Understanding the CobiT® 5 Process Assessment Model

CobiT® 5 and ISO 15504, the new benchmark for IT functions, organisations and service providers

ISO 15504-2 defines a measurement framework for the assessment of CobiT® 5 process capability. Process capability is defined on a six point scale from 0 to 5. This scale represents increasing capability of the implemented process, from not achieving the process purpose through to meeting current and projected business goals.

The measurement of capability is based upon a set of process attributes. Each attribute defines a particular aspect of process capability. Levels of achievement of the process attributes are scored as follows:

- N – Not achieved: 0 – 15% achievement
- P – Partially achieved: 15 – 50% achievement
- L – Largely achieved: 50 – 85% achievement
- F – Fully achieved: 85 – 100% achievement

**Process Capability Assessment for Level 0**
The process is not implemented at all, or fails to achieve its process purpose:
- Processes are incomplete

**Process Capability Assessment for Level 1**
Processes are ad hoc and disorganised (and therefore largely dependent on people)
But the Implemented Process Achieves its Purpose
- the process achieves its defined outcomes
  - Base practices are performed:
    - Work products that are input to the process are identified
    - Work products that are output from the process are identified
    - Actions taken to transform input work products to output work products identified

**Process Capability Assessment for Level 2**
Processes follow a regular pattern (to manage inherent risks)
The Implemented Process is Planned, Monitored and Adjusted to meet identified objectives
- Performance is managed
  - Objectives for the performance of the process are identified
  - Performance of the process is planned and monitored
  - Performance of the process is adjusted to meet the plans
  - Responsibilities and authorities for performing the process are defined, assigned and communicated
  - Resources and information necessary for performing the process are identified, made available, allocated and used
  - Interfaces between the involved parties are managed to ensure effective communication and clear assignment

- Work products are managed
  - Requirements for the process work products are defined
  - Requirements for documentation and control of work products are defined
  - Work products are appropriately identified, documented and controlled
  - Work products are reviewed in accordance with planned arrangements and adjusted as necessary to meet requirements.

**Process Capability Assessment for Level 3**
Processes are documented and communicated (for organisational efficiency)
The Implemented Process is Established – based upon a standard process which is effectively deployed as a defined process to achieve its process outcomes
- Process definition
  - A standard process, with tailoring guidelines, is defined that describe the fundamental elements of the process
  - The sequence and interaction with other processes is determined
  - Required competencies and roles to perform the process are identified
  - Required infrastructure and work environment are identified
  - Suitable methods for monitoring the effectiveness and suitability of the process are defined

- Process deployment
  - The defined process is deployed based on the tailored standard process
  - Defined roles, responsibilities and authorities are assigned and communicated
  - Personnel performing the defined process are competent (knowledge, skill and personal attributes) on the basis of appropriate education, training and experience
  - Required resources and information necessary are made available, allocated and used
  - Required infrastructure and work environment are made available, managed and maintained
  - Appropriate data are collected and analysed as a basis for understanding of the behaviour of, and to demonstrate the suitability and effectiveness of the process, and to evaluate where continuous improvement of the process can be made.

**Process Capability Assessment for Level 4**
At level 4, processes are monitored and measured (for quality defects) and predictability
A predictable process operates consistently within defined limits to achieve process outcomes and is supported and driven through quantitative information derived from relevant measurement.
- A standard process is now performed consistently

- Process measurement
  - Process information needs in support of business goals are established
  - Process measurement needs are derived from process information needs
  - Quantitative objectives for process performance in support of business goals are established
  - Measures and frequency of measures are identified and defined in line with process measurement objectives for process performance
  - Results of measures are collected, analysed and reported
  - Measurement results are used to characterise process performance

- Process control
  - Analysis and control techniques are determined and applied
  - Control limits of variation are established for normal process performance
  - Measurement data are analysed for special classes of variation
  - Correction action is taken to address variation
  - Control limits are re-established following corrective action.