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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 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).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO 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 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.

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The ISO/IEC 15504 series is being revised as the ISO/IEC 330XX family.

This document replaces the contents of ISO/IEC 15504-3:2004, Annex A.

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Introduction

This document provides an exemplar documented assessment process which includes the minimum elements needed as a basis for performing a process assessment. It is applicable for performing process assessments across all types of organizations using a variety of methods, techniques and tools.

The formal entry to the assessment process occurs with the assessment sponsor's commitment to proceed. The assessment input may then be compiled including the definition of responsibilities for performing the assessment. After the assessment inputs are compiled, the assessment activities may proceed which end with the production of the assessment report, its delivery to the Sponsor, and the verification of the conformity of the assessment.

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Information technology — Process assessment — An exemplar documented assessment process

1 Scope

This document contains an exemplar documented assessment process, and serves as guidance on the nature of activities required by this document. The content of this exemplar contains the minimum elements of a documented assessment process applicable for performing all classes of assessments as defined in ISO/IEC 33002. See also Annex B.

This document is suitable for all classes of assessments defined in ISO/IEC 33002.

This exemplar includes the activities by describing the tasks, inputs, outputs and the assessment-related roles and responsibilities. This description implicitly contains other elements that could comprise the process, like purpose, initial/end conditions, additional supporting roles/responsibilities or necessary resources.

While this exemplar contains all of the activities that are considered to be required for a process assessment, it is the case that variation exists in individual process assessments, and therefore, some degree of tailoring of this assessment process could be required. Tailoring of the assessment process is permitted, though it is the responsibility of the Lead Assessor and it would need to be conformant to the requirements of ISO/IEC 33002.

This document is not intended for use in performing organizational maturity assessments.

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 33001:2015, *Information technology — Process assessment — Concepts and terminology*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 33001 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

4 Documented assessment process

4.1 General

This documented assessment process includes the definition of the activities which are performed between the start and formal end of an assessment. It does not cover additional tasks involved in utilizing the results of the assessment. The assessment process consists of the following activities:

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