Module 5 The Process Capability Assessment Model

The COBIT® 5 Foundation Course

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Each module of your course has its own study guide, including a review of the module information, exercise answers and any additional diagrams or material mentioned. By the end of the course, you’ll have six chapters that build up into the full guide.

This document contains the study guide information for Module 5 – the Process Capability Assessment Model.

Use this study guide in conjunction with your own notes that you make as you progress through the course. You may prefer to print it out, or use it on-screen.

After each module, you can consolidate what you have learnt whilst watching the videos and taking the quizzes by reading through the chapter of the study guide. If you progress on to do the exam, your study guide will provide you with vital revision information.

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This module covered the Process Capability Assessment Model.

The lessons were:

- Lesson 1 – Introducing process assessment
- Lesson 2 – The Process Assessment Model
This lesson introduced process assessment.

We studied:

- What process assessment is
- The COBIT assessment programme
- The differences between a maturity and a capability assessment

Introduction

The COBIT 5 process assessment model is based on the international standard ISO/IEC 15504 Software Engineering – Process Assessment.

A process assessment is used to benchmark an enterprise’s IT-related processes against recognized, independent criteria. This permits:

- High-level health checks that compare an existing state with a desired state which supports decision-making about possible process improvements
- Gap analysis and improvement planning information to support definition of justifiable improvement projects.
- Assessment ratings that allow the governance body and management to measure and monitor current capabilities.

A common approach, and the one taken by COBIT 4, is based on process maturity. COBIT 5 takes a different approach, one based on capability.

The significance of this is that a capability assessment asks if the process serves its purpose and delivers its objectives. A maturity assessment can judge a process to be highly-mature even though it does not deliver value to the enterprise.

What process assessment is

A process assessment has the following characteristics and purposes:

- It is usually performed as part of an improvement programme, though it could be done in order to provide evidence of capability
- Its purpose is to add value to the enterprise by increasing its effectiveness and efficiency. Its purpose is not to make better processes. It indicates where an enterprise
might focus its improvement efforts. Of course, the decision will always be made in the context of individual circumstances

- It will identify the strengths, weaknesses and risks of a process as they relate to business needs.
- Another characteristic of a process assessment is that it uses a recognised methodology. An assessment must be:
  - Repeatable – assessments are usually repeated over time and we need to be able to compare results and answer questions such as ‘did our improvements work?’, ‘are we getting better?’ and ‘how much better?’
  - Logical – the criteria used in an assessment must be objective and derive from accepted evidence or principles
  - Understandable – the assessment must mean something to stakeholders. They should be able to use the assessment to make decisions about what to do next
  - Reliable and robust - the results of an assessment must reflect the actual state of the process as observed and experienced by stakeholders

The COBIT assessment programme

The COBIT assessment programme is underpinned by three ISACA publications:

1. **COBIT Process Assessment Model (PAM): Using COBIT 5.** Most of the process assessment model material is COBIT 4 material re-structured to align with the ISO/IEC 15504 reference model
2. **COBIT Assessor Guide: Using COBIT.** ISO/IEC 15504 identifies the need for assessors who are both independent and competent. In support of this ISACA is developing a training and examination programme for assessors
3. **COBIT Self-assessment Guide: Using COBIT 5.** This can be used by an enterprise that is just starting out on the COBIT road to form a view of their situation

These publications are all chargeable, and are available from the ISACA website.
The COBIT 5 capability-based assessment programme has a number of advantages:

- A prime advantage is that a capability assessment has a much greater focus on process outcomes. It does assess whether the process is serving its stated purpose. This is not the case with a maturity-based assessment. A process could achieve a high maturity rating and yet not be achieving its objectives.

- Another advantage is that the assessment criteria are much more specific. The assessment is dependent on evidence and so is much more objective and repeatable. The previous maturity assessment allowed greater scope for subjective judgements; the results could vary depending on who carried out the assessment and often resulted in disagreements and arguments between stakeholders.

- The new assessment programme includes provision for the training and independent certification of assessors. This will raise the standard of assessments and increase the confidence of the enterprise leaders in the programme, and in the COBIT framework itself.

- Using ISO/IEC 15504 as a model for the COBIT 5 process assessment model is in itself an advantage. Using a generally accepted assessment framework not only ensures a robust assessment process, but it also enhances its status and reputation for quality – it promotes the ‘brand image’.

- The advantages of objectivity, rigour, and specificity that we’ve described also makes the results a much better basis for action. This is a major advantage of the new process assessment model.
This lesson covered the Process Assessment Model (PAM).

We studied:

- The Process Reference Model
- The Process Assessment Model
- The measurement framework

**Introduction**

This diagram shows the COBIT Process Assessment Model (PAM) and the assessor guide. You can see the three components of the Process Assessment Model:

- The Process Reference Model – this is used to define the basic requirements of a process
- The Measurement Framework – this provides the basis for evaluating the capability level of a process
- The Process Assessment Model

*The diagram is copyright of ISO/IEC and is reproduced from ISO/IEC 15504-2*
### The Process Reference Model

ISO/IEC 15504 defines the Process Reference Model as:

“A model composed of definitions of processes in a life cycle described in terms of process purpose and outcomes, together with an architecture describing the relationships amongst the processes”

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The COBIT 5 process reference model shows the thirty-seven governance and management processes described by COBIT, and how they are grouped in domains.
We studied some terminology used by ISO/IEC 15504.

**Process purpose**

“The high-level measurable objectives of performing the process and the likely outcomes of effective implementation of the process”

You’ll remember from Module 3 that the definition of each process includes a statement of its purpose.

**Process outcome**

“An observable result of a process. An outcome is an artefact, a significant change of state or the meeting of specified constraints.”

In the case of COBIT 5, these are the process goals

**Base practice**

“An activity that, when consistently performed, contributes to achieving a specific process purpose”

**Work product**

“An artefact associated with the execution of a process”

Base practices and work products are specific for each process. They correspond to the management practices and work products defined for each COBIT 5 process. We’ll examine the significance of these later in the lesson.

**Generic practice**

“An activity that, when consistently performed, contributes to the achievement of a specific process attribute”

Put simply, these are the activities that are required to manage a process. An example would be process improvement activities.

**Generic work product**

These are work products that are produced by generic activities. They are work products required to support the management of a process. An example is a process improvement plan.

The publication *Process Assessment Model (PAM): Using COBIT 5* documents the COBIT 5 process reference model. It is based on the documentation in the process reference guide that you were introduced to in Module 3 Lesson 2. The format is changed to align it with ISO/IEC 15504, and there is some extra information.
The process id, name, description, and purpose statement are identical to those you’re familiar with. The documentation for each process in the reference model has three further sections:

- Outcomes
- Base practices
- Work products

We studied these, using process BAI06 Manage Changes as an example.

**Outcomes**

The first section of the process reference model is outcomes.

For BAI06 Manage Changes this section reads:

- BAI06-O1 – Authorised changes are made in a timely manner and with minimal errors
- BAI06-O2 – Impact assessments reveal the effect of the change on all affected components.
- BAI06-O3 – All emergency changes are reviewed and authorised after the change
- BAI06-O4 – Key stakeholders are kept informed of all aspects of the change

These are the same as the process goals documented in the process reference guide. The only difference is that each one has been given an identifier.

**Base practices**

The second section of the process reference model is Base practices. These correspond with the management practices described in the process reference guide. The process reference model assigns an identifier to each practice and documents which process outcome the practice supports.

BAI06 Manage Changes has four base practices that correspond with the four management practices. We used one of these as an example to show you what is documented in the process reference guide.

- **Base practice number** – BAI06-BP1
- **Description** – Evaluate, prioritise and authorise change requests
- **Supports** – BAI06-O1

You can see that this base practice supports the process outcome ‘Authorised changes are made in a timely manner and with minimal errors’
Work products

The third section of the process reference model is Work Products. This includes sub-sections for inputs and outputs. Let’s take these separately.

Outputs

The process reference model assigns an identifier to each output, and documents where the output goes and what it supports. Let’s illustrate that using an output defined for the manage changes process.

- **Work product number** – BAI06-WP1
- **Description** – Impact assessments
- **Input to** – Internal – this work product is used by the manage changes process itself. Many process outputs are then input to other processes. In that case this section would identify the target process and management practice.
- **Supports** – BAI06-BP1 and BAI06-O2 – this attribute identifies the base practice and outcome supported by the work product.

Inputs

The process reference model assigns an identifier to each input, describes it and documents what aspect of the process it supports

- **Work product number** – BAI03-WP6 - most of the inputs to any process come from another process – they are the outputs of another process. Work products are identified in the process that creates them and they retain that identifier when referenced elsewhere. In this example, work product BAI03-WP6 is an output from process BAI03.
- **Description** – Integrated and configured solution components
- **Supports** – BAI06-BP1 and BAI06-O2 – this attribute identifies the base practice and outcome supported by this input. Or, to put it another way, it identifies the base practice and output that are dependent on this input. If the input is in any deficient or sub-standard, then that practice and outcome will be jeopardized.
Exercise – Process Reference Model

This lesson included an exercise to look at the Process Reference Model. If you didn’t have time to complete the exercise during the lesson, why not attempt it now?

Exercise

Consider the COBIT process DSS02 manage service requests and incidents.
Document what you think the process purpose, outcomes, base practices and work products might be.

Exercise Solution

You will find a copy of the COBIT 5 definition of process DSS02 manage service requests and incidents below.

We don’t expect that you will have identified everything documented there. You will not be examined at this level of detail but your understanding of COBIT will be vastly increased if you spend some time studying it.

The process definition is quoted from Process Assessment Model (PAM): Using COBIT 5 ©, 2013, ISACA. All rights reserved. Used with permission.
<table>
<thead>
<tr>
<th>Process Id</th>
<th>DSS02</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process Name</td>
<td>Manage Service Requests and Incidents</td>
</tr>
<tr>
<td>Process Description</td>
<td>Provide timely and effective response to user requests and resolution of all types of incidents. Restore normal service; record and fulfil user requests; and record, investigate, diagnose, escalate and resolve incidents.</td>
</tr>
<tr>
<td>Process Purpose Statement</td>
<td>Achieve increased productivity and minimise disruptions through quick resolution of user queries and incidents.</td>
</tr>
</tbody>
</table>

**Outcomes (Os)**

<table>
<thead>
<tr>
<th>Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>DSS02-O1</td>
<td>IT-related services are available for use.</td>
</tr>
<tr>
<td>DSS02-O2</td>
<td>Incidents are resolved according to agreed-on service levels.</td>
</tr>
<tr>
<td>DSS02-O3</td>
<td>Service requests are dealt with according to agreed-on service levels and to the satisfaction of users.</td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th><strong>Number</strong></th>
<th><strong>Description</strong></th>
<th><strong>Supports</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>DSS02-BP1</td>
<td><strong>Define incident and service request classification schemes.</strong></td>
<td>DSS02-O1</td>
</tr>
<tr>
<td></td>
<td>Define incident and service request classification schemes and models.</td>
<td></td>
</tr>
<tr>
<td>DSS02-BP2</td>
<td><strong>Record, classify and prioritise requests and incidents.</strong></td>
<td>DSS02-01/O2</td>
</tr>
<tr>
<td></td>
<td>Identify, record and classify service requests and incidents, and assign a</td>
<td></td>
</tr>
<tr>
<td></td>
<td>priority according to business criticality and service agreements.</td>
<td></td>
</tr>
<tr>
<td>DSS02-BP3</td>
<td><strong>Verify, approve and fulfil service requests.</strong></td>
<td>DSS02-O3</td>
</tr>
<tr>
<td></td>
<td>Select the appropriate request procedures and verify that the service requests</td>
<td></td>
</tr>
<tr>
<td></td>
<td>fulfil defined request criteria. Obtain approval, if required, and fulfil the</td>
<td></td>
</tr>
<tr>
<td></td>
<td>requests.</td>
<td></td>
</tr>
<tr>
<td>DSS02-BP4</td>
<td><strong>Investigate, diagnose and allocate incidents.</strong></td>
<td>DSS02-O2</td>
</tr>
<tr>
<td></td>
<td>Identify and record incident symptoms, determine possible causes, and allocate</td>
<td></td>
</tr>
<tr>
<td></td>
<td>for resolution.</td>
<td></td>
</tr>
<tr>
<td>DSS02-BP5</td>
<td><strong>Resolve and recover from incidents.</strong></td>
<td>DSS02-03</td>
</tr>
<tr>
<td></td>
<td>Document, apply and test the identified solutions or workarounds and perform</td>
<td></td>
</tr>
<tr>
<td></td>
<td>recovery actions to restore the IT-related service.</td>
<td></td>
</tr>
<tr>
<td>DSS02-BP6</td>
<td><strong>Close service requests and incidents.</strong></td>
<td>DSS02-03</td>
</tr>
<tr>
<td></td>
<td>Verify satisfactory incident resolution and/or request fulfilment, and close.</td>
<td></td>
</tr>
<tr>
<td>DSS02-BP7</td>
<td><strong>Track status and produce reports.</strong></td>
<td>DSS02-03</td>
</tr>
<tr>
<td></td>
<td>Regularly track, analyse and report incident and request fulfilment trends to</td>
<td></td>
</tr>
<tr>
<td></td>
<td>provide information for continual improvement.”</td>
<td></td>
</tr>
</tbody>
</table>

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### “Work Products (WPs)“

<table>
<thead>
<tr>
<th>Number</th>
<th>Description</th>
<th>Supports</th>
</tr>
</thead>
<tbody>
<tr>
<td>APO09-WP6</td>
<td>SLAs</td>
<td>DSS02-BP1/2</td>
</tr>
<tr>
<td></td>
<td></td>
<td>DSS02-O1</td>
</tr>
<tr>
<td>BAI10-WP3</td>
<td>Configuration repository</td>
<td>DSS02-BP1</td>
</tr>
<tr>
<td>BAI10-WP5</td>
<td>Updated repository with configuration items</td>
<td>DSS02-O1</td>
</tr>
<tr>
<td>BAI10-WP7</td>
<td>Configuration status reports</td>
<td></td>
</tr>
<tr>
<td>DSS01-WP3</td>
<td>Asset monitoring rules and event conditions</td>
<td></td>
</tr>
<tr>
<td>DSS03-WP1</td>
<td>Problem classification scheme</td>
<td></td>
</tr>
<tr>
<td>DSS04-WP7</td>
<td>Incident response actions and communications</td>
<td></td>
</tr>
<tr>
<td>BAI10-WP3</td>
<td>Configuration repository</td>
<td>DSS02-BP2</td>
</tr>
<tr>
<td>DSS05-WP12</td>
<td>Security Incident tickets</td>
<td>DSS02-01/O2</td>
</tr>
<tr>
<td>APO12-WP16</td>
<td>Risk-related root cause</td>
<td>DSS02-BP3</td>
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<tr>
<td></td>
<td></td>
<td>DSS02-O3</td>
</tr>
<tr>
<td>BAI10-WP3</td>
<td>Configuration repository</td>
<td>DSS02-BP4</td>
</tr>
<tr>
<td></td>
<td></td>
<td>DSS02-O3</td>
</tr>
<tr>
<td>APO12-WP14</td>
<td>Risk-related incident response plans</td>
<td>DSS02-BP5</td>
</tr>
<tr>
<td>DSS03-WP6</td>
<td>Known-error records</td>
<td>DSS02-O2</td>
</tr>
<tr>
<td>DSS03-WP9</td>
<td>Communication of knowledge learned</td>
<td></td>
</tr>
<tr>
<td>DSS03-WP8</td>
<td>Closed problem records</td>
<td>DSS02-BP6</td>
</tr>
<tr>
<td></td>
<td></td>
<td>DSS02-O3</td>
</tr>
<tr>
<td>APO09-WP7</td>
<td>OLAs</td>
<td>DSS02-BP7</td>
</tr>
<tr>
<td>DSS03-WP2</td>
<td>Problem status reports</td>
<td>DSS02-O3</td>
</tr>
<tr>
<td>DSS03-WP5</td>
<td>Problem resolution reports</td>
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</tr>
<tr>
<td>DSS03-WP10</td>
<td>Problem resolution monitoring reports</td>
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<table>
<thead>
<tr>
<th>Number</th>
<th>Description</th>
<th>Input to</th>
<th>Supports</th>
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<tbody>
<tr>
<td>DSS02-WP1</td>
<td>Incident and service request classification schemes and models</td>
<td>Internal</td>
<td>DSS02-BP1, DSS02-O1</td>
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<tr>
<td>DSS02-WP2</td>
<td>Rules for incident and request escalation</td>
<td>Internal</td>
<td></td>
</tr>
<tr>
<td>DSS02-WP3</td>
<td>Criteria for problem registration</td>
<td>DSS03.01</td>
<td></td>
</tr>
<tr>
<td>DSS02-WP4</td>
<td>Incident and service request log</td>
<td>Internal</td>
<td>DSS02-BP2</td>
</tr>
<tr>
<td>DSS02-WP5</td>
<td>Classified and prioritised incidents and service requests</td>
<td>APO08.03, APO09.04, APO13.03</td>
<td>DSS02-BP1/O2, DSS02-O1/O2</td>
</tr>
<tr>
<td>DSS02-WP6</td>
<td>Approved service requests</td>
<td>BAI06.01</td>
<td>DSS02-BP3</td>
</tr>
<tr>
<td>DSS02-WP7</td>
<td>Fulfilled service requests</td>
<td>Internal</td>
<td>DSS02-O3</td>
</tr>
<tr>
<td>DSS02-WP8</td>
<td>Incident symptoms</td>
<td>Internal</td>
<td>DSS02-BP4</td>
</tr>
<tr>
<td>DSS02-WP9</td>
<td>Problem log</td>
<td>DSS03.01</td>
<td>DSS02-O3</td>
</tr>
<tr>
<td>DSS02-WP10</td>
<td>Incident resolutions</td>
<td>DSS03.04</td>
<td>DSS02-BP5, DSS02-O2</td>
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<tr>
<td>DSS02-WP11</td>
<td>Closed service requests and incidents</td>
<td>APO08.03, APO09.04, DSS03.04</td>
<td>DSS02-BP6, DSS02-O3</td>
</tr>
<tr>
<td>DSS02-WP12</td>
<td>User confirmation of satisfactory fulfilment or resolution</td>
<td>APO08.03</td>
<td></td>
</tr>
<tr>
<td>DSS02-WP13</td>
<td>Incident status and trends report</td>
<td>APO08.03, APO09.04, APO11.04, APO12.01, MEA01.03</td>
<td>DSS02-BP7, DSS02-O3</td>
</tr>
<tr>
<td>DSS02-WP14</td>
<td>Request fulfilment status and trends report</td>
<td>APO08.03, APO09.04, APO11.04, MEA01.03”</td>
<td></td>
</tr>
</tbody>
</table>

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Benefits of the Process Reference Model

The model provides us with a number of valuable things:

- Together with the goals cascade mechanism, it links tangible work products to enterprise goals
- It documents the complex web of dependencies between processes
- By linking and identifying processes, practices, outcomes and work products it provides a solid framework for a robust, systematic assessment

The Process Assessment Model (PAM)

The model takes a two-dimensional view of process capability:

- The process dimension – this dimension is concerned with the specifics of the 37 COBIT processes as defined by the process reference model that you learned about earlier
- The capability dimension – is concerned with the generic attributes that we discussed earlier in this lesson. It provides a means of evaluating how well a process meets the current or future goals of the enterprise

Capability levels

We took a closer look at the capability dimension.

There are six capability levels defined. These are numbered from 0 to 5.

- Level 0 – Incomplete process – the process is not implemented or it fails to achieve its purpose
- Level 1 – Performed process – the process is implemented and meets its purpose. The process assessment model forms the basis of an assessment at this level
- Level 2 – Managed process – the process is planned monitored and adjusted, and its work products are established, controlled and maintained
- Level 3 – Established process – the process has been implemented using a defined, standard process
- Level 4 – Predictable process – the process operates consistently within defined limits
- Level 5 – Optimizing process – the process is continuously reviewed and improved to maintain alignment with current and forecast business goals
Tip: It’s important to understand that capability is cumulative – a capability level includes all the capabilities of the levels below. So a process must have reached Level 3, for example, before it can be assessed at Level 4.

Exercise – PAM

This lesson included an exercise to look at the Process Assessment Model. If you didn’t have time to complete the exercise during the lesson, why not attempt it now?

Exercise

Imagine you are assessing process DSS02 manage service requests and incidents. What sort of evidence would you need to assess the process to be level 0, 1, 2, 3, 4 or 5?

The levels are:

- Level 0 – Incomplete process
- Level 1 – Performed process
- Level 2 – Managed process
- Level 3 – Established process
- Level 4 – Predictable process
- Level 5 – Optimizing process

Exercise Solution

The key word here is evidence. In the case of Level 2 and above, the evidence will relate to generic work products.

Level 0

A process will be at Level 0 by default if it does not meet the criteria for Level 1.

Level 1

Evidence will be sought that demonstrates that the process outcomes are being achieved and that the defined work products are produced. For example:

- Criteria for classifying incidents and service requests
- Incidents and service request are prioritised according to defined criteria
- Service requests are appropriately approved according to a defined
scheme
  ▪ Are agreed target resolution times being met?
  ▪ Are incidents and service requests recorded?

**Level 2**

Evidence will be sought that demonstrates that the performance of the process is being managed and that its work products are properly controlled. For example:
  ▪ Process objectives exist
  ▪ Process performance is monitored
  ▪ Action is taken to address under-performance

**Level 3**

Evidence will be sought that demonstrates that the process is implemented using a defined process that is capable of achieving its outcomes. For example:
  ▪ Documented process maps and activities
  ▪ Roles and competencies are documented
  ▪ Training plans exist

**Level 4**

Evidence will be sought that demonstrates that the process operates within defined limits to achieve its objectives. The evidence here will relate to the extent to which the process is measured.

**Level 5**

Evidence will be sought to demonstrate that activity to optimise the process takes place. Evidence may include documented reviews of performance, reviews of the use of technology, and capability assessments.
Assessment criteria

Now let’s look at the criteria used to determine the level. First, a couple of definitions from ISO/IEC 15504:

- **Process attribute** – a measurable characteristic of process capability applicable to any process
- **Attribute indicator** — an assessment indicator that helps to evaluate how well a specific process attribute is being achieved

Nine process attributes are defined and associated with particular capability levels. Let’s go through them, level by level.

<table>
<thead>
<tr>
<th>Level</th>
<th>Definition</th>
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<tbody>
<tr>
<td><strong>Level 0</strong></td>
<td>Level 0 is the starting point. A process at this level is incomplete so of course it won’t achieve any of the process attributes. Remember though that a level 0 process must achieve Level 1 before it can be considered for Level 2.</td>
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</table>
| **Level 1** | Just one process attribute is used to characterize a Level 1 process:  
  *PA 1.1 Process performance* – a measure of the extent to which the process purpose is achieved.  
  Each process attribute has an identifier, in this case PA 1.1 |
| **Level 2** | Capability Level 2 has two process attributes:  
  *PA 2.1 Performance management* – a measure of the extent to which the performance of the process is managed  
  *PA 2.2 Work product management* – a measure of the extent to which the work products produced by the process are appropriately managed |
| **Level 3** | Two process attributes characterize a Level 3 process:  
  *PA 3.1 Process definition* – a measure of the extent to which a standard process is maintained to support the deployment of the defined process.  
  *PA 3.2 Process deployment* – a measure of the extent to which the standard process is effectively deployed as a defined process to achieve its process outcomes |
Level 4

A Level 4 process is characterized by these two process attributes

**PA 4.1 Process measurement** – a measure of the extent to which measurement results are used to ensure that performance of the process supports the achievement of relevant process performance objectives in support of defined business goals. Measures may be either process measures or product measures or both.

**PA 4.2 Process control** – a measure of the extent to which the process is quantitatively managed to produce a process that is stable, capable and predictable within defined limits.

Level 5

The process attributes that characterize a Level 5 process are:

**PA 5.1 Process innovation** – a measure of the extent to which changes to the process are identified from analysis of common causes of variation in performance, and from investigations of innovative approaches to the definition and deployment of the process.

**PA 5.2 Process optimization** – a measure of the extent to which changes to the definition, management and performance of the process result in effective impact that achieves the relevant process improvement objectives

The measurement framework

COBIT defines a number of attribute indicators for each of these nine process attributes. These provide very specific, tangible criteria for evaluating each process attribute. The detail of that is beyond the scope of this course.

For exam purposes you just need to know the nine process attributes and the capability level they are associated with.

COBIT provides an objective, quantified means of scoring a process against a process attribute; this score is then used to assign a rating to the process. The detail of how the scoring is done is outside the scope of this course but you do need to know about the rating.

There are four possible ratings:

- **N – Not achieved.** There is little or no evidence of achievement of the defined attribute in the assessed process
- **P – Partially achieved.** There is some evidence of an approach to, and some achievement of, the defined attribute in the assessed process. Some aspects of achievement of the attribute may be unpredictable

- **L – Largely achieved.** There is evidence of a systematic approach to, and significant achievement of, the defined attribute in the assessed process. Some weakness related to this attribute may exist in the assessed process

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

A consistent means of rating is used across all process attributes:

- A score of 0 to 15% is rated as **N, Not achieved**
- A score of more than 15% but 50% or less is **P, Partially achieved**
- A score of more than 50% but 85% or less is rated **L, Largely achieved**
- A score of more than 85% is rated as **F, Fully achieved**

The scoring and rating mechanism provides an enterprise with useful information about the capability of its processes, and how they have changed since the last assessment. The ratings are also used to determine the capability level of a process.

To achieve a pass for a certain level, a process must be rated **L – Largely** or **F – Fully** at that level, and be rated **F-Fully** on the lower levels.

To be able to move onto another capability level all Process Attributes must be **F – fully** for that process.