

Australian/New Zealand Standard™

**Information technology—Process
assessment**

**Part 8: An exemplar process
assessment model for IT service
management**



AS/NZS ISO/IEC 15504.8:2013

This Joint Australian/New Zealand Standard was prepared by Joint Technical Committee IT-015, Software and Systems Engineering. It was approved on behalf of the Council of Standards Australia on 6 May 2013 and on behalf of the Council of Standards New Zealand on 29 April 2013.

This Standard was published on 24 May 2013.

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This Standard was issued in draft form for comment as DR2 AS/NZS ISO/IEC 15504.8.

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Originated in Australia as AS 15504.8(Int)—1998.
Jointly revised and designated as AS/NZS ISO/IEC 15504.8:2013.

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PREFACE

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee IT-015, Software and Systems Engineering, to supersede AS 15504.8(Int)—1998, *Information technology—Software process assessment, Part 8: Guide for use in determining supplier process capability*.

This Standard defines an exemplar PAM that meets the requirements of AS/NZS ISO/IEC 15504.2 and supports the performance of an assessment by providing indicators for guidance on the interpretation of the process purposes and outcomes as defined in ISO/IEC TR 20000-4:2010, *Information technology—Service management, Part 4: Process reference model*, and the process attributes as defined in AS/NZS ISO/IEC 15504.2. It also provides guidance, by example, on definition, selection and use of assessment indicators.

This Standard is identical with, and has been reproduced from ISO/IEC TS 15504-8:2012, *Information technology—Process assessment—Part 8: An exemplar process assessment model for IT service management*.

As this Standard is reproduced from an International Standard, the following applies:

- (a) In the source text ‘this part of ISO/IEC 15504’ should read ‘this Australian/New Zealand Standard’.
- (b) A full point substitutes for a comma when referring to a decimal marker.

References to International Standards should be replaced by references to Australian or Australian/New Zealand Standards, as follows:

<i>Reference to International Standard</i>	<i>Australian/New Zealand Standard</i>
ISO/IEC	AS/NZS ISO/IEC
15504 Information technology—Process assessment	15504 Information technology—Process assessment
15504-1 Part 1: Concepts and vocabulary	15504.1 Part 1: Concepts and vocabulary
15504-2 Part 2: Performing an assessment	15504.2 Part 2: Performing an assessment

The term ‘informative’ has been used in this Standard to define the application of the annex to which it applies. An ‘informative’ annex is only for information and guidance.

CONTENTS

1	Scope	1
2	Normative references	2
3	Terms and definitions	2
4	Overview of the exemplar Process Assessment Model	2
4.1	Introduction to Overview	2
4.2	Structure of the exemplar Process Assessment Model	3
4.2.1	Processes	4
4.2.2	Process dimension	5
4.2.3	Capability dimension	5
4.3	Assessment Indicators	6
4.3.1	Process Capability Indicators	8
4.3.2	Process Performance Indicators	9
4.4	Measuring process capability	10
5	The process dimension and process performance indicators (Level 1)	11
5.1	General	11
5.2	CON.1 Change management	12
5.3	CON.2 Configuration management	13
5.4	CON.3 Release and deployment management	14
5.5	DTR.1 Service requirements	15
5.6	DTR.2 Service design	16
5.7	DTR.3 Service transition	16
5.8	DTR.4 Service planning	17
5.9	REL.1 Business relationship management	18
5.10	REL.2 Supplier management	20
5.11	RES.1 Incident management	21
5.12	RES.2 Service request management	21
5.13	RES.3 Problem management	22
5.14	SDE.1 Budgeting and accounting for IT services	23
5.15	SDE.2 Capacity management	24
5.16	SDE.3 Information security management	25
5.17	SDE.4 Service availability management	26
5.18	SDE.5 Service continuity management	27
5.19	SDE.6 Service level management	28
5.20	SDE.7 Service reporting	28
5.21	SMS.1 Audit	29
5.22	SMS.2 Improvement	30
5.23	SMS.3 Information item management	31
5.24	SMS.4 Management review	32
5.25	SMS.5 Resource management	34
5.26	SMS.6 Risk management	34
5.27	SMS.7 Service measurement	35
5.28	SMS.8 SMS Establishment and improvement	36
5.29	SMS.9 SMS Implementation and operation	37
6	Process capability indicators (Level 1 to 5)	38
6.1	Level 1: Performed process	39
6.1.1	PA 1.1 Process performance attribute	39
6.2	Level 2: Managed process	39

6.2.1	PA 2.1 Performance management attribute	39
6.2.2	PA 2.2 Work product management attribute	42
6.3	Level 3: Established process	44
6.3.1	PA 3.1 Process definition attribute	44
6.3.2	PA 3.2 Process deployment attribute	46
6.4	Level 4: Predictable process	48
6.4.1	PA 4.1 Process measurement attribute	49
6.4.2	PA 4.2 Process control attribute	51
6.5	Level 5: Optimizing process	53
6.5.1	PA 5.1 Process innovation attribute	53
6.5.2	PA 5.2 Process optimization attribute	55
6.6	Related Processes for Process Attributes	57
Annex A (informative) Conformity of the exemplar Process Assessment Model		58
Annex B (informative) Input and output characteristics		65
Annex C (informative) Process Capability for ISO/IEC 20000-1 requirements.....		101
Bibliography		204

INTRODUCTION

This part of ISO/IEC 15504 provides an example of an IT Service Management Process Assessment Model (PAM) for use in performing a conformant assessment in accordance with the requirements of ISO/IEC 15504-2. It enables implemented processes of ISO/IEC 20000-4 to be assessed according to the requirements of ISO/IEC 15504-2.

An integral part of conducting an assessment is to use a Process Assessment Model (PAM) that is constructed for that purpose. A PAM is related to a Process Reference Model (PRM) and is conformant with ISO/IEC 15504-2. ISO/IEC 15504-2 sets out the minimum requirements for performing an assessment in order to ensure consistency and repeatability of the ratings. ISO/IEC 15504-2 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 15504-2 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 PRM defined in ISO/IEC TR 20000-4 has been used as the basis for the PAM in this part of ISO/IEC 15504. The relationship between ISO/IEC 20000-1, ISO/IEC TR 20000-4 and ISO/IEC 15504-2 is shown in Figure 1.

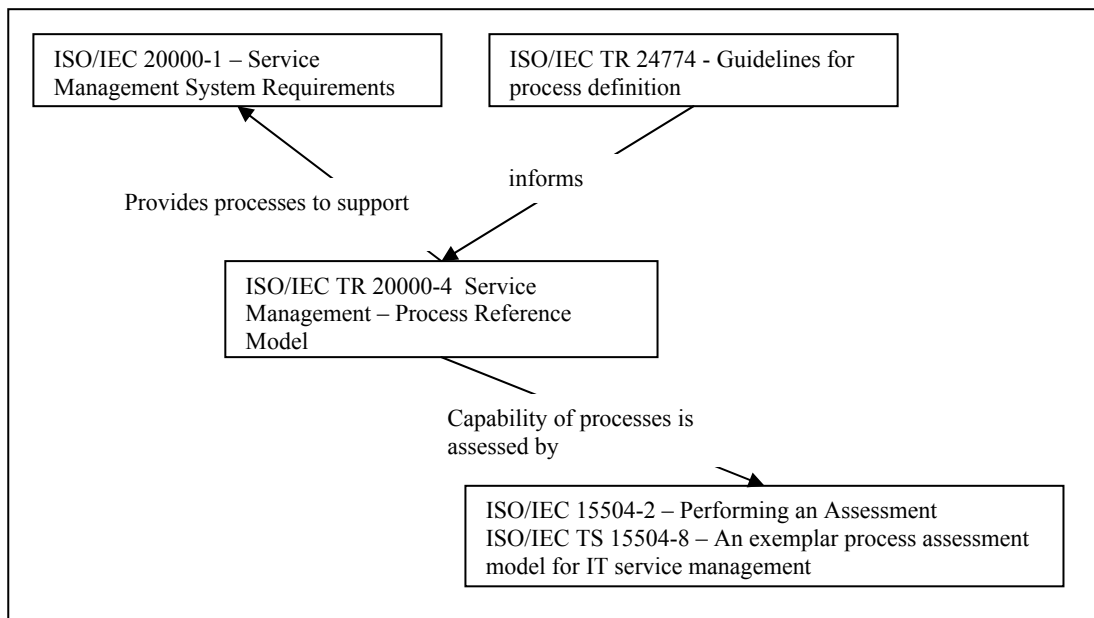


Figure 1 —Relationship between ISO/IEC 20000-1, ISO/IEC TR 20000-4 and ISO/IEC 15504-2

Any organisation may use processes with additional elements in order to suit it to the environment and circumstances. The Process Reference Model (PRM) that is the basis for this Process Assessment Model is ISO/IEC 20000-4:2010. This PRM may not be fully aligned with ISO/IEC 20000-1:2011 as it was developed to align to ISO/IEC 20000-1:2005. A revised PRM aligned to ISO/IEC 20000-1:2011 is being developed and it is expected that this revised PRM will address and resolve these identified incompatibilities. Due to the development status of this PRM, it is known to be unverified and subject to change in the future.

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 15504-2. Nevertheless any other PAMs meeting the requirements of ISO/IEC 15504-2 may be used in a conformant assessment.

This Part of ISO/IEC 15504 has a similar structure to ISO/IEC 15504 Parts 5 and 6. It may be used in conjunction with them for joint assessment of service management processes and system/software life cycle processes.

Within this part of ISO/IEC 15504:

- 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. It uses process definitions from ISO/IEC TR 20000-4 to designate the PRM. The processes of the PRM are described in the PAM in terms of purpose and outcomes. The PAM expands the PRM process definitions by including 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 15504-2, 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;
- Annex A provides a statement of conformance of the PAM to the requirements defined in ISO/IEC 15504-2;
- Annexes B provides selected characteristics for typical inputs/outputs to assist the assessor in evaluating the capability level of processes;
- Annex C contains a capability process profile linking the requirements of ISO/IEC 20000-1 to base practices and information items;
- the Bibliography contains a list of informative references.

AUSTRALIAN/NEW ZEALAND STANDARD

Information technology—Process assessment**Part 8:****An exemplar process assessment model for IT service management****1 Scope**

This part of ISO/IEC 15504:

- defines an exemplar PAM that meets the requirements of ISO/IEC 15504-2 and that supports the performance of an assessment by providing indicators for guidance on the interpretation of the process purposes and outcomes as defined in ISO/IEC TR 20000-4 and the process attributes as defined in ISO/IEC 15504-2;
- provides guidance, by example, on the definition, selection and use of assessment indicators.

A PAM comprises a set of indicators of process performance and process capability. The indicators are used as a basis for collecting the objective evidence that enables an assessor to assign ratings. The set of indicators included in this part of ISO/IEC 15504 is not intended to be an all-inclusive set nor is it intended to be applicable in its entirety. Subsets that are appropriate to the context and scope of the assessment should be selected, and possibly augmented with additional indicators (see Annex C).

The PAM in this part of ISO/IEC 15504 is directed at assessment sponsors and competent assessors who wish to select a model, and associated documented process method, for assessment (for either capability determination or process improvement). Additionally it may be of use to developers of assessment models in the construction of their own model, by providing examples of good service management practices. It can be used by:

- a) service providers to assess and improve a Service Management System (SMS), including processes, for the design, development, transition and delivery of services that fulfil service requirements;
- b) organizations that are seeking services from service providers and requiring assurance that their service requirements will be fulfilled;
- c) service providers to demonstrate their capability for the design, development, transition and delivery of services that fulfil service requirements.

Any PAM meeting the requirements defined in ISO/IEC 15504-2 concerning models for process assessment may be used for assessment. Different models and methods may be needed to address differing business needs. The assessment model in this part of ISO/IEC 15504 is provided as an exemplar of a model meeting all the requirements expressed in ISO/IEC 15504-2.

The scope of this Part of ISO/IEC 15504 is consistent with the scope of Part 5 and 6 of ISO/IEC 15504 in order to assist situations where assessment is being made of both service management and system/software life cycle processes.