the completeness of the knowledge acquired. Assessment mechanisms can include contextual practical exercises depending on the process area. Gain formal acceptance from customers based on assessment results against acceptance criteria. [Outcome d), e)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
1.02	Contract	a)	8.23	Role competencies	a)
3.34	Resource forecast	a)	3.29	Knowledge transfer plan	b)
2.02	Delivery organization chart	a), b)	3.32	Process documentation plan	b)
3.43	Transition plan	a), b)	5.10	Process maps and procedures	c)
5.01	As-is process documentation	a), b), c), d)	9.22	Knowledge asset	c)
6.12	Delivery capability assessment report	e)	1.10	Trained and skilled resources list	d)
8.01	Acceptance criteria	e)	2.06	Training material	d)
			8.01	Acceptance criteria	e)
			9.14	Customer sign-off	e)

ID	TRN5
Name	Service delivery planning
Purpose	The purpose of the TRN5 process is to establish an operational delivery and governance plan for service delivery.
Outcomes	As a result of the successful implementation of this process: a) human resource management is planned and established; b) business process management is planned and established; c) infrastructure — technology is planned and established; d) infrastructure— non-technology is planned and established; e) financial, operations, risk, business continuity, security, compliance and improvement plans are established; f) metrics and measurement systems are established; g) communication and governance mechanisms are established to provide monitoring, review, joint decision-making and issue resolution; h) service delivery plan is agreed by the customer in accordance with the acceptance criteria.

ID	TRN5
Base Practices	BP1. Plan operations: Establish an approach for scheduling, allocation of operational activities and responsibilities. [Outcome a), b), c), d), e)] BP2. Establish measurement and reporting: Establish metrics and measurement systems to monitor, report and act on the process performance, including customer feedback and corrective actions. [Outcome f)] BP3. Establish communications plan and governance framework: Establish steady state governance and ongoing communication channels to review, report and publish performance to stakeholders. [Outcome g)] BP4. Achieve service delivery plan sign-off: Ensure service delivery plan is in line with the acceptance criteria, meet the service delivery requirements and is signed off by all stakeholders and customers. [Outcome h)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.43	Transition plan	a), b), c), d), e)	3.38	Service delivery plan	a), b), c), d), e)
8.05	Customer approved solution document	a), b), c), d), e), f)	5.08	Measurement systems	f)
3.22	Governance plan	g)	5.05	Governance framework	g)
8.30	Service readiness checklist	a), b), c), d), e), h)	3.14	Communication plan	g)
1.02	Contract	f), g), h)	8.30	Service readiness checklist	a), b), c), d), e), h)
8.01	Acceptance criteria	h)	9.14	Customer sign-off	h)

ID	TRN6
Name	Pilot implementation
Purpose	The purpose of the TRN6 process is to verify the solution design in a safe environment before deployment of a full-scale service delivery solution.
Outcomes	As a result of the successful implementation of this process: a) a pilot plan and pilot success criteria are defined; b) human resource management and knowledge transfer is tested; c) business process management is tested; d) infrastructure is tested; e) infrastructure — non-technology is tested; f) financials, operations, risk, security, compliance, change, issue, improvement plans are tested; g) business continuity plans are tested; h) operations are tested; i) piloted service level performance and volumes are verified; j) customer feedback is recorded and corrective actions are tracked to closure; k) pilot completion and new or changed service deployment are agreed by the service provider in accordance with the acceptance criteria.

ID	TRN 6:
Base Practices	BP1. Develop pilot plan: Develop pilot plan with details on the process/sub-process, duration, volumes to be tested, resources required and success criteria. [Outcome a)] BP2. Test risk, business continuity: Establish and implement the processes to ensure risk and business continuity of the outsourced process are tested in a pilot environment. Feedback is recorded, communicated to stakeholders, resolved and incorporated in service delivery planning. [Outcome b), f), j)] BP3. Test infrastructure readiness: Establish and implement processes to ensure both technology and non-technology infrastructure of the outsourced process are tested in a pilot environment. Feedback is recorded, communicated to stakeholders, resolved and incorporated in service delivery planning. [Outcome c), f), j)] BP4. Verify knowledge transfer: Establish and implement processes to ensure knowledge of the team performing the outsourced process is tested in a pilot environment. Feedback is recorded, communicated to stakeholders, resolved and incorporated in service delivery planning. [Outcome d), f), j)] BP5. Verify capacity and service performance levels: Establish and implement processes to ensure volumetric and quality of performance of the outsourced process is tested in a pilot environment. Feedback is recorded, communicated to stakeholders, resolved and incorporated in service delivery planning. Variance between quality checks done by the service provider and customer are tracked and reported. Calibrate to ensure service quality levels are consistent. [Outcome e), f), j)] BP6. Assess service delivery readiness: Summarize conclusions from all testing and other learnings from pilot. Identify any further potential changes or improvements for execution during service delivery. [Outcome b), c), d), e), f), g), h), i)] BP7. Achieve pilot sign-off: Establish the process for formal pilot evaluation and acceptance against acceptance criteria. Achieve sign-off. [Outcome j), k)] BP8. Achieve transition sign-off: Ensure all transition milestones and deliverables are completed and acceptance criteria approved and signed off by all stakeholders and customers. [Outcome k)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
8.07	Customer requirement	a)	3.31	Pilot plan	a), b), c), d), e), f), g), h), i)
8.27	SLA	a), h)	6.25	Pilot report	b), c), d), e)
1.02	Contract	a), i)	3.38	Service delivery plan	b), c), d), e), f), g), h), i)
8.05	Customer approved solution document	a), b), c), d), e), f), g), h), i)	9.12	Customer feedback	b), c), d), e), f), g), h), i)
3.43	Transition plan	b), c), d), e), f), g), h), i)	9.11	Corrective or preventive actions record	b), c), d), e), f), g), h), i)
8.01	Acceptance criteria	j), k)	9.30	Risk log	f)
			6.02	Business continuity test report	g)
			8.01	Acceptance criteria	j), k)
			9.35	Transition sign-off	k)
			9.28	Pilot sign-off	j), k)

4.2.5 Service delivery processes

There are four processes under this category:

- a) SDL1: Service delivery execution;
- b) SDL2: Service delivery reporting;
- c) SDL3: Service level management;
- d) SDL4: Business process management.

ID	SDL1
Name	Service delivery execution
Purpose	The purpose of the SDL1 process is to manage, operate and control the ongoing service delivery to achieve the desired performance levels.
Outcomes	As a result of successful implementation of this process: a) roles and responsibilities for delivering services are maintained and assigned; b) daily operations are controlled; c) service delivery is monitored against the operational performance targets; d) governance framework is implemented; e) performance of daily operations communicated to relevant stakeholders; f) service delivery plans are reviewed and maintained in line with service changes and customer feedback.

ID	SDL1
Base Practices	BP1. Schedule human resources: Schedule the available human resources based on the incoming volume/transaction forecast. [Outcome a), c)] BP2. Assign and train roles to required competency levels: Train the deployed human resources in line with the required skills and knowledge for each role and activity. Monitor delivery against required performance and identify training needs. [Outcome a), c)] BP3. Schedule operations: Deploy a structured approach for scheduling, allocation of operational activities and responsibilities. [Outcome b), c)] BP4. Monitor operations: Monitor operational performance and identify performance variations and target gaps. [Outcome c)] BP5. Establish communications plan and governance framework: Establish steady state governance and ongoing communication channels to review, report and publish performance to stakeholders. [Outcome c), d), e), f)] BP6. Update service delivery plan: Ensure changes and feedback are recorded, communicated to stakeholders, resolved and incorporated in service delivery planning. [Outcome f)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.38	Service delivery plan	b), c), f)	1.04	Deployable resources list	a)
2.05	Skills framework	a)	9.33	Training records	a)
2.06	Training material	a)	1.11	Training needs analysis	a)
8.29	Service performance targets	a), c)	2.02	Delivery organization chart	a)
3.45	Work schedule	b)	3.45	Work schedule	b)
5.08	Measurement systems	c)	8.24	Roles and responsibilities	a)
5.05	Governance framework	d)	9.11	Corrective or preventive actions record	b), c)
6.27	Service performance report	c), d), e)	5.05	Governance framework	d)
3.14	Communication plan	e)	3.14	Communication plan	e)
9.03	Change request records	f)	9.05	Communication records	e)
9.12	Customer feedback	f)	3.38	Service delivery plan	f)

ID	SDL2
Name	Service delivery reporting
Purpose	The purpose of the SDL2 process is to produce timely and accurate service reports to support effective communication and decision making.
Outcomes	As a result of the successful implementation of this process: a) the service delivery reporting needs are identified; b) service delivery reports are produced according to the service report requirements; c) service delivery reports are communicated to relevant stakeholders; d) improvement actions are identified and reported; e) service delivery reports are reviewed and maintained in line with service changes and customer feedback.

ID	SDL2
Base Practices	BP1. Define the reporting mechanism: Define the templates and formats for reporting performance and metrics, review and maintain. [Outcome a), e]] BP2. Plan reporting: Define the types of reports, frequency of reporting and relevant stakeholders to receive the reports. [Outcome a)] BP3. Collect data and distribute report: Collect defined data, produce defined reports and communicate reports to stakeholders. [Outcome b), c)] BP4: Identify and record improvements: Analyse data and reports to identify improvements and record. [Outcome d)]

Work products					
Inputs			Outputs		
WP ID	Name	Outcome	WP ID	Name	Outcome
3.38	Service delivery plan	a)	1.06	Service performance report templates	a), b), e)
1.02	Contract	a)	6.27	Service performance report	b), e)
8.28	Service performance reporting requirements	a), b), e)	9.05	Communication record	c), d)
8.29	Service performance targets	b), c)	9.19	Improvement opportunity record	d)
5.08	Measurement systems	b), e)			
3.14	Communication plan	c), d)			

ID	SDL3
Name	Service level management
Purpose	The purpose of the SDL3 process is to ensure that the agreed service level targets are met.
Outcomes	As a result of the successful implementation of this process: a) services and dependencies are identified; b) service level targets and workload characteristics for services are defined in SLAs; c) services are monitored against SLAs; d) corrective and preventive actions are identified and tracked to closure in order to avoid or correct for service level performance deviations; e) service level performance against service level targets is communicated to stakeholders; f) requested changes to service requirements are recorded, reported and processed.

ID	SDL3
Base Practices	BP1. Define measurable service level targets: Identify and agree service, service level targets, dependencies and workload characteristics in line with the contract. [Outcome a), b)] BP2. Identify deviations to SLA: Monitor service levels against the target, identify deviations where SLA is missed. [Outcome c)] BP3. Identify and take corrective and preventive actions: Analyse deviations to the agreed SLAs, determine corrective and preventive actions and implement the actions. [Outcome d)] BP4. Communicate adherence and actions taken: Communicate SLA performance and actions taken for deviations to the stakeholders. [Outcome d), e)] BP5. Maintain and communicate modifications to service levels: Review requested changes to the service, service levels targets, dependencies and workload characteristics to ensure all changes required to the SLAs are evaluated. Define, agree on and communicate changes in the SLAs. [Outcome a), b), f)]