

Australian/New Zealand Standard™

**Information technology—Process
assessment—Requirements for
performing process assessment**



AS/NZS ISO/IEC 33002:2016

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 21 January 2016 and on behalf of the Council of Standards New Zealand on 18 January 2016.
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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/NZS ISO/IEC 15504.2:2004, *Information technology—Process assessment, Part 2: Performing an assessment*.

The objective of this Standard is to define the minimum set of requirements for performing an assessment that will ensure assessment results are objective, consistent, repeatable, and representative of the assessed processes.

This Standard is identical with, and has been reproduced from ISO/IEC 33002:2015, *Information technology—Process assessment—Requirements for performing process assessment*.

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

- (a) In the source text ‘this International Standard’ should read ‘this Australia/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
33001 Information technology—Process assessment—Concepts and terminology	33001 Information technology—Process assessment—Concepts and terminology
33003 Information technology—Process assessment—Requirements for process measurement frameworks	33003 Information technology—Process assessment—Requirements for process measurement frameworks
33004 Information technology—Process assessment—Requirements for process reference, process assessment and maturity models	33004 Information technology—Process assessment—Requirements for process reference, process assessment and maturity models

The terms ‘normative’ and ‘informative’ have been used in this Standard to define the application of the annexes to which they apply. A ‘normative’ annex is an integral part of a Standard, whereas an ‘informative’ annex is only for information and guidance.

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INTRODUCTION

This International Standard defines the minimum set of requirements for performing an assessment that will ensure assessment results are objective, consistent, repeatable, and representative of the assessed processes. The requirements help to ensure that the assessment output is self-consistent and to provide evidence to substantiate the ratings and to verify compliance with the requirements. Process assessment is applicable in the following circumstances:

- by or on behalf of an organization with the objective of understanding the state of its own processes for process improvement;
- by or on behalf of an organization with the objective of determining the suitability of its own processes for a particular requirement or category of requirements;
- by or on behalf of one organization with the objective of determining the suitability of another organization's processes for a particular purpose, contract, or category of contracts.

This International Standard is applicable across all application domains and sizes of organizations. Appropriate methods, techniques, and tools can be used to enable the assessment process to be effective and efficient.

This International Standard is part of a set of International Standards designed to provide a consistent and coherent framework for the assessment of process quality characteristics, based on objective evidence resulting from implementation of the processes. The framework for assessment covers processes employed in the development, maintenance, and use of systems across the information technology domain and those employed in the design, transition, delivery, and improvement of services. The set of International Standards, as a whole, addresses process quality characteristics of any type. Results of assessment can be applied for improving process performance, or for identifying and addressing risks associated with application of processes.

The ISO/IEC 330xx family of Standards defines the requirements and resources needed for process assessment. The overall architecture and content of the series is described in ISO/IEC 33001:2015.

Several International Standards in the ISO/IEC 330xx family of standards for process assessment are intended to replace and extend parts of the ISO/IEC 15504 series of Standards. ISO/IEC 33001, Annex A provides a detailed record of the relationship between the ISO/IEC 330xx family and the ISO/IEC 15504 series.

AUSTRALIAN/NEW ZEALAND STANDARD

Information technology—Process assessment—Requirements for performing process assessment**1 Scope**

This International Standard defines the minimum set of requirements for performing an assessment that will ensure assessment results are objective, consistent, repeatable, and representative of the assessed processes.

The requirements defined in this International Standard can be used by or on behalf of an organization to

- a) facilitate self-assessment,
- b) provide a basis for improving process performance and mitigating process-related risk,
- c) produce a rating of the achievement of the relevant process quality characteristic, and
- d) provide an objective benchmark between organizations.

This International Standard is applicable across all application domains and sizes of organization.

NOTE An organization can implement a set of integrated processes in a system.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. 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*

ISO/IEC 33003:2015, *Information technology — Process assessment — Requirements for process measurement frameworks*

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

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 33001:2015; apply.

4 Performing an assessment

The purpose of process assessment is to understand and assess the processes implemented by an organizational unit.

[Figure 1](#) shows the key elements of the process assessment process.