



Internal Assessment

Standard Practice Document

Owner Name: Process Excellence Team (PeX)

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Document History

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1. Executive Summary

This standard practice describes the activities involved in initiating, planning, conducting the internal assessment for the organization. Also explains the steps involved in reporting the assessment findings, closure and verification of the same.



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2. Scope

The scope covers projects under Development, Testing, Maintenance and IMS at offshore, as well as for Functional Groups (Admin, HR, TAG, Finance, CSG, Quality, Sales, Management, and Legal).

3. Distribution List

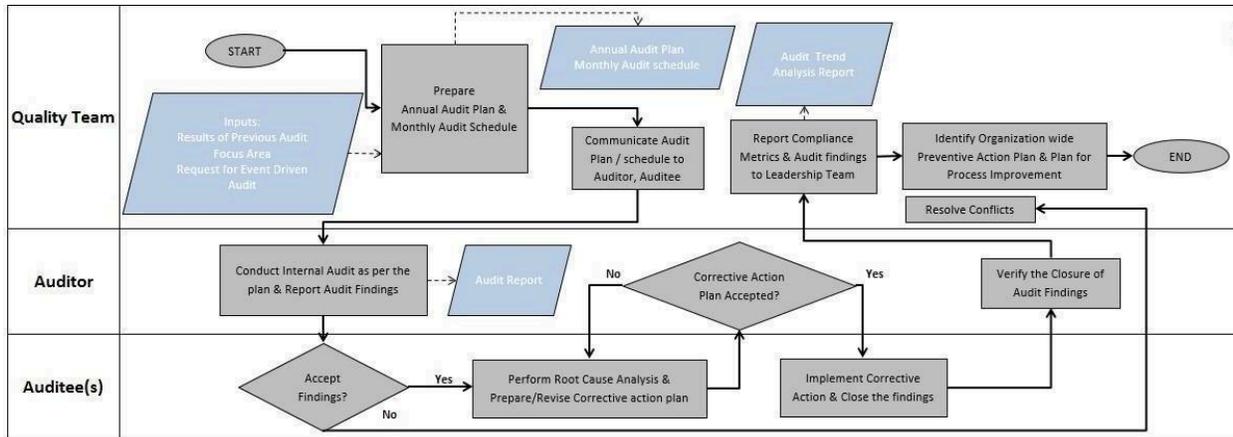
This standard practice is accessible to everyone through GAVS Intranet site.

4. Definitions and Acronyms

S.No.	Definition /Acronyms	Description
1.	BMS	Business Management System
2.	SOP	Standard Operating Procedures
3.	ADM	Application Development Maintenance
4.	IMS	Infrastructure Management System
5.	FG	Functional Groups like Admin, HR, TAG, Finance, CSG, Quality, Sales, Management, Legal
6.	QMG	Quality Management Group
7.	SLA	Service Level Agreement
8.	AEO	Agile Enablement Office
9.	SQA	Software Quality Assurance

5. Internal Assessment

5.1 Process Flow



Refer to Process flow chart in [Neurealm Intranet site](#)

5.2 Process Exception

Obtain approval from the Head of Quality for any deviation from the processes defined in this standard practice.

5.3 Purpose

The purpose of Internal Assessment is to assess how the business processes implemented at Neurealm are performing with respect Neurealm business objectives and provide feedback in the form of findings to ensure that business processes are effectively implemented and maintained.

Following are the various assessment that comes under the category of Internal assessment along with its frequency & its applicability

Assessment Type	Frequency	Timeframe
Startup /On Boarding assessment	During the Project/Engagement Start-up	Within 7 Working Days after the Project Kick Off.
Work Product / Sprint assessment	At the End of every Phase	On the same day of Phase end
Release assessment	During the Major Releases to Customer	On the day of Delivery or Prior to that.
Closure /Off- Boarding assessment	During the Project Closure	Within 2 Working Days after the Project Sign Off
Support Functions Assessments	Half Yearly	
IMS / ADM - health Check	Once in 2 months	
ITIL & Agile Maturity Level Assessment	Once in six months	

Note:

Health Checks will be exempted if the engagement is performing well in terms of Metrics, success goals, CRISP, CSAT & health check will be carried out once in quarter.

Process Model Compliance score will be considered only for the Maturity Level Assessments & Support function Assessments

Following are the SLA's for the Assessment Activities:

Sl. No.	Description	SLA	Responsibility
01	Assessment schedule to Appraiser, Appraisee and Functional Heads	On or before 07th for the current month	Manager / QMG
02	Start-up Assessment	7 working days - from Project Kick-off meeting	QMG
03	Conduct Assessment	As per the Schedule	Appraiser
04	Publish IA Report to Appraiser through csm platform	2 working days - from the date assessment conducted	Appraiser
05	Enter CAP to Appraiser	2 working days - from the date IA Report is received	Appraisee
06	Review CAPA	1 working days - CAPA received from Appraisee	Appraiser
07	Closing IA findings	7 working Days from the date CAPA accepted by Appraiser	Appraisee
08	Verify IA Findings	2 working day from the date of closure report received from Appraisee	QMG

5.4 Supplier

- Business Unit Head
- Customer Success Manager
- Project Manager
- Functional Head

5.5 Process Entry Criteria

- Starting of Calendar year and availability of Appraisers Pool
- Commitment from the Functional Head, BU Head, Customer Success Manager, Project Manager for conducting an assessment.

5.6 Input

- a. Information Required
 - List of Internal Appraisers
 - List of Functional Groups & Projects for Performing an Assessment
 - PSPD document for the respective projects
 - Internal Assessment Checklists for Functional Groups & Projects
 - Previous cycle’s Assessment Plan & Report
- b. BMS Reference

- Policy reference
- Assessment planning template
- Plan review checklist
- Guidelines / SOP

5.7 Task

S.No.	Task Description	Responsible
1.	<p>Plan for Internal Assessment Program: Prepare an Annual Assessment Plan considering the following, which should cover the following:</p> <ul style="list-style-type: none"> • All the functions and projects in Neurealm are identified for planning. • The focus area of the Assessment based on process performance / business objectives 	Manager – Quality / QMG
2.	Based on the Assessment Plan, arrive at an approximate number of assessments to be carried out. Determine no. of Appraisers required for a year and month based on Internal Appraiser Pool and No. of assessments per month committed by Internal Appraisers.	Manager – Quality / QMG
3.	Review Annual Assessment Plan and provide review feedback	Head of Quality
4.	Approve Annual Assessment Plan.	Head of Quality
5.	<p>Discuss with HR Team for them to send an invite to employees who are interested to enroll as an Internal Appraiser.</p> <p>Qualifying Criteria: Technical / Project Lead Role and above</p>	Head of Quality
6.	Review the list of participants for the eligibility & Approve to conduct the Internal Appraiser's Training as per the Training Plan	Head of Quality
7.	Prepare the training material for the Internal Appraiser Training	QMG
8.	Review & Approve the training material for the Internal Appraiser Training	Head of Quality
9.	<p>Plan for Internal Assessment Schedule: Arrive at a Monthly Assessment Schedule with information related to:</p>	QMG

	<ul style="list-style-type: none"> Projects that are commenced for the month Annual Assessment plan that has the scope & frequency Availability of Appraisers, Appraisees, date & time of assessment <p>Ensure that the selected Appraisers do not assessment their own work or does not have direct stake on the Project/Functional Group</p>	
10	Revisit the Monthly Assessment Schedule for any changes in Assessment Dates, Appraisers, Appraisees, coverage etc. & get it approved	QMG
11.	Review and approve assessment schedule after ensuring that review feedback is incorporated	Head of Quality
12.	Conduct Assessment: Conduct assessment as per the monthly Schedule in accordance to assessment scope and using the assessment checklist to evaluate the process compliance which includes adherence to legal, statutory, regulatory and other requirements of internal / external interested parties	Appraisers
13.	Record the Assessment findings in the Assessment Checklist in SQA Record the best practices, Project information as observed.	Appraisers
14.	Share draft assessment findings with the Appraisees for concurrence within the defined SLA	Appraisers
15.	Accept/Reject the findings within the defined SLA	Appraisees
16.	Resolve conflicts between Appraiser/Appraisee/any other Stakeholders	Head of Quality
17.	Manage Non-Conformances: Publish the Final Assessment Report with Process Compliance Index (PCI) Scores & the observation in SWOT format through the SQA Management	Appraisers
18.	Arrive at root cause of failure and the immediate action under Correction for the Weaknesses & Threats raised within the defined SLA Identify the Corrective action plan to ensure that same Weaknesses & Threats does not arise in future in consultation with Appraisees Manager(s) and/or QMG Head.	Appraisees

	Also Commit the timelines for Closing the action Item & submit the Assessment report to Appraiser & QMG	
19.	Review correctness and completeness of corrective action action plan where applicable. Confirm whether the CAP would be accepted or Rejected. In case of rejecting CAP, provide justification / explanation for the rejection.	Appraiser
20.	Obtain an approval from BU Head for any breach of timeline for closure of Non – Conformances & forward to QMG	Appraisees
21.	Review the closure of assessment findings as per the CAP provided and update the status of assessment finding.	Appraiser
22.	Review list of assessment findings that are overdue beyond SLA / target date and escalate to BU Head for closing the findings	Head of Quality
23.	Consolidate all the assessment findings and prepare an analysis report on the process performance of Neurealm Business Management System	Head of Quality
24.	Present the following to senior management through Quality Council and Security Council meet every month. <ul style="list-style-type: none"> • Process Compliance at Org. level and Project level • Status of Weakness & Threats, Current Maturity Levels & Targeted maturity level, Corrective Action plan • CSAT • Issues related to HSE, Security, Quality and HIPAA 	Head of Quality Leadership Team Representatives from each project
25.	Based on the analysis, arrive at an action plan, process improvement plan if applicable for the forthcoming quarter and update the action item tracker	Head of Quality
26.	Draft a plan of action to focus on: <ol style="list-style-type: none"> 1) Identifying training requirements 2) Identifying the process improvement opportunities 3) Revisiting the EPG Plan to accommodate improvement plans 4) Ensuring appropriate process changes & piloting the process changes 5) Revisiting the business goals, if required 	Head of Quality

5.8 Output

- Annual Assessment Plan
- Monthly Assessment Schedule
- Internal Assessment Report
- Assessment Analysis Report
- EPG Plan

5.9 Customer

- Business Unit Head
- Customer Success Manager
- Project Manager
- Functional Group Head
- Management Representative

5.10 Measurement

- Number of Assessments conducted
- Effort spent for Assessment Activities
- Maturity level at the time of assessment Vs Current maturity level
- Number of Weaknesses & threats Raised & Closed
- Aged Open findings

5.11 Process Completion Criteria

Assessment Report Completion mail (auto Triggered) to the requestor and to the respective stake holders by the Appraiser/ SQA Management portal .

5.12 Standards/Models Reference

Model / Standard	Process Area reference / ISO Clause(s) no.
ISO 9001:2015	9.2 Internal Assessment
CMMI V1.3- DEV	PPQA GP 2.3
ISO 27001:2013	9.2 – Internal Assessment
ISO 20000-1:2011	4.5.4.2 – Internal Assessment

5.13 Process Maturity Model for reporting the observations

5.13.1 Purpose / Introduction

Process maturity is an indication of how close a developing process is to being complete and capable of continual improvement through qualitative measures and feedback.

Thus, for a process to be mature, it must be complete in its usefulness, automated, reliable in information and continuously improving.

The maturity of a process or activity can be defined to be at one of five levels, from Level 1 (the least mature) to level 5 (the most mature). The processes at higher levels also address the features of the lower levels. The ground level is Level 0 where no process exists for the activity

Level 0 – Person-Dependent Practices: This is for cases where the activity being performed is not documented. In other words, it is not recorded either in outline or in detail. The activity is entirely person dependent and the sequence, timing and result may vary during repetition. This requires a lot of supervision. There is no guarantee of either achieving the desired result or adhering to timelines. The activity is entirely ad hoc, with little communication between functions. The effectiveness of the activity is entirely dependent on individuals. Knowledge transfer may or may not happen if there is any change in the owner of the activity.

Level 1 – Documented Process: At this maturity level, there is a document that has been reviewed and approved by the supervisor or the approving authority as the standard process. But it may be doubtful that the activity being performed is as per the document. This is may be because of a process drift or some drastic change since the document was drafted.

Level 2 – Partial Deployment / Implementation: Here, the activity that is documented is being deployed, but there is inconsistency in the deployment. The process may not be deployed in totality. That is, it may not be deployed at all the intended locations, or though all functions, or by all the intended owners, or all the activities defined in the process are not being performed. This would mean that the document has not been designed to cater to such variations. There is inconsistency in results of different process owners.

Level 3 – Full Deployment / Implementation: At this level, there is no inconsistency between the documented process and the deployed process. The process documented and deployed caters to all the intended locations, owners and all the activities that need to be performed. The process also shows seamless linkage between functions and other processes wherever there needs to be any interaction. This means that the process shows greater consistency of actions and better communication between functions.

Level 4 – Measured and Automated: The process has set itself goals such as adherence to timelines, customer satisfaction, cost, etc. The process also is being measured against its goals. The process is system-driven by enablers such as using enterprise resource planning or customer resource management or any other custommade software.

Level 5 – Continuously Improving: The goals set for the process are being analyzed for achievements and improved regularly. The timelines, cost targets, satisfaction levels are being achieved regularly and the targets also are being tightened by using continuous quality improvement techniques such as Six Sigma, Kaizan, etc. The enabling system also is being improved and being made error-free by strategies such as poka-yoke (mistake proofing).

The table below summarizes requirements to arrive at the different maturity levels.

Figure 1: Maturity Level Snapshot

Maturity Level	Person Dependent	Documented Process	Partial Deployment	Full Deployment	Measured & Automated	Continuously Improving
Level 0	Yes	—	—	—	—	—
Level 1	—	Yes	—	—	—	—
Level 2	—	Yes	Yes	—	—	—
Level 3	—	Yes	—	Yes	—	—
Level 4	—	Yes	—	Yes	Yes	—
Level 5	—	Yes	—	Yes	Yes	Yes

From the inception of an organization through its growth, the maturity of its processes usually improves. But this may not be the case for all its business processes. Some may still be at the lower levels. This shows that the organization has not had an all-round maturity of its processes. There also are instances where the maturity level may drop if not monitored or if the documents are not revised, according to changes the business undergoes. Thus a fully established business can contain processes at different levels.

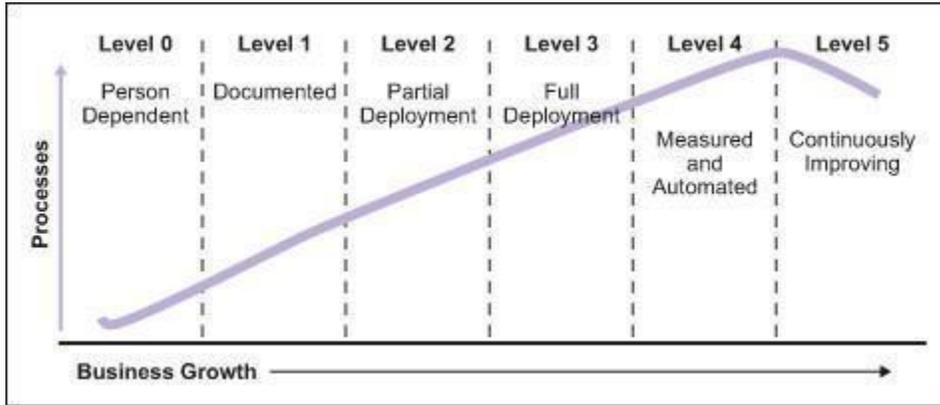


Figure 2: Business and Process Growth

Format for Maturity Level Questionnaire

Level	Question	Status (Yes/No/NA)
Level 0	>	
	<p>Person-Dependent Practices: This is for cases where the activity being performed is not documented. In other words, it is not recorded either in outline or in detail. The activity is entirely person dependent and the sequence, timing and result may vary during repetition. This requires a lot of supervision. There is no guarantee of either achieving the desired result or adhering to timelines. The activity is entirely ad hoc, with little communication between functions. The effectiveness of the activity is entirely dependent on individuals. Knowledge transfer may or may not happen if there is any change in the owner of the activity</p>	
Level 1	<p>> Is the activity/practice documented as per the Neurealm standard format? > Is the document approved by the PM or CSM?</p>	
Level 2	<p>> Does the documented process cover at least one of the intended locations of the business? > Does the documented process, deploy/practice at least some of the process steps or sub-processes?</p>	

- Level 3
 - > Is the process that is documented deployed/practiced fully, including all the process steps?
 - > Is the process that is documented deployed/practiced fully in all the intended locations of the business?
 - > Does the documented process necessitate cross-links with other processes and functions? If so, does it deploy such links in totality?
 - > Is the process linked to other intended processes or functions?

Level 4	<ul style="list-style-type: none"> > Have goals been set to adhere to Quality, Performance (timelines/SLA, Cost), Compliance, Value (customer success) ? > Are there metrics for the measurement of the goal? > Can the process be automated? If so, is it automated and enabled by the software tool and documented accordingly? 	
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- Level 5
 - > Is the measurement of the customer success goals analyzed and improved upon on a regular basis?
 - > Does the metric have a positive trend? And are there steps being taken on improving the trend?
 - > Is the software / systems enabling the process, being upgraded as per user requirements?

6. Event Driven Assessments

6.1 Purpose

The purpose of event driven assessment process is to assess a function, or a project based on the need requested by functional head. For example, in case client reported a concern, the senior management team or functional shall request Quality team to conduct an assessment and report the findings.

6.2 Supplier

- Business Unit Head
- Customer Success Manager
- Project Manager
- Functional Head

6.3 Process Entry Criteria

- Requirement from the Functional Group Head, BU Head, Customer Success Manager, Project Manager for conducting an Event Driven assessment

6.4 Input

- a. Information Required
 - i. List of Internal Appraisers
 - ii. PSPD document for the respective projects
 - iii. Internal Assessment Checklists for Functional Groups & Projects
 - iv. Previous cycle's Assessment Plan & Report

- b. BMS Reference
 - i. Policy reference
 - ii. Assessment planning template
 - iii. Plan review checklist
 - iv. Guidelines / SOP

6.5 Tasks

S.No.	Task Description	Responsible
1.	Plan for Event Driven Assessment: Raise a Request for Event Driven Assessment to ensure the conformance to the requirements of Business Management System & Forward the Request to BU Head for Approval (Request for an Event Driven Assessment should be communicated at least before 3 business days)	PM/Group Head
2.	Approve the request for Event Driven Assessment and forward it to QMG	BU Head
3.	Plan the Assessment and update the Monthly Assessment Schedule with <ul style="list-style-type: none"> • The Appraisers, Appraisees, date & time of assessment. • Established process area coverage for the project based on the project's defined PSPD 	QMG
4.	Conduct Assessment: Conduct assessment as per schedule in accordance to assessment scope and using the checklist in SQA	Appraisers

5.	Record the Assessment findings in the Assessment Checklist Record the best practices, Project information as observed.	Appraisers
6.	Share draft assessment findings with the Appraisees for concurrence within the defined SLA	Appraisers
7.	Accept/Reject the findings within the defined SLA	Appraisees
8.	Resolve conflicts between Appraiser/Appraisee/any other Stakeholders	QMG Head
9.	Manage Non-Conformances: Publish the Final Assessment Report with Process Compliance Index (PCI) Scores & the observation in SWOT format	Appraisers
10.	Arrive at root cause of failure and the immediate action under Correction for the Weaknesses & Threats raised within the defined SLA Identify the Corrective Action Plan to ensure that same Weaknesses & Threats does not arise in future in consultation with Appraisees Manager(s) and/or QMG Head. Also Commit the timelines for Closing the action Item & forward the Assessment report to Appraiser & QMG	Appraisees
11.	Monitor the satisfactory closure of assessment findings as per the CAP provided & submit Assessment Findings with closure status.	Appraiser
12.	Obtain an approval from BU Head for any breach of timeline for closure open findings & forward to QMG	Appraisees
13.	Escalate open findings beyond the threshold to BU Head	QMG
14.	Store Assessment findings for Future Reference: Consolidate all the assessment reports and maintain for Assessment analysis report	QMG

6.6 Output

Internal Assessment Report available in SQA Management

6.7 Customer

- Business Unit Head
- Customer Success Manager
- Project Manager

- Functional Group Head
- Management Representative

6.8 Measurement

- Number of Event Driven Assessments Raised Vs Conducted
- Effort spent for Event Driven Assessment Activities
- Maturity level at the time of assessment Vs Current maturity level
- Number of Weaknesses & threats Raised & Closed

6.9 Process Completion Criteria

Assessment Report Completion mail (auto Triggered) to the requestor and to the respective stake holders by the Appraiser/ SQA Management portal .

6.10 Standards/Models Reference

Model / Standard	Process Area reference / ISO Clause(s) no.
ISO 9001:2015	9.2 Internal Assessment
CMMI V1.3- DEV	PPQA GP 2.3
ISO 27001:2013	9.2 – Internal Assessment
ISO 20000-1:2011	4.5.4.2 – Internal Assessment

7.0 Maturity Level Assessment

7.1 ITIL Process Maturity Assessment

7.01 Purpose / Introduction

Process maturity is an indication of how close a developing process is to being complete and capable of continual improvement through qualitative measures and feedback. Thus, for a process to be mature, it must be complete in its usefulness, automated, reliable in information and continuously improving.

The maturity of a process and practices can be defined to be at one of five levels, from Level 0 (the least mature) to level 5 (the most mature). The processes at higher levels also address the features of the lower levels. The ground level is Level 0 where no process exists for the activity.

The maturity level definitions are aligned with COBIT and based on the ITIL maturity model.

Level 0 - Survival

- This is the lowest rung of the ladder, the organization has little to no focus on the IT infrastructure and operations and the IT processes are almost non-existent

Level 1- Awareness

- At this level, the organization is aware of its chaotic state and that something needs to be done. The realization that I/O are critical to business is there but, IT capabilities are unstable and success depends on the effort and knowledge of individual technical "heroes".

Level 2 - Committed

- At this level, IT operations moves to a managed environment and are more processoriented, thus, more repeatable. Success depends on process adherence and ad hoc collaboration. This level is a stable plateau where IT can generally "keep the lights on".

Level 3 -Proactive

- This is the point at which the IT organization is recognised as "mature". It starts to gain efficiencies and service quality through standardization, policy development, governance structures and implementation of proactive, cross departmental processes.

Level 4 – Services Aligned

- At this level, IT is highly efficient internal service provider, and is managed like a business, offering a stable portfolio of optimized services, customer-focussed, proven, competitive and trusted IT Service Provider

Level 5 – Business Partnership

- At this level, IT is a trusted value-chain orchestrator and innovator for the business for increasing the value and competitiveness of business processes, as well as the business as whole

The table below summarizes requirements to arrive at the different maturity levels.

Figure 1: Maturity Level Snapshot

Maturity Level	Person Dependence	Documented Process	Partial Deployment	Full Deployment	Measured & Automated	Continuously Improving
Level 0	Yes	—	—	—	—	—
Level 1	—	Yes	—	—	—	—
Level 2	—	Yes	Yes	—	—	—
Level 3	—	Yes	—	Yes	—	—
Level 4	—	Yes	—	Yes	Yes	—
Level 5	—	Yes	—	Yes	Yes	Yes

From the inception of an organization through its growth, the maturity of its processes usually improves. But this may not be the case for all its business processes. Some may still be at the lower levels. This shows that the organization has not had an all-round maturity of its processes. There also are instances where the maturity level may drop if not monitored or if the documents are not revised, according to changes the business undergoes. Thus, a fully established business can contain processes at different levels.

Below is an illustration of the activities involved in initiating, planning, conducting the maturity assessment for the customer success groups. Also, this explains the steps involved in reporting the identified findings, fixing gaps and verification of the same.



7.0.2 Improving Business Process Maturity

Format for Maturity Level Questionnaire

Sample Questions		Status (Yes/No/NA)
Level 0	<ul style="list-style-type: none"> • Is there a process defined.? • Are people trained for the activities? • Is there consistency in result? • Are the roles and responsibilities defined.? 	
Level 1	<ul style="list-style-type: none"> • Is there management commitment? • Is the activity/practice documented as per the Neurealm standard format? • Are goals defined? • Are people trained for the role and the job? • Are there records of process performance? 	

- Level 2
- Is the customer feedback captured. ?
Does the documented process cover at least one of the intended locations of the business?
> Does the documented process, deploy/practice at least some of the process steps or sub-processes?
 - Is the customer feedback captured and actioned.?
 - Is there any automation?
 - Is the performance consistent?
- Level 3
- Is the process that is documented deployed/practiced fully, including all the process steps?
 - Are there role based trainings ?
Is the process linked to other intended processes or functions?
 - Are the errors recognized and investigated to improve performance and reduce subsequent errors?
 - Can the process be automated? If so, is it automated and enabled by the software tool and documented accordingly?
 - Is customer feedback sought?
- Level 4
- Have goals been set to adhere to Quality, Performance (timelines/SLA, Cost), Compliance and Value?
 - Are there metrics for the measurement of the goal?
 - What % of process is automated?
 - Is the automated process measured and performing on the following aspects – Effectiveness, Efficiency and Economical
 - Is improvement recorded in the CSI register and customer approved.?
- Level 5
- Is the measurement of the customer success goals analyzed and improved upon on a regular basis?
 - Does the KPI / metric have a positive trend? And are there steps being taken on improving the trend?
 - Are all the recommendations implemented and effectiveness is verified?
 - Are best practices defined & documented ?
 - Is the software / systems enabling the process, being upgraded as per user requirements?

To have an all-round improvement of business processes, the Six Sigma DMAIC (Define, Measure, Analyse, Improve, Control) methodology can be used:

Define: It is important to align the applicability of the maturity levels to the organization. Design a questionnaire to map the maturity level of each business process. Below is a suggested format for the questionnaire. Applying the questionnaire to each process will obtain the maturity level for that process.

Measure: A cross-functional team should be assigned to utilize the questionnaire and assessment processes to arrive at each one's maturity level. All the activities and processes performed by the business should be assessed by the team based on the questionnaire. Note, if a process is at a higher level but still does not meet some lower-level maturity criteria, it will still be deemed to be at the lower level (e.g., if a process is automated (Level 4) but is not deployed fully, then it is at Level 2).

Analyse: The measurement of the processes will indicate the current overall level that processes are at and the gaps that exist. This needs to be addressed. Analysis must be conducted, and a plan of action must be made on how to bridge the gap and raise the maturity level of specific processes, thus improving the overall level.

Improve: This is the most important phase in the methodology. The plan of action designed must be put into effect. This could include redefining or redesigning processes, identification of owners, automation, etc.

Control: If processes are not monitored at defined intervals, maturity levels may drop. Thus a control plan must be generated and based on the plan, subsequent assessments of maturity levels of processes must be performed and the processes improved accordingly.

7.1.3 Identifying Business-Critical Processes

To improve all business processes, an organization needs to spend a great deal of money, effort and time. Thus, it is more reasonable for an organization to prioritize business processes and enhance the business maturity gradually. Business-critical processes are the ones that have a stronger impact on the overall Maturity of the organization.

Business-critical processes can be arrived at by the following steps:

1. Analyze the process areas and service function that the organization has an impact on. Generally, it has an impact on quality, timely delivery, compliance (regulatory/statutory/certification), cost and people.
2. Arrive at a rating scale and a weighing scale for the high impact areas.
3. Rate all high impact processes

- 4. Arrived at the total process criticality value by summation of the ratings for the processes.
-

5. Identify cutoff value and sort the processes above the cutoff value.

7.1.4 Supplier

- Business Unit Head
- Customer Success Manager
- Project Manager
- Functional Head
- Quality Head

7.1.5 Process Entry Criteria

- Start of the project launch and once in a quarter maturity level assessment is carried out. Service towers with good performance in terms of SLA , CRISP,CSS can be excluded in the ML assessments for that current quarter.
- Request from the Functional Head or BU Head or Customer Success Manager or Project Manager for conducting a maturity level assessment (first time or re-assessment) Note:
 - o Project with less than 5 team members & staff augmented do not qualify for ML assessment
 - o Service Towers with good performance in terms of KPI, CRISP, CSS for a quarter may be excluded from the ML assessment for that quarter. o Projects that were holistically assessed will be re-assessed only to verify the effectiveness of the implementation of the corrective action.

7.1.6 Input

- a. Information Required
 - i. List of Internal Appraisers
 - ii. PSPD document for the respective projects
 - iii. Control check points for each process area based on ITIL and ISO20000:1:2018
- b. BMS Reference
 - i. Policy reference
 - ii. Assessment planning template
 - iii. Plan review checklist
 - iv. Guidelines / SOP

7.1.7 Tasks

S.No.	Task Description	Responsible
1.	<p>Plan for Maturity Assessment</p> <p>Raise a request for Maturity level assessment to Head of Quality or SPOC who is responsible for Assessments & Assessment. (Request for an assessment should be communicated at least one week in advance)</p> <p>Note: Service towers with good performance in terms of KPI , CRISP,CSS may be excluded in the ML assessments for that current quarter.</p>	PM/Group Head
2.	Approve the request for Maturity level assessment	Head of QMG
3.	<p>Plan for the Maturity level Assessment and update the Yearly/monthly assessment with</p> <ul style="list-style-type: none"> • The appraiser, appraisee, date & time of assessment. • Established process area coverage for the project based on the project's defined PSPD • For the monthly assessment plan, refer to the yearly planner 	Lead – Quality
4.	<p>Conduct Maturity Level Assessment</p> <p>Conduct Assessment as per schedule in accordance to scope</p>	Appraiser
5.	<p>Record the Assessment findings</p> <p>Record the best practices, strengths & weaknesses, threats, and opportunities.</p> <p>Weakness & Threats are mapped to the Non-Conformance categories, Minor & major respectively.</p> <p>Opportunities are OFI</p>	Appraiser
6.	Share draft assessment findings with the Appraisee for concurrence within the defined SLA	Appraiser
7.	Accept/Reject the findings within the defined SLA	Appraisee
8.	Resolve conflicts between appraiser/appraisee/any other Stakeholders	QMG Head
9.	<p>Manage Gaps</p> <p>Publish the Final assessment Report with Maturity level and Scores</p>	Appraiser

10.	<p>Arrive at root cause of failure and the immediate action under fixing the gap identified within the defined SLA</p> <p>Identify the corrective action plan to ensure that same gap does not arise in future in consultation with appraiser’s Manager(s) and/or QMG Head.</p> <p>Identify the corrective action plan to avoid the occurrence (fail safe) of the identified gap through self-initiated actions and analysis related with processes.</p> <p>Also commit the timelines for Closing the gaps & forward the assessment report to appraiser & QMG</p>	Appraisee
11.	Monitor the satisfactory closure of the findings Update Findings report with closure status.	Appraiser
12.	Obtain an approval from BU Head for any breach of timeline for closure of the improvement plans and forward to QMG	Appraisee
13.	Escalate open findings beyond the threshold to BU Head	QMG
14.	Store ML Assessment findings for Future Reference: Consolidate all the assessment reports and maintain for analysis to improve the assessment process	QMG

7.18 Output & Reporting

- Assessment observations will be reported in the form of SWOT- Strength, Weakness, Opportunities & Threats. Weakness & Threats are mapped equally to the nonconformance categories – Minor & Major, respectively. Opportunities – OFI
- Maturity Level Assessment Report with the impact of the gap in the process

Current maturity level of a service tower for an account in terms of each process area will be reported as:

Service Tower – (ExService Desk)	Total Practices	Current Maturity Level					
		At Level 0	At Level 1	At Level 2	At Level 3	At Level 4	At Level 5
Event management	4	0	0	2	0	1	1
Incident Management	7	0	0	2	2	3	
Service Request	12	0	1	5	5	0	1
Problem Management	6	0	1	2	1	2	
% of practices in level							

7.1.9 Customer

- Business Unit Head
- Customer Success Manager
- Project Manager
- Functional Group Head
- Management Representative

7.1.10 Measurement

- Process performance in terms of EEE (Effective, efficient, Economical)
- % of processes in the maturity levels – Top performing services towers, processes by accounts / projects
- Maturity level at the time of assessment Vs Current maturity level
- Number of weaknesses, threats - Raised & Closed.

7.1.11 Assessment Completion Criteria

Assessment Report Completion mail (auto Triggered) to the requestor and to the respective stake holders by the Appraiser/ SQA Management portal .

7.1.12 Ongoing support

To sustain and to improve, periodic assessments will be carried out.

7.1.13 Standards/Models Reference

- o ITIL V4 best practices & ITIL Maturity Assessment Model
- o ISO20000:1:2018 requirements
- o Contractual requirements

7.2 Agile Maturity Assessment

7.2.1 Purpose / Introduction

- Process maturity is an indication of how close a developing process is to being complete and capable of continual improvement through qualitative measures and feedback. Thus, for a process to be mature, it must be complete in its usefulness, automated, reliable in information and continuously improving.

- The maturity of a process and practices can be defined to be at one of five levels, from

- Level 0 (the least mature) to level 4 (the most mature). The processes at higher levels also address the features of the lower levels. The ground level is Level 0 refers to impeded.
- Agile maturity assessment model can be used to set transformation goals, monitor progress, and get the team in cohesion regarding agile development. This includes: Agile Coaches, team members, managers, and senior leadership. This tool can also be used many other creative ways, such as to focus retrospectives and to help people at all levels do a self-assessment of their own understanding of agile practices. This encourages self-paced learning and allows people the opportunity to learn from others that may have more agile experience.
 - The purpose of this assessment is to assess the agility health of organization's teams.
- Areas covered in the assessment. Agile process mechanics
 Agile engineering practices
 Product delivery rigor
 Team environment Team dynamics
- Gap assessment would highlight the current maturity level.
- AEO/QMG provide guided support in achieving the target maturity level.
- The table below summarizes requirements to arrive at the different maturity levels

Maturity Level	Impeded	In Transition	Sustainable	Agile	Ideal
Level 0	Yes	—	—	—	—
Level 1	—	Yes	—	—	—
Level 2	—	Yes	Yes	—	—
Level 3	—	Yes	Yes	Yes	—
Level 4	—	Yes	Yes	Yes	Yes

From the inception of an organization through its growth, the maturity of its processes usually improves. But this may not be the case for all its business processes. Some may still be at the lower levels. This shows that the organization has not had an all-round maturity of its processes. There also are instances where the maturity level may drop if not monitored or if the documents are not revised, according to changes the business undergoes. Thus, a fully established business can contain processes at different levels.



Supplier

- AEO
- Business Unit Head
- Customer Success Manager
- Project Manager
- Functional Head
- Quality Head

7.2.2 Process Entry Criteria

- Start of the project launch and once in a quarter maturity level assessment is carried out
- Request from the Functional Head or BU Head or Customer Success Manager or Project Manager for conducting a maturity level assessment (first time or re-assessment)

Note:

- o Project with less than 5 team members & staff augmented do not qualify for ML assessment
- o Projects with good performance in terms of KPI, CRISP, CSS for a quarter may be excluded from the ML assessment for that quarter.
- o Projects that were holistically assessed will be re-assessed only to verify the effectiveness of the implementation of the corrective action.

7.2.3 Input

- c. Information Required
 - i. List of Internal Appraisers
 - ii. PSPD document for the respective projects and Product Process document
 - iii. Control check points for each process area based on Agile Maturity assessment checklist.
- d. BMS Reference
- e. Policy reference
 - ii. Assessment planning template
 - iii. Plan review checklist iv. Guidelines / SOP

7.2.4 Tasks

S.No.	Task Description	Responsible
15.	Plan for Maturity Assessment Raise a request for Maturity level assessment to Head of Quality or SPOC who is responsible for Assessments & Assessment (Request for an assessment should be communicated at least one week in advance)	PM/Group Head/ AEO
16.	Approve the request for Maturity level assessment	Head of QMG
17.	Plan for the Maturity level Assessment and update the Yearly/monthly assessment with <ul style="list-style-type: none"> • The appraiser, appraisee, date & time of assessment. • Established process area coverage for the project based on the project's defined PSPD • For the monthly assessment plan, refer to the yearly planner 	Lead – Quality / QMG / AEO

18.	Conduct Maturity Level Assessment Conduct Assessment as per schedule in accordance to scope	Appraiser
19.	Record the Assessment findings Record the best practices, strengths & weaknesses, threats and opportunities	Appraiser
20.	Share draft assessment findings with the Appraisee for concurrence within the defined SLA	Appraiser
21.	Accept/Reject the findings within the defined SLA	Appraisee
22.	Resolve conflicts between appraiser/appraisee/any other Stakeholders	QMG Head
23.	Manage Gaps Publish the Final assessment Report with Maturity level and Scores	Appraiser
24.	Arrive at root cause of failure and the immediate action under fixing the gap identified within the defined SLA Identify the corrective action plan to ensure that same gap does not arise in future in consultation with appraisee's Manager(s) and/or QMG Head. Identify the corrective action plan to avoid the occurrence (fail safe) of the identified gap through self-initiated actions and analysis related with processes. Also commit the timelines for Closing the gaps & forward the assessment report to appraiser & QMG	Appraisee
25.	Monitor the satisfactory closure of the findings Update Findings report with closure status.	Appraiser
26.	Obtain an approval from BU Head for any breach of timeline for closure of the improvement plans and forward to QMG	Appraisee
27.	Escalate open findings beyond the threshold to BU Head	QMG
28.	Store ML Assessment findings for Future Reference: Consolidate all the assessment reports and maintain for analysis to improve the assessment process	QMG

7.2.5 Output & Reporting

Maturity Level Assessment Report with the impact of the gap in the process

Area	Current Maturity Level					Target Maturity Level			
	At Level 0	At Level 1	At Level 2	At Level 3	At Level 4	To Level 2	To Level 3	To Level 4	NA
Team Dynamics									
Team Environment									
Product Delivery Rigor									
Agile Process Mechanics									
Agile Engineering Practices									

7.2.6 Customer

- Business Unit Head
- Customer Success Manager
- Project Manager
- Functional Group Head
- Management Representative

7.2.7 Measurement

- Maturity level at the time of assessment (Current maturity level) vs Target maturity level
- Overall Maturity level across the areas
- Number of recommendations and action plan provided with timelines.

7.2.8 Assessment Completion Criteria

Assessment Report Completion mail (auto Triggered) to the requestor and to the respective stake holders by the Appraiser/ SQA Management portal .



About Neurealm

Neurealm is the right-sized partner for Engineering, Modernization, and RunOps, blending human intelligence with the latest technologies to help businesses across industries such as Healthcare, Technology, and others, make smart progress.

With offerings in Digital Platform Engineering, Data, AI, Cybersecurity, and Technology Operations, and delivery centers in India and the US, we empower 250+ global enterprises. Driven by an engineering mindset and powered by Neurealm Labs—our innovation engine—we transform ideas into real-world impact through new-age offerings, cutting-edge solutions, frameworks, and accelerators. Our strong technology alliances and academic partnerships further power the future-ready ecosystems we build for our clients.