ITMark Technology Transfer Guide

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1. INTRODUCTION

This document serves as a guide to describe the Technology Transfer process for IT Mark, by virtue of which authorised ITMark candidates may become authorised ITMark Appraisers.

The goals of this document include:

- Define pre-requisites to apply to Candidate ITMark appraiser.

- Specify activities and steps for ITMark technology transfer to candidate ITMark Appraisers.

- This guide is only referred to ITMark Basic. Considerations for ITMark Premium and ITMark Elite are excluded from the scope of this document.

1.1 General Principles

Fundación Tecnalia Research & Innovation, (hereafter TECNALIA) is a private, applied research centre of international excellence whose aim is to have an impact on local industry, and to become a centre that attracts people and organisations.

European Software Institute, hereafter ESI, is the ICT Division of TECNALIA and has a series of products and services designed to help IT sector become more competitive, through the implementation of international best practices in quality and productivity methods and techniques.

All legal agreements will therefore be signed by TECNALIA, and the commercial brand that supports ITMark is the European Software Institute (ESI) brand. Therefore, in operational documents, ESI and TECNALIA can be used as synonyms.

The ITMark Licensee is responsible for all the costs related to the authorisation process of its candidates.

All ITMark appraisals necessary for the capacity building process and observation will be sold by the ITMark Licensee and subcontracted to TECNALIA. In the case of ESICenter sponsored Licensees, appraisals necessary for the capacity building process will be sold by the Licensee and subcontracted to the ESICenter, and the appraisal necessary for the observation will be sold by the licensee and subcontracted to TECNALIA.

	Participation appraisals		Observation	
	sold by	Subcontrated to	Sold by	Subcontrated to
ITMark Licensee	ITMark Licensee	TECNALIA	ITMark Licensee	TECNALIA
ESICenter Sponsored Licensee	ESICenter Sponsored Licensee	ESICenter	ESICenter Sponsored Licensee	TECNALIA

1.2 Definitions

ITMark: a certification for IT SMEs that evaluates the maturity of software development, information security and business processes.

ITMark model: set of practices and ratings that have been establish by TECNALIA in order to define and improve the competitiveness of an IT SME.

ITMark Licensee: organisation that has signed an ITMark licence agreement with TECNALIA in order to carry out ITMark evaluations.

ITMark Appraiser: the person formally appointed by the Licensee and authorised by TECNALIA who carries out the official ITMark evaluation, responsible for carrying out the appraisal according to the procedures in the ITMark Method.

Candidate ITMark Appraiser: the person formally appointed by the Licensee and who is not yet fully authorised to carry out an ITMark appraisal.

ITMark Product Manager: Person responsible for ITMark at TECNALIA, who can answer all technical or procedural doubts for ITMark Appraisers. Email: itmarkappraisal@tecnalia.com

2. CANDIDATE SELECTION

2.1 Pre-requisites

All candidate ITMark Appraisers must be sponsored by an ITMark Licensee. In addition, the candidate ITMark appraisers are required to present proof of the following pre-requisites:

General Experience

- Experience in IT projects

- Experience in private sector consulting (recommended)

- Good written and oral presentation skills

- Fluent written and oral English

- Experience in training courses, seminars or workshops

CMMI Requirements

- Introduction to CMMI Course

- Intermediate concepts of CMMI Course (optional/recommended)

- Managing SPI Course (optional/recommended).

ISO 20.000 Requirements

- Introduction to ISO.2000 Course or similar

- CMMI for Services Supplement (recommended)

- ITIL Courses (recommended)

ISMS Requirements

- Introduction to ISMS Course (optional/recommended)

- Consulting or practical experience in Information Security Management Systems

Business Requirements

- MBA, Business Administration Programmes or similar education (optional/recommended)

- Consulting experience in business management/investment banking or general management experience

2.2 Selection Process

STEP 1: The Licensee will present the candidate's application by sending the following documents to the ITMark Product Manager:

- The candidate's CV including all the above requirements

- As much documentary as is available to prove the above requirements

- A sponsorship letter signed by the Licensee to prove sponsorship by Licensee organisation, following Annex 1 of this document.

STEP 2: TECNALIA will analyse the candidate's qualifications and experience and will communicate, within a delay of 2 weeks, one of the following alternatives:

- The applicant is accepted as Candidate ITMark Appraiser

- The applicant does not fulfil enough of the above listed pre-requisites, but will be accepted, if the applicant fulfils a series of minor additional criteria actions defined by TECNALIA.

- The applicant is refused as Candidate ITMark Appraiser, for the reasons described in the communication from TECNALIA.

From this moment on, the candidate ITMark Appraiser may participate in ITMark appraisals. If the candidate is sponsored by an ESICenter sponsored Licensee, the candidate must participate in ITMark appraisals led by the ESICenter. If the candidate is sponsored by a Licensee not affiliated to any ESICenter, the candidate will participate in ITMark appraisals led by ESI.

3. CANDIDATE CAPACITY BUILDING

Candidates may only participate in ITMark appraisals once their CV has been officially approved by TECNALIA.

The capacity building process consists of two activities: training, participation in ITMark appraisals.

3.1 ITMark Appraiser Training

This is a three-day seminar, which consists of two parts:

- gives a top-level view of Business Processes, Information Security and Software Process Improvement, and

- a practical overview of ITMark Method, including the use of tools and templates.

The first part includes an overview of the main topics that are covered by the ITMark appraisal:

a. Business Processes, Information Security and Software Process Improvement

Business Processes

- MARKET

- MANAGEMENT

- PRODUCT AND SERVICES

- MARKETING, SALES AND DISTRIBUTION

- STRATEGIC ISSUES AND BOARD

- FINANTIAL ANALYSIS

- CUSTOMER PROFILE AND ANALYSIS

- INVESTMENT FACTORS

- DEVELOPMENT AND PRODUCTION

- PEOPLE AND SOCIETY

Software Process Improvement

- REQUIREMENTS MANAGEMENT

- PROJECT PLANNING

- PROJECT MONITORING AND CONTROL

- SUPPLIER AGREEMENT MANAGEMENT

- MEASUREMENT AND ANALYSIS

- PROCESS AND PRODUCT QUALITY ASSURANCE

- CONFIGURATION MANAGER

Information Security

- CLASSIFICATION OF INFORMATION

- PHYSICAL SECURITY & HUMAN RESOURCES

- ACCESS CONTROL

- SECURE COMMUNICATIONS

- POLICY & ORGANISATION OF SECURITY

- LEGAL COMPLIANCE

<u>Service Management</u>

- ISO 20.000 Requirements

b. ITMark Method

This activity includes training on the ITMark methodology, including a simulation of an appraisal. The objective of this activity is that candidates are prepared to gradually assume responsibility for leading the appraisals of the technology transfer. This activity includes a workshop for the preparation and execution of one appraisal. This preparation includes:

a) identification of appraisal scope,

b) identification of appraisal participants,

c) definition of working agenda

3.2 Participation in ITMark Appraisals as Team Member

An ITMark Appraisal includes the following tasks:

- *Deliver an ITMark Overview seminar*, which presents the phases and expectations of an ITMark appraisal.

- *Conduct self-appraisal workshop*; interviews with senior management and practitioners are planned. The sessions are devoted to determining the rating for each element of the three main topics (Business, Information Security, Software Process Improvement). The facilitator opens the sessions presenting the scope, objective and goals of the self-appraisal. The participants discuss the elements presented for appraisal, as well as the issues that need to be resolved.

- *Consolidate findings and generate ratings;* appraisal team reviews the consistency and completeness of the findings and ratings for each business area.

- *Prepare and present final findings;* appraisal team prepares and presents a presentation that portrays the principal findings of the appraisal.

- *Improvement actions development;* develop a set of improvement recommendations based on the appraisal findings.

The authorised ITMark appraiser will lead the appraisals. The Candidate ITMark appraiser will participate in all the phases of the appraisal, as instructed by the authorised ITMark appraiser, and will apply him or herself to learn the process to the best of his or her ability.

A maximum of two candidates ITMark appraiser may participate in one appraisal, and all appraisers, including candidate appraisers, will be included in the ITMark reporting documents.

A feedback and discussion session will be planned between authorised appraiser and the candidate(s) at the end of the appraisal. The purpose of this session is to discuss lessons learned from the appraisal.

4.   OBSERVATION PROCESS

All candidates must be observed by an authorised ITMark Observer. Each observation process is individual for one candidate and only one ITMark Appraiser candidate may be observed per appraisal.

The steps required in order to organise an ITMark observation are as follows:

4.1   Observation Preparation

STEP 1: Licensee informs ITMark Product Manager that the candidate has fulfilled the capacity building phase and informs TECNALIA of the ITMark appraisal sold, including company information, and requests a date for the delivery of the service which will serve as an observation.

STEP 2: Within one month, TECNALIA will assign an observation date, and authorised observer.

STEP 3: The authorised observer will contact the candidate, who will start to prepare the appraisal. This activity includes the preparation of the appraisal to be performed, and in which the candidate ITMark appraiser will act as appraisal leader. This preparation includes:

- identification of appraisal scope

- identification of appraisal participants

- definition of working agenda

4.2   Conduct ITMark Appraisal with observation

The Candidate ITMark appraiser will conduct and ITMark appraisal, carrying out all the required tasks as described in the ITMark Method.

The observer will be present during all the appraisal activities, but will not participate in the appraisal, nor will he / she assist the candidate in the appraisal or give feedback during the service.

4.3   Reporting & Authorisation

STEP 1: The authorised ITMark observer will prepare a report summarising candidate's performance. The report will include an evaluation of each Candidate based on:

- Strengths

- Improvement opportunities

- Statement about the candidate's capability to deliver appraisals using the ITMark methodology. Should the observer judge the candidate needs to carry out some corrective actions, this will be included in the report.

STEP 2: TECNALIA will evaluate the observer's report and take a final decision regarding the candidate's authorisation. TECNALIA will send the Licensee and the candidate ITMark Appraiser the report prepared by the observer and inform them that either:

- The applicant is accepted as ITMark Appraiser, and should sign the Code of Conduct and return it to ESI.

- The candidate does not fulfil the requirements and should carry out the corrective actions described in the observation report.

STEP 3: Candidate ITMark Appraiser signs ITMark Code of Conduct and returns it signed to TECNALIA.

STEP 4: TECNALIA will ensure all steps of the process have been paid by the Licensee. TECNALIA will then issue a certificate, send it to the Licensee, and include the ITMark appraiser in the official ITMark databases and lists.

 STEP 5: The new authorised ITMark appraiser will carry out ITMark appraisals following the procedures in the ITMark method, and TECNALIA will invoice the Licensee all related royalties.

5. MAINTAINING AUTHORISATION

Approved ITMark Appraisers will have to carry out a minimum of 2 Appraisals every year in order to maintain their qualification. Re-qualification will be done no more than three years after certification, according to the ESI tailored requirements for ITMark Appraisers. During these three years, ESI will carry out Quality Assurance activities in any appraisal at random or with a specific interest.

TECNALIA strongly recommends that authorised ITMark Appraisers continue to improve their skills related to ITMark by means such as:

- attendance to relevant events around CMMI implementation, e.g. SEPG conferences or other SPI related conferences organised annually in their region

- attendance to technical workshops focused on the implementation of the CMMI process areas (configuration management, requirements management, quality assurance, information security, business process consulting etc.)