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Business process outsourcing and offshoring operations

Part 1: outbound contact centre operations

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Requests for permission to reproduce this document should be addressed to:

Rwanda Standards Board

P.O Box 7099 Kigali-Rwanda

KK 15 Rd, 49

Tel. +250 788303492

Toll Free: 3250

E-mail: info@rsb.gov.rw

Website: www.rsb.gov.rw

ePortal: www.portal.rsb.gov.rw

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Foreword

Rwanda Standards are prepared by Technical Committees and approved by Rwanda Standards Board (RSB) Board of Directors in accordance with the procedures of RSB, in compliance with Annex 3 of the WTO/TBT agreement on the preparation, adoption and application of standards.

The main task of technical committees is to prepare national standards. Final Draft Rwanda Standards adopted by Technical committees are ratified by members of RSB Board of Directors for publication and gazettment as Rwanda Standards.

RS 208-1 was prepared by Technical Committee RSB/TC014, Quality Management and Quality Assurance.

In the preparation of this standard, reference was made to the following standard:

- 1) SANS 990-1: 2008 Business outsourcing and off-shoring. Part 1 Outbound contact centre

The assistance derived from the above source is hereby acknowledged with thanks.

This second edition cancels and replaces the first edition (RS 208-1: 2014), [clause(s) / subclause(s) / table(s) / figure(s) / annex(es)] of which [has / have] been technically revised.

DRS 208 consists of the following part, under the general title *Business process outsourcing and offshoring operations*:

— *Part 1: Outbond contact center operations*

Committee membership

The following organizations were represented on the Technical Committee on *Quality Management and quality Assurance* (RSB/TC 014) in the preparation of this standard.

Paragraph of participants

The list of participants is written in full letters and in lower cases except letters composing the abbreviation of the organisation if it is applicable. The abbreviation of the organisation is written in brackets in front of its full name. Every organisation is written on its own line but does not bear any numbering bullet. At the end of the list there is:

Rwanda Standards Board (RSB) – Secretariat

Introduction

Effective quality management strikes a balance between the positive experience of the customer who receives a service and the business risk of the service provider who delivers the service, which will ensure benefit to both parties.

Management practices have been divided into four categories in this standard, namely:

- a) leadership and customer service management practices;
- b) human resource management practices;
- c) operations management practices; and
- d) technical resource management practices.

This standard focuses as much on the **service delivery** dimension of quality management as on the existence and intended function of the **underlying processes** on which such delivery is based.

NOTE This standard is intended to complement general legislative requirements, as well as those legislative and industry body requirements relevant to any specific industry sector or “vertical sector”.

Business process outsourcing and off-shoring operations — Part 1: Outbound contact centre operations

1 Scope

1.1 This standard specifies generic requirements for quality operational practices in the business process outsourcing and offshoring sector (the “BPO&O sector”), including captive operations relating to outbound contact centre operations, in any sector of industry, regardless of type and size, where any such operation:

- a) needs to demonstrate the ability to provide clients and customers with products or services (or both) of consistent quality that continuously and proactively satisfy clients and customers;
- b) needs to demonstrate that it complies with applicable legal and regulatory requirements; and
- c) strives continuously to enhance client (for outsourced services), organizational (for captive services) and customer satisfaction through the effective application of this standard and the continual improvement of operational practices.

1.2 This standard specifies when systems’ performance metrics are required.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 27002, *Information technology – Security techniques – Code of practice for information security management*.

3 Terms and definitions

For the purposes of this standard, the following terms and definitions apply.

3.1

abandonment rate

metric used to indicate caller waiting tolerance, determined by reference to the total number of calls answered by the automatic call distributor, put into a queue and ended by the caller, before an agent has dealt with the call

3.2

absenteeism

metric used to track agents and team leaders who are not present in the workplace when they are scheduled to be there

NOTE In this sense, operational absenteeism depends on adherence to shifts and schedules and does not relate to a traditional human resources definition of the term that is based on sick, paid, or unpaid leave.

3.3

after-call work

wrap-up time

completion by an agent of data capture, sending of e-mails or faxes (or both) and other activity, directly related to a call, that is undertaken after the call has ended, such that the agent is unable to make or take a new call

NOTE It is deemed to be part of average handling time.

3.4

Agent

3.4.1

processing agent

<back-office processing operation> staff member who handles one or more aspects of the operation's customer-related processes and who does not work in direct contact, or has direct interaction and interface, with customers

3.4.2

customer service representative

customer service professional

<inbound and outbound contact centre operation> staff member who works in direct contact, and has direct interaction and interface, with customers

3.5

attrition

turnover rate of staff members by staff category

NOTE 1 The turnover rate of staff members is expressed as a percentage of the total number of staff members within a specified time.

NOTE 2 The turnover rate includes staff members who have left the operation's employ for whatever reason, either voluntarily or involuntarily.

3.6

automatic call distributor ACD

system that distributes incoming calls to a specific group of terminals in an inbound contact centre operation

3.7

auxiliary state

time during which an agent is withdrawn from the automatic call distributor

NOTE Authorized auxiliary states are times where the agent is, for example, attending staff meetings, training sessions, or coaching sessions.

3.8

available time

time during any shift during which an agent is logged in to the automatic call distributor, but is neither in contact with a customer nor involved in any after-call work and is therefore available and waiting to handle a new call

NOTE When expressed as a percentage of the total login time, the available time provides an indication of the efficiency of any schedule.

3.9

average handling time

3.9.1

back-office processing operation

average amount of time that an agent actually spends to complete any given transaction

3.9.2

inbound and outbound contact centre operation

average amount of time that an agent actually spends on a call-related activity

3.10

Backlog

3.10.1

back-office processing operation

total number of cycles by which completion of any process is late, in relation to any transaction

3.10.2

inbound and outbound contact centre operation

total number of cycles by which completion of any process is late, in relation to any electronic customer interaction

3.11

back-office processing

transacting of any business processes for a client and that does not require direct contact with customers

NOTE 1 The business processes include business on a captive or outsourced basis.

NOTE 2 The transacting includes, but is not limited to, data capture, procurement, purchase orders, payroll issues, claims, accounts management, management reporting and website maintenance.

3.12

business continuity

maintenance of an operation's service delivery, notwithstanding any threat to, or compromise of, its ability to deliver a service

3.13

business process outsourcing and offshoring

BPO&O

outsourced and captive operations that cover a wide range of services cf. **offshoring** (3.52), **outsourcing** (3.62)

NOTE These services include the following:

- a) general back-office work (for example, data input, document management and transaction processing);
- b) corporate services (for example, finance and accounting, and IT services);
- c) customer contact (for example, inbound and outbound calls, e-mails, faxes, billing and technical support);and
- d) specialized services (for example, services in the areas of banking, insurance, healthcare and telecommunications).

3.14**business unit**

entity responsible for defined customer interactions, and transactions or business processes (or both) on behalf of the parts of an organization that are not wholly vertically integrated with the rest of such organization

NOTE A shared service centre is an example of a part of an organization that is not wholly vertically integrated.

3.15**caller waiting tolerance**

amount of time that a caller is prepared to wait in an inbound queue before dropping the call

3.16**campaign**

custom-designed initiative that targets prospective or existing customers (or both) for desired outcomes

3.17**Capacity**

3.17.1

back-office processing operation

total number of agents, team leaders and supervisors who are available to be in the back-office transaction centre at any given time to meet targets

3.17.2

inbound and outbound contact centre operation

total number of agents, team leaders and supervisors who are available to be on the floor at any given time to meet targets

3.18**capacity forecasting**

3.18.1

back-office processing operation

practice of predicting how many agents are required to meet output targets over any specified period

3.18.2

inbound contact centre operation

practice of predicting how many agents are required daily to meet service level targets at set intervals

3.19.3

outbound contact centre operation

practice of predicting how many agents are required to meet output targets over any given specified period

3.20

capacity planning

3.20.1

back-office processing operation

planning of the total number of agents, team leaders and supervisors required to be in the back-office transaction centre at any given time to meet targets

3.20.2

inbound and outbound contact centre operation

planning of the total number of agents, team leaders and supervisors required to be on the floor at any given time to meet targets

3.21

captive service

clearly identifiable and standalone business unit that is owned and run by an organization that retains control over the functions of the business unit cf. **business unit** (3.17)

3.22

client

organization that procures the services of an outsourced operation cf. **customer** (3.34)

3.23

competency

ability to do work efficiently

3.24**contact centre**

central point from which an organization's contacts with customers are managed, and that comprises one or more telephone call centres, collection centres, telemarketing centres and response centres that handle a variety of customer contacts and interactions through inbound and outbound telephone calls, faxes, postal mails, e-mails, web-based and other electronic communications

3.25**contact-centre manager**

staff member who usually translates organizational plans into contact centre functional plans, co-ordinates and allocates resources, and optimizes the functional system to achieve operational effectiveness and to ensure that best operational practices are implemented

NOTE Staff on this level is typically on the remuneration grading levels of Paterson levels D1 to D4, Peromnes levels 7 to 5, and Hay levels 371 to 734.

3.26**critical error**

incorrect action that could, or does, result in the loss of a customer or revenue (or both) to the operation

3.27**critical service**

service that is provided for customers to address emergency situations, that typically operates on a 24-h basis, and that is usually determined by the operation in a service level agreement with each client

NOTE Examples of critical services include (but are not limited to) emergency medical assistance, assistance in fire and utility emergencies, and assistance in incidences of fraud, theft, violence, car breakdowns and loss of property.

3.28**customer**

end user of products or services (or both) who is directly serviced by the operation cf. **client** (3.28)

3.29**customer-related process**

<outbound contact centre operation> any series of actions of the operation that directly relates to the provision of the services for which the operation is retained by a client

NOTE These processes include all aspects of customer-interaction processes and escalation processes.

3.30

customer-relationship management

CRM

collective means by which an operation manages relationships with its customers in an organized way

NOTE This type of management includes methodologies, software, internet capabilities and personal interactions.

3.31

cycle

3.31.1

back-office processing operation

set of actions needed for transaction processing to take place successfully

3.31.2

inbound and outbound contact centre operation

set of actions needed for any customer interaction to be completed or any customer query to be resolved (or both)

3.32

cycle time

stipulated period within which a cycle is completed cf. **cycle** (3.37, 3.38)

3.33

data cleanliness

degree to which data held by the operation is accurate, thereby facilitating speedy access to prospective or existing customers (or both)

3.34

data integrity

condition of existing data that are relevant to the purposes for which the data are intended, accurate reflective of the situation or circumstances the data are intended to illustrate, and prepared on an objective, unbiased basis

NOTE Performance measurement is an example of one of the purposes of data integrity.

3.35

disaster

event such that the operation's ongoing ability to function effectively is severely compromised

3.36

disaster recovery plan

formally documented plan that addresses the ability of the operation to resume operations after a disaster

3.37

escalation

process whereby a customer enquiry is referred to an appropriate point in the operation for resolution, involving a team leader, supervisor or manager or a different department altogether to the operation

3.38

holding time

time during which a telephone caller is actively placed on hold by an agent

3.39

inbound

initiated by a customer with the operation

3.40

list backlog

total number of customers on a list not contacted by the operation within any given cycle time cf. cycle time (3.39)

3.41

login time

time during which an agent is logged in to the automatic call distributor

3.42

management information system

MIS

system specifically used by the operation to gather and report data on its performance in accordance with predetermined metrics

3.43

non-critical error

incorrect action that does not threaten to result in the loss of a customer or revenue (or both) to the operation

3.44

occupancy

time actively spent dealing with a customer interaction

3.45

offshoring

process of conducting outsourced work for international organizations to international markets by an offshore organization

3.46

on-time

3.46.1

back-office processing operation

metric used to determine the total number of electronic transactions by type completed within any given cycle time cf. cycle time (3.39)

3.46.2

inbound and outbound contact centre operation

metric used to determine the total number of electronic customer interactions completed by type within any given cycle time cf. cycle **time** (3.39)

NOTE 1 On-time is expressed as a percentage of the total number of electronic customer interactions by type received within a cycle time.

NOTE 2 Customer interactions and electronic transactions not completed during such cycle time form part of the backlog calculation.

3.47

operation

inbound or outbound contact centre or back-office process that adheres to this standard

3.48

outbound

initiated by the operation with a customer

3.49

output

3.49.1

back-office processing operation

transactions that are successfully completed during any specified period

3.49.2

inbound contact centre operation

calls that are answered and e-mails and faxes that are handled successfully

3.49.3

outbound contact centre operation

customer interactions that are completed successfully

3.50

output productive time

period during any given day during which yield is highest by reference to the customers targeted and the type of product/service offered

3.51

outsourced operation

third party service provider retained by an organization to perform business functions on the organization's behalf

3.52

outsourcing

obtaining a third party to fulfill specific business functions on behalf of a company in exchange for payment cf. BPO&O (3.16)

3.53

process

series of related actions designed such that, when adequately completed in sequence, a desired outcome using the available resources in an optimal way is reached

3.54

productivity

metric used to determine the time actually spent by an agent to generate output

NOTE Productivity is expressed as a percentage of the total amount of time during which an agent is in a position to generate output.

3.55

quality

degree to which a set of inherent characteristics fulfils requirements

3.56

quality assessment

3.56.1

back-office processing operation

transaction processing in accordance with predetermined criteria in order to assess the operation's success in meeting customer expectations and requirements and in managing its own business risk

3.56.2

inbound and outbound contact centre operation

random sampling of customer interactions in accordance with predetermined criteria in order to assess the operation's success in meeting customer expectations and requirements and in managing its own business risk

3.57

queue

collective body of calls waiting in line to be answered by an agent

3.58

response ratio

total number of successes

NOTE The response ratio is expressed as a percentage of the total number of attempts required to achieve such successes.

3.59

root-cause analysis

process of determining the reason for failure

3.60

satisfaction survey

appraisal conducted to determine the levels of satisfaction expressed by the target audience in relation to its interactions with the operation

NOTE The target audience includes clients, customers and staff.

3.61

schedule

roster that indicates where each staff member will be at any given time on any given day

3.62

scheduled break

predetermined period in any given shift during which an agent need not be at his/her workstation

3.63

seat

physical workstation available to the operation from which to interact directly with customers

NOTE The number of seats is not an indication of the capacity of an operation as the same workstation can be used by multiple resources during a 24-h cycle.

3.64

sensitive information

facts about customers and clients that require special protection from disclosure

NOTE Sensitive customer information includes the identity number, passport number, bank account numbers, credit card details, home address, telephone numbers and personal financial information. Sensitive client information includes proprietary databases, operational plans, financial information and records, marketing plans and contracts.

3.65

service level

metric used to indicate the speed at which a call or the total number of calls is answered within any given period

3.66

service level agreement

contract for the provision of services by one party (the supplier) to another (the client), and that details the performance between the agreed-upon metrics and targets

3.67

service recovery process

series of actions that is designed to ensure that the operation maintains or regains the confidence of a customer by addressing and resolving any perceived problem that might have arisen or perceived failure that might have occurred

NOTE Problems that are dealt with in a service recovery process include failure to deliver a product/service and failure to make a call.

3.68

supervisor

individual who is responsible for overseeing the activities of a specific number of teams in larger operations and usually only one team in smaller operations cf. team leader (3.82)

NOTE 1 In smaller operations the term "supervisor" is often used interchangeably with the term "team leader".

NOTE 2 Staff on this level are typically on the remuneration grading levels of Paterson levels C1 - C3, Peromnes levels 11 - 9, and Hay levels 192 - 313.

3.69

system availability

percentage of time that a system is scheduled to be fully operational

3.70

talk time

amount of time an agent actually spends engaged in direct vocal communication with a customer

NOTE Talk time excludes holding time.

3.71**team leader**

individual who has line management responsibility for overseeing the activities of a specific team

NOTE Staff on this level are typically on the remuneration grading levels of Paterson levels C3 - C5, Peromnes levels 9 - 8, and Hay levels 269 - 370.

3.72**training approach**

style that addresses the method(s) of training, the manner, timing and frequency of each type of training of the operation, and the roles and responsibilities of the operation's training staff

NOTE The training approach includes the duration of, and topics covered by, each specific training course that the operation provides.

3.73**transaction**

end-to-end business process undertaken by the operation on behalf of a client in a back-office processing operation

3.74**transaction processing**

executing the sequential steps required to complete the execution of any business process transaction undertaken by the operation on behalf of a client in a back-office processing operation

EXAMPLES Processing of procurement orders, updating of databases, escalation, payment processing, distribution of documentation and invoicing.

3.75**utilization**

amount of time actually spent by an agent on work relating to the operation's activities cf. login time (3.48)

NOTE 1 The operation's activities include customer interactions and also improvement activities such as training coaching, meetings and workshops.

NOTE 2 Utilization is expressed as a percentage of login time.

3.76

work rule

directive in accordance with which staff members in the operation operate, and that is configured in the operational schedules

NOTE Work rules typically include shift times, number of hours worked in a shift, number of shifts worked consecutively, number of hours worked before the first scheduled break, number of overtime hours allowed, number of leave days allowed in a year, number of training days scheduled per month, and the number of hours and minutes allowed for daily scheduled breaks.

3.78

yield

number of outputs per agent per hour, and performance metric to assess the efficiency of capacity forecasting

4 Leadership and customer-service management practices

4.1 General

The leadership and customer-service management practices shall comply with the capabilities and capacity given in annex A and the performance metrics given in annexes B and C in order to comply with the requirements given in 4.2 - 4.9.

4.2 Organizational focus on quality

4.2.1 The operation's organizational ability to deliver quality services shall be based on its stated customer focus and demonstrable commitment to customer satisfaction with which all aspects of its activities shall be aligned.

Note for example the customer focus is expressed in the form of a vision statement, mission statement or other comparable statement of purpose

4.2.2 The operation shall demonstrate the following:

- a) stated values,
- b) code of conduct,
- c) organizational structure and reporting lines (including any restructure or realignment of reporting responsibilities that may take place from time to time),
- d) descriptions of staff roles and responsibilities,
- e) succession planning for managerial staff,
- f) induction of new staff members,

- g) training approach,
- h) target setting,
- i) performance management policy, processes and procedures, and
- j) quality assessment criteria.

4.2.4 The operation shall demonstrate that it periodically (at least annually) reviews:

- a) its stated focus on customer satisfaction, efficiency and quality, and
- b) the effectiveness of the integration of such focus in all its activities.

4.2.5 The operation shall demonstrate that its staff members:

- a) are aware of and understand their individual role in embodying the operation's stated focus on customer satisfaction, efficiency and quality in their day-to-day customer interactions, and
- b) demonstrate such awareness and understanding in their day-to-day customer interactions.

4.2.6 The operation shall demonstrate that any changes made in its operational environment:

- a) are reflective of, and aligned with, its stated focus on customer satisfaction, efficiency and quality, and
- b) address any potential impacts on departments, processes and procedures.

4.3 Operational plans

4.3.1 the organization shall identify the risk associated to the Quality service where the operation is conducting business solely as an operational silo and where the operation and its activities are not integral to organizational planning or fail to derive the support needed from the organization (or both) of which the operation is part.

4.3.2 The operation shall demonstrate that it has a documented, annual operational plan in place that:

- a) demonstrates its alignment and integration with other aspects of overall organizational planning (for example, information technology, marketing, human resources and finance),
- c) demonstrates its commitment to financial and non-financial goals,
- d) includes specified annual targets, and
- e) that incorporates metrics that track progress towards delivery against such targets.

4.3.3 The operation shall demonstrate that:

- a) the contact-centre manager is subject to periodic (at least monthly) performance reviews in accordance with the operation's operational plan, and
- b) that corrective actions are taken as appropriate and required following such reviews.

4.4 Legislative requirements

4.4.1 Compliance by the operation with all applicable legal and regulatory requirements to which it is subjected represents a minimum requirement of the operation's commitment to quality. Where the operation deals with other countries, care shall be taken that it complies with the requirements of the client abroad.

4.4.2 The operation shall demonstrate that it complies with applicable requirements under the prescribed legislation.

4.4.3 The operation shall demonstrate that it has documented human resource policies and procedures, including, but not limited to, policies and procedures designed to ensure its compliance with applicable labour related legislation, in place to manage and regulate the employment relationship with its staff members.

4.4.4 The operation shall demonstrate that it has a customer privacy policy and procedures in place that:

- a) are documented,
- b) are aligned, as a minimum requirement, in accordance with applicable legislative requirements,
- c) prove that adherence to such policy and procedure is periodically (at least quarterly) monitored and assessed, and
- d) demonstrate that failure by its staff members to adhere completely to such policy and procedure results in disciplinary action in accordance with the operation's staff disciplinary procedure.

4.5 Industry sector requirements

4.5.1 Compliance by the operation with all applicable legal and regulatory requirements to which it is subjected, specifically relating to any industry sector in which it is active, and together with the requirements of any industry body under whose jurisdiction it falls, represents a minimum requirement of the operation's commitment to quality.

4.5.2 The operation shall demonstrate that it complies with applicable requirements under legislation relevant to the specific industry sectors in which it operates (for example, operations active in the financial services sector).

4.5.3 The operation shall demonstrate its compliance with applicable requirements of any industry or regulatory body of which it is a member, or under whose jurisdiction it falls, including the following:

- a) periodic (not less than annual) publication of the industry or business sector-specific codes of practice (or codes of ethics); and

- b) proof of current adherence to such codes of practice (or codes of ethics).

4.6 Root-cause analysis

4.6.1 Continuous improvement is an integral aspect of a commitment to quality. Understanding the reasons or any breakdown (by doing a root-cause analysis) in customer-related processes and the support processes on which their effectiveness depends, helps prevent the breakdowns from recurring and so strengthens operational effectiveness.

4.6.2 The operation shall demonstrate that it conducts root-cause analyses on a cross-departmental basis to minimize potentially negative impact on performance when targets are not met.

4.6.3 The operation shall demonstrate that its root-cause analysis methodology incorporates steps to ensure:

- a) the identification and definition of a problem,
- b) the analysis of the data that depict the cause of such problem,
- c) understanding of the underlying reasons for such problem,
- d) the design, development and implementation of a specific solution to such problem, and
- e) the monitoring, evaluation and tracking of performance in relation to such solution, including assessment of related staff performance.

4.6.4 The operation shall demonstrate that:

- a) it implements corrective action based on the findings of each root-cause analysis,
- b) that such action is taken across all departments affected by the findings of each such analysis, and
- c) that the effectiveness of such action is measured and monitored.

4.7 Client satisfaction

4.7.1 Clients who procure, and therefore pay for, the operation's services have an expectation of a high level of operational efficiency and effectiveness. Delivering on this expectation to their satisfaction at all times and in all aspects is a prerequisite for any operation committed to quality service.

4.7.2 The operation shall demonstrate that it:

- a) conducts periodic (at least annual) client satisfaction surveys to determine the level of client satisfaction,
- b) analyses the results of such surveys,

- c) identifies areas that require improvement of its operational practices as a result of such surveys,
- d) implements solutions to remedy client dissatisfaction with any aspect of its quality of service, and
- e) relates the findings of client satisfaction surveys to its internal quality assessment and scoring processes.

4.7.3 The operation shall demonstrate that it honours any agreement with a client that requires it to comply with any international or other standards relating to the provision of services to such client.

4.7.4 The operation shall demonstrate that, when it processes sensitive information, it is aware of and complies with such internationally recognized data-security standards as are required by any client.

4.8 Customer satisfaction

4.8.1 Customers who use the operation's services have an expectation of a high level of operational efficiency and effectiveness. Delivering on this expectation to their satisfaction will benefit any operation that is committed to quality service.

4.8.2 The operation shall demonstrate that:

- a) it only allows customer-facing staff members who have sufficient proficiency in any languages required to interact with customers, and
- b) its customer-facing staff are trained in the correct pronunciation of words in the languages spoken to customers and that such pronunciation is monitored.

4.9 Risk management

4.9.1 A systematic approach to risk management shall be taken to anticipate or identify (or both) areas of risk and corrective measures that shall be taken to minimize the impact of such risk on the organization and the client.

4.9.2 The operation shall demonstrate that it protects its clients, its customers and itself against internal and external fraudulent practices by:

- a) instituting and maintaining up-to-date, risk-oriented monitoring and management processes,
- b) communicating such processes to staff members,
- c) documenting perceived staff-related fraud risks, and
- d) implementing preventative measures relating to staff-related fraud risks (for example, by preventing staff from writing down customers' banking details on paper which can be removed from the operation's premises).

4.9.3 The operation shall demonstrate that

- a) it informs staff members to understand pertinent legal and financial implications and potential consequences of their actions, including, but not limited to, those related to contractual transactions, and
- b) that it monitors staff members' ongoing appreciation of such implications and consequences.

4.9.4 The operation shall demonstrate that it has documented and communicated to all staff members a policy covering bribery and corruption that, as a minimum requirement, incorporates related:

- a) principles,
- b) processes,
- c) procedures, and
- d) sanctions in the event of infringement of the policy.

5 Human resource management practices

5.1 General

Human resource management practices shall comply with the capabilities and capacity given in annex A and the performance metrics given in annexes B and C in order to comply with the requirements given in 5.2 - 5.18.

5.2 Management structure

5.2.1 Staff members with a clear understanding of their own and others' responsibility in relation to any given issue promote both timely customer interactions with customers and clarity of communications and expedite the escalation process, where required.

5.2.2 The operation shall demonstrate that, to promote clear understanding of management responsibilities, a description of all reporting lines is included in training material and explained to new staff members during their induction.

5.3 Code of conduct

5.3.1 A code of conduct promotes focus on appropriate staff conduct and interaction with other staff members, customers and other key stakeholders.

5.3.2 The operation shall demonstrate that:

- a) it has a documented code of conduct,
- b) that such code of conduct is presented during induction to new staff members, and
- c) that all staff members are aware and informed of the provisions of such code of conduct.

5.4 Staff management model

5.4.1 A clear understanding of expectations regarding the respective roles and responsibilities helps to ensure that staffing or human resources departments (or both) appreciate what is expected of them and to direct their focus on delivering on such expectations.

5.4.2 The operation shall demonstrate that:

- a) roles and responsibilities for its operational management, staffing agencies or the human resources department (or both) relating to its human resources management practices are documented and communicated to staff,
- b) that such roles and responsibilities are formally agreed upon in writing with staffing agencies or the human resources department (or both), and
- c) that it measures performance to such formally agreed upon roles and responsibilities.

5.4.3 The operation shall demonstrate:

- a) the extent to which permanent and temporary staff members are treated equally with regard to performance management, and
- b) that it has a documented policy detailing any differences in the manner in which permanent and temporary staff members are treated with regard to performance management.

5.5 Recruitment and selection of staff

5.5.1 A clear articulation of the operation's policy and procedure relating to recruitment and selection of staff management in ensuring that only suitable staff who can deliver on the expectations associated with their roles and responsibilities are recruited as required. This minimizes inefficiencies (including the associated resource reallocation and other costs) in operational practices and thereby the potential negative impact on the ability to consistently deliver a quality service.

5.5.2 The operation shall demonstrate that it follows a documented staff recruitment and selection policy and processes that cover:

- a) the circumstances in which available positions are advertised internally and externally to the operation,
- b) candidate screening processes,
- c) interviewing guidelines,
- d) candidate evaluation and selection criteria, and
- e) candidate appointment processes.

5.5.3 The operation shall demonstrate that client requirements are integral to its staff recruitment and selection policy and processes.

5.5.4 The operation shall demonstrate that staffing agency fees are transparent and are borne by the operation and not by job-seekers.

5.5.5 The operation shall demonstrate that it only places staff members (who interact with customers) on the floor when they have satisfactorily demonstrated knowledge and understanding of:

- a) products/services,
- b) processes,
- c) systems, and
- d) communication techniques.

NOTE Such competency, knowledge and understanding can be demonstrated through successful completion of appropriate training or evaluation of competency (or both).

5.6 Skills requirements

5.6.1 A clear articulation of the skills requirements for any given role in the operation supports management in reallocating, hiring and training staff as required for its activities. This minimizes inefficiencies (including the associated resource reallocation and other costs) in operational practices and thereby the potential negative impact on the ability to consistently deliver a quality service.

5.6.2 The operation shall demonstrate that:

- a) skills requirements for each role in the operation are documented,
- b) verification of all qualifications claimed by recruits is conducted through industry-recognized channels before their appointment, and
- c) training is provided to recruited staff when they do not already have the requisite skills for the position they assume.

5.6.3 The operation shall demonstrate that each staff member has the following minimum knowledge and skills:

- a) product/service knowledge;
- b) telephone etiquette;
- c) personal computer literacy (basic word processing and e-mail);
- d) process knowledge;

- e) systems knowledge (for example telephony and customer-relationship management);
- f) business-writing skills where the staff member is interacting with customers through the written media; and
- g) such other skills as are required by his/her respective role and responsibilities (for example salesmanship).

5.6.4 Documentation shall be kept on the skills and training needed to comply with operational requirements. When roles change, however, the necessary training shall be given to staff members. When an organization lacks skills needed, the appropriate personnel can be hired.

5.7 Skills evaluation

5.7.1 Periodic and methodical skills evaluations represent an integral part of the operation's ongoing ability to clearly evaluate the extent to which it can comply with the skills requirements for any given role in the operation and to which it can inform management of decisions relating to the reallocation, hiring and training of staff members as required for the activities of the operation from time to time.

5.7.2 The operation shall demonstrate that:

- a) it documents the criteria and methods it uses to evaluate each skill,
- b) that it applies a documented methodology to evaluate agents' competence in requisite skills in accordance with such criteria and methods,
- c) that its agents are periodically evaluated in accordance with such criteria and methods,
- d) the pass threshold is documented for each type of evaluation for competency,
- e) a documented process exists for the re-evaluation, where necessary, of the competence of an agent,
- f) the presence of its agents on the floor is dependent on their achieving competence during evaluation,
- g) no agent is operative on the floor who has not achieved full competence, and
- h) documented records of all evaluations of competence achieved by agents are kept throughout each such agent's term of employment with the operation.

5.8 Internal communication

5.8.1 Communication with staff members relating to pertinent issues that affect all aspects of the operation's activities, including updates on business objectives and progress, reduces misunderstandings and identify knowledge gaps. Well-informed, knowledgeable staff members are better equipped to anticipate and respond to customer expectations and requirements.

5.8.2 The operation shall demonstrate that all staff members are trained and evaluated on changes to products or services (or both), and processes and systems in advance of any such changes taking effect.

5.9 Performance management

5.9.1 Periodic and methodical measurement of performance in accordance with defined metrics promotes personal accountability and responsibility at all levels of the operation and serves to identify, in a timely manner, strengths and weaknesses that might impact on, or compromise, the ability to meet targets.

5.9.2 The operation shall demonstrate that job descriptions detailing roles, responsibilities and expectations of performance, including targets and performance standards, are documented and provided to all its staff members.

5.9.3 The operation shall demonstrate that the personal files of all its staff members:

- a) reflect their individual performance to established targets and performance standards, and
- b) contain details of measures taken to remedy underperformance.

5.9.4 The operation shall demonstrate that:

- a) defined performance criteria and thresholds, which are not limited to the quantity of calls agents handle, are documented for its agents,
- b) that agents are regularly assessed against such criteria and thresholds, and
- c) that agents are retrained if they fail to meet such criteria and thresholds.

5.9.5 The operation shall demonstrate that it periodically (at least once a year) and formally reviews the performance of:

- a) all permanent staff members, and
- b) those non-permanent staff members who have been in its employ for more than one continuous year.

5.9.6 The operation shall demonstrate that it has documented and implemented a staff grievance and disciplinary procedure that complies with the requirements of the relevant national legislation (see foreword).

5.10 Training

5.10.1 Training is the means by which staff members are made familiar with the requirements of customer related processes and of managing their dependencies relating to support processes. Well-informed, knowledgeable staff members are better equipped to anticipate and respond to customer expectations and requirements.

5.10.2 The operation shall demonstrate that it has a documented training approach that addresses the following:

- a) the types of training that the operation provides for its staff members;
- b) the method(s) of training that the operation provides;
- c) the manner, timing and frequency of each type of training that the operation provides, including the duration of, and topics covered by, each specific training course it provides; and
- d) the roles and responsibilities of the operation's training staff.

5.10.3 The operation shall demonstrate that its training material is aligned with the requirements of its operations.

5.10.4 The operation shall demonstrate that it provides induction training for all new staff members that:

- a) aligns them with the operation's stated focus on customer satisfaction, efficiency and quality, and
- b) covers the safe and correct use of equipment by them.

5.10.5 The operation shall demonstrate that it periodically (at least annually) provides training for all staff members that:

- a) aligns them with the operation's stated focus on customer satisfaction, efficiency and quality, and
- b) covers the safe and correct use of equipment by them.

5.10.6 The operation shall demonstrate that it plans, documents and arranges ongoing training and coaching for its team leaders, supervisors and managers.

5.10.7 The operation shall demonstrate that it implements a training approach, which includes past scores for training conducted.

5.10.8 The operation shall demonstrate that all aspects of its training approach are reviewed and updated on an ongoing basis to reflect changing client and its own business requirements.

5.11 Shift management

5.11.1 Shift management shall strike an optimal balance between compliance with the requirements of the operation's clients and customers and the legitimate expectations of its staff members relating to working conditions.

5.11.2 The organization shall demonstrate that its work rules are documented and comply with the relevant national legislation (see foreword) and that, where possible, the best practice guidelines have been incorporated into the work rules.

5.11.3 The operation that offers critical services shall demonstrate that such services are accessible to customers at hours that meet customer requirements.

5.12 Health and environmental management

5.12.1 A safe and healthy working environment promotes staff well-being, which in turn facilitates staff focus on meeting client and customer expectations and requirements.

5.12.2 The operation shall demonstrate that it promotes the alleviation of potential staff stress due to epidemics, pandemics, shift work and BPO&O sector-related phenomena, by:

- a) making available to staff members documented information on wellness programmes or counselling centres or organizations for staff members (or any combination of these),
- b) by displaying such information for easy access, and
- c) by ensuring that such information is kept up-to-date.

5.12.3 The operation shall demonstrate that agents' occupancy does not exceed 80 % in any given workday.

5.12.4 The operation shall demonstrate that:

- a) agents are given ten-minute screen breaks at least once every two hours, and
- b) that such breaks are included in agents' scheduled breaks.

5.12.5 The operation shall demonstrate that its working space, ventilation, lighting supply, ergonomics and heating comply with legislative requirements.

5.12.6 The operation shall demonstrate that its staff members have access to adequate toilet facilities at all times.

5.12.7 The operation shall demonstrate that it provides its staff members with an area in which to heat and eat meals that may be brought to the workplace.

5.13 Safety and security procedures

5.13.1 The safety and security of staff members on the premises and also their safe access to and safe exit from the premises at all times shall be of paramount concern to the operation.

5.13.2 The operation shall demonstrate that:

- a) it has a documented emergency evacuation procedure relating to its premises that complies with legislative requirements,
- b) that such procedure details who will be evacuated where, how this will take place and in what circumstances,
- c) that such procedure has been communicated to all staff members,

- d) designated staff members have been appointed and trained to lead the emergency evacuation procedure,
- e) that the names of such staff members have been communicated to all staff members,
- f) its staff members are trained in emergency evacuation of the premises,
- g) emergency evacuation drills are periodically conducted, and
- h) access to all fire escapes on its premises is unimpeded.

5.14 Reward and recognition programmes

5.14.1 Transparent and equitable reward and recognition programmes promote staff understanding of the basis of their remuneration by reference to their ability to deliver in accordance with the expectations placed upon them.

5.14.2 The operation shall demonstrate that, when it operates a reward and recognition programme, the criteria of such programme, including eligibility, are as follows:

- a) documented;
- b) objective;
- c) verifiable; and
- d) communicated to all staff members.

5.15 Management of staffing agencies

5.15.1 Use by the operation of any staffing agency in addressing its staff recruitment and selection requirements shall not compromise the operation's focus on and its ability to deliver quality service.

5.15.2 The operation shall demonstrate that, when it uses the services of a staffing agency:

- a) provision of such services is subject to a service level agreement with the staffing agency,
- b) the service level agreement contains at least the following:
 - 1) the respective roles and responsibilities of the parties;
 - 2) the client's requirements (including for example, the requirement to adhere to certain, specified quality standards in the provision of such services);
 - 3) performance metrics;
 - 4) targets attributed to each such metric; and

- 5) remedies and sanctions for failure to deliver on commitments prescribed by the service level agreement, and
- c) that it tracks performance by using metrics contained in such an agreement.

5.16 Staff satisfaction

5.16.1 Well-motivated staff members, as the “face” of the organization and primary point of contact with customers, are a vital element in the operation’s ability to consistently deliver quality service.

5.16.2 The operation shall demonstrate that

- a) it conducts a staff satisfaction survey periodically (at least once a year), involving all staff members in its employ for longer than one year, and
- b) that it addresses areas of staff dissatisfaction highlighted by any such survey.

5.17 Staff development

5.17.1 A commitment to staff development represents a key aspect of the operation’s organizational sustainability, not least as a primary means of investment in its ongoing ability to improve its operational efficiency.

5.17.2 The operation shall demonstrate that it provides development opportunities to its staff members.

5.17.3 The operation shall demonstrate that it only engages in an external recruitment drive to fill any given vacancy where it is unable to source an appropriate candidate from its own staff members.

5.17.4 The operation shall demonstrate that it has succession planning in place for staff members at managerial level.

5.18 Attrition

5.18.1 Attrition serves as a key indicator of the prevailing level of staff satisfaction and motivation within the operation, as well as an indicator of the ongoing risk of potential loss of institutional knowledge and the ability to maintain a level of suitable skilled staff commensurate with operational requirements at any given time. separate reports relating to, the attrition of its:

- a) agents,
- b) supervisors,
- c) team leaders, and
- d) staff members in other categories.

6 Operational management practices

6.1 General

Operational management practices shall comply with the capabilities and capacity given in annex A and the performance metrics given in annexes B and C in order to comply with the requirements given in 6.2 to 6.7.

6.2 Capabilities

6.2.1 A lack of transparency by the operation relating to its capacity and capabilities might result in the risk of misleading clients and engendering situations where the operation's ability to deliver on client and customer expectations and requirements is compromised.

6.2.2 The operation shall demonstrate that it uses table A.1 to promote transparency in its communications with existing and prospective clients regarding its capabilities, its capacity and the services it offers.

6.2.3 The operation shall demonstrate that its customer-related processes are documented.

6.2.4 The operation shall demonstrate that its documented customer-related processes address the following:

- a) all aspects of direct customer interaction; and
- b) escalation.

6.2.5 The operation shall demonstrate that all relevant staff members understand its customer-related processes.

6.2.6 The operation shall demonstrate that:

- a) it has metrics in place relating to each of its customer-related processes that conform to those metrics provided in annex B, and
- b) that it tracks performance in accordance with such metrics, either electronically or, where it has no electronic tracking capability, manually.

6.3 Capacity planning

6.3.1 Effective capacity planning ensures that appropriate numbers of staff at the right levels are in the right place at the right time to ensure the operation's ability to fully meet client and customer expectations and requirements.

6.3.2 The operation shall demonstrate that:

- a) its targets for outbound output are clearly defined,

- b) that the number of staff members required to meet such targets takes into account call length and response ratios,
- c) its daily targets are tracked and, if not met, are added to the following day's targets to ensure that such targets are met by month-end, or over the period of a campaign, if such campaign is for less than a month's duration, and
- d) that it documents corrective interventions undertaken, where such targets are not met.

6.3.3 The operation shall demonstrate that it periodically (at least monthly) tracks, analyses, and prepares separate reports relating to, the absenteeism of its:

- a) agents,
- b) supervisors,
- c) team leaders, and
- d) staff members in other categories.

6.3.4 The operation shall demonstrate that:

- a) corrective interventions are undertaken in circumstances where the actual number of agents required to meet targets deviates from capacity forecasting by more than 5 %,
- b) that such interventions are documented, and
- c) that evidence of improvement owing to such interventions is documented.

6.3.5 The operation shall demonstrate that work rules are documented.

6.3.6 The operation shall demonstrate that

- a) scheduled breaks are determined on the basis of output productive times, and
- b) scheduled breaks comply with applicable requirements of the relevant national legislation (see foreword).

6.3.7 The operation shall demonstrate that shifts comply with the applicable requirements of the relevant national legislation (see foreword).

6.3.8 The operation shall demonstrate that:

- a) schedules that govern agents' activities for each working day are prepared for each agent,
- b) that no changes are made to schedules after a predetermined point before their distribution, and

c) that any absence that has not been included in the determination of such schedules at such point is regarded as absenteeism and recorded as such.

6.4 Customer-related process management

6.4.1 Customer-related processes represent the service offered by the operation to clients. The efficiency and effectiveness of these processes remain indicators of the operation's ability to consistently deliver quality service.

6.4.2 The operation shall demonstrate that it has a signed service level agreement with each of its clients.

6.4.3 The operation shall demonstrate that its customer-related processes are documented.

6.4.4 The operation shall demonstrate that its customer-related processes are subject to a functional system of version control.

6.4.5 The operation shall demonstrate that it conducts periodic internal or external audits of its customer related processes.

6.4.6 The operation shall demonstrate that it evaluates potential areas of failure in its customer-related processes.

6.4.7 The operation shall demonstrate that:

a) it has service recovery processes in place relating to customer-related processes, and

b) that such processes are documented.

6.4.8 The operation shall demonstrate that

a) it minimizes identified risk in relation to its customer-related processes, and

b) all actions taken to minimize risks are documented.

6.4.9 The operation shall demonstrate that it applies a defined methodology to calculate the cost of failure where a material breakdown in any of its customer-related processes is identified.

6.4.10 The operation shall demonstrate that:

a) its quality assessment methodology includes assessments of adherence to its customer-related processes, and

b) that such methodology is documented.

6.4.11 The operation shall demonstrate that training on customer-related processes is given to new staff members.

6.4.12 The operation shall demonstrate that processes are in place to ensure protection of sensitive information.

6.4.13 The operation shall demonstrate that:

- a) its customer-related processes address internal and external escalation of customer queries, and
- b) that such escalation mechanisms are communicated to customers.

6.4.14 The operation shall demonstrate that it has a customer complaint-handling procedure which incorporates corrective actions and target response times and which is:

- a) documented,
- b) available to customers, and.
- c) communicates complaint handling feed back to customers

6.4.15 The operation shall demonstrate that:

- a) all complaints received from customers are logged,
- d) that all such complaints are reviewed by authorized staff members, and
- e) that corrective action is taken by authorized staff members in respect of all such complaints.

6.5 Support processes

6.5.1 The operation depends on its various internal and external suppliers. Changes in support processes have a direct impact on customer-related processes and consequently on the operation's ability to consistently deliver quality service.

6.5.2 The operation shall demonstrate that all product-/service-, process- or system-related changes are documented, and that these changes are:

- a) formally communicated to all staff members, and
- b) subjected to a functional system of version control.

6.5.3 The operation shall demonstrate that:

- a) it manages its dependence on internal suppliers of services (for example, the IT helpdesk, back-office escalation departments, training department, and recruitment department) using the metrics detailed in table C.1,
- b) that such metrics are formally documented in a service level agreement contracted between the operation and each such supplier, and
- c) that such an agreement contains at least the following:

- 1) the respective roles and responsibilities of the parties;
- 2) the client's requirements (including, for example, the requirement to adhere to certain, specified quality standards in the provision of such services);
- 3) performance metrics;
- 4) targets attributed to each such metric; and
- 5) remedies and sanctions for failure to deliver on commitments prescribed by such an agreement.

6.5.4 The operation shall demonstrate that:

- a) it manages its dependence on external suppliers of services using the metrics detailed in table C.1, and
- b) that such metrics are formally documented in a service level agreement contracted between the operation and each such supplier.

6.5.5 The operation shall demonstrate that it manages its data lists effectively by tracking the following performance metrics:

- a) on-time;
- b) backlog; and
- c) quality.

6.4 Quality assessment

6.6.1 Periodic and methodical analysis and assessment, in accordance with predetermined criteria of the extent to which quality is delivered, are integral components of continuous improvement. Such analysis and assessment serve to identify and address perceived weaknesses and to highlight and build on perceived strengths.

6.6.2 The operation shall demonstrate that:

- a) it operates a quality assessment approach to its customer-related processes that includes evidence of analysis and assessment of the quality of customer interactions and escalation processes in accordance with defined criteria,
- b) that such an approach is documented, and
- c) that all changes to such an approach are subject to version control.

6.6.3 The operation shall demonstrate that:

- a) all aspects of customer-related interaction are monitored as part of its quality assessment approach, and
- b) it prepares periodic (at least monthly) reports by customer-related interaction.

6.6.4 The operation shall demonstrate that the criteria it applies in its quality assessment of customer related processes are aligned with customer expectations and business requirements, as determined by:

- a) its customer-facing staff knowledge of products/services, processes and resolution cycle times,
- b) its customer-facing staff ability to resolve enquiries effectively, through defined and documented processes, and
- c) its customer-facing staff demonstration of listening skills, empathy, respect, tone of voice, vocal pitch and voice volume, in relation to their customer interactions.
- d) its customer-facing staff expression of personal image in relation to their customer interactions.

6.6.5 The operation shall demonstrate that the criteria it applies in its quality assessment of customer related processes are aligned with client and business requirements, as determined by:

- a) average handling time,
- b) areas of risk to its business activities,
- c) the accuracy of information provided to customers,
- d) the accuracy of data captured, and
- e) the extent of adherence to such processes.

6.4.6 The operation shall demonstrate that:

- a) critical errors and non-critical errors identified in any quality assessment of customer-related processes are reported separately, and
- b) that critical errors result in an automatic fail of the critical errors section in relation to any such assessment.

6.6.7 The operation shall demonstrate that:

- a) each agent is assigned a quality assessment score in relation to any quality assessment,
- b) each team is assigned a score in relation to any quality assessment, on the basis of an average of all the quality assessment scores of the agents in any given team,

- c) the operation as a whole is assigned a score in relation to any quality assessment, on the basis of an average of the quality assessment scores of all teams,
- d) quality assessment scores are reported periodically (at least monthly) at agent, team and operational levels, and
- e) quality assessment scores are documented for future reference and action.

6.6.8 The operation shall demonstrate that feedback of the quality assessment score is given to individual agents, team leaders and supervisors within one week of any quality assessment.

6.6.9 The operation shall demonstrate that its documented quality assessment approach provides for the possibility of removing agents from the floor for coaching or retraining (or both) where they are responsible for frequent critical errors.

6.6.10 The operation shall demonstrate that:

- a) it undertakes interventions at agent, team and operational level to improve performance after each quality assessment, and
- b) appropriate feedback, coaching and training are factored into agents' schedules.

6.6.11 The operation shall demonstrate that its quality assessors are subject to periodic (not less than quarterly) assessments to ensure that they in turn use the same criteria for assessing agents. This will standardize the results of any quality assessment and prevent bias towards agents where quality assessments are conducted.

6.6.12 The operation shall demonstrate that a minimum of one quality assessment per agent per week is conducted, when such agent:

- a) is in his/her first month on the floor since joining the operation as a staff member, and
- b) has failed to meet his/her most recent monthly targets.

6.6.13 The operation shall demonstrate that:

- a) monitoring of agents is conducted on live and pre-recorded calls, and
- b) that agents have been made aware of the purposes of such monitoring.

6.7 Performance reporting

6.7.1 Transparent internal performance reporting in accordance with established metrics strengthens the focus of operation management and staff on their ability to meet targets. Transparent external performance reporting provides the means by which clients and other key stakeholders can gauge the ability of the operation to meet its commitments.

6.7.2 The operation shall demonstrate that it establishes targets for all metrics as detailed in tables B.1 and C.1. Tables B.1 and C.1 also contain recommended benchmarks that serve as guidelines for such targets.

6.7.3 The operation shall demonstrate that, where targets are not met, a root-cause analysis (see 4.6) is conducted and the findings from such analysis are documented.

6.7.4 The operation shall demonstrate that any interventions it undertakes are tracked and that improvements that arise from such interventions are monitored and recorded.

7 Technical resource management practices

7.1 General

Technical resource management practices shall comply with the capabilities and capacity given in annex A, the performance metrics given in annexes B and C, and the relevant requirements given in RS ISO/IEC 27002 in order to comply with the requirements given in 7.2 to 7.9.

7.2 Data security

7.2.1 Security of customer data represents an integral aspect of the operation's ability to promote client and customer confidence in its service delivery capabilities.

7.2.2 The operation shall demonstrate that it has a documented data security policy in place that details staff responsibilities regarding data security.

7.2.3 The operation shall demonstrate that staff members responsible for aspects of its data security policy know the policy and its contents.

7.2.4 The operation shall demonstrate that all customer information is held securely, in a manner that ensures it is not susceptible to unauthorized access.

7.2.5 The operation shall demonstrate that:

- a) access of individual staff members to customer information and databases is limited and controlled (for example password-protected access), on the basis of legitimate operational requirements,
- b) it tracks and monitors customer information and database access reports, and
- c) customer information and database access passwords are changed when a staff member finishes a campaign, assumes new operational responsibilities unrelated to the customer to whom information relates, or leaves the employ of the operation.

7.2.6 The operation shall demonstrate that all usage of database administrator rights is tracked for change control purposes.

7.2.7 The operation shall demonstrate that all sensitive information for day-to-day use is kept under lock and key and that archived sensitive information is kept in a fireproofed and secure environment. The operation shall also demonstrate that:

- a) access of individual staff members to any such information is limited and controlled (for example that keys to secure areas housing such information are provided on a limited basis only), on the basis of legitimate operational requirements,
- b) it tracks access to such information, and
- c) keys to secure areas housing such information and that are in a staff member's possession are withdrawn when that staff member finishes a campaign, assumes new operational responsibilities for which access to such information is not required, or leaves the employ of the operation.

7.3 Disaster recovery

7.3.1 The operation's ability to maintain a high level of quality service delivery and also to maintain and strengthen client and customer confidence is a crucial dimension, particularly the ability to maintain critical services in the face of a potential disaster.

7.3.2 The operation shall demonstrate that:

- a) it has a formal, documented disaster recovery plan in place to restore all activities and functions required for the operation's ongoing ability to function effectively following a disaster or systemic failure,
- b) that such plan contains a definition of what constitutes a disaster or systemic failure for the purposes of the operation, so that this plan will come into effect,
- c) that such plan addresses the restoration of key aspects of customer-related processes and support processes (for example emergency management, human resources, technological resources, media or public relations management (or both), and
- d) that such plan is regularly tested.

7.3.3 The operation providing critical services shall demonstrate that:

- a) it has a formal, documented business continuity plan in place to ensure that the provision of all critical services remains unaffected following a disaster or systemic failure,
- b) that such plan contains a definition of what circumstances or events (or both) will cause this plan to come into effect,
- c) that such plan addresses maintenance of key aspects of customer-related processes and support processes in relation to all critical services (for example, emergency management, human resources, technological resources, media or public relations management (or both)), and
- d) that such plan is regularly tested.

7.3.4 The operation shall demonstrate that:

- a) it has defined and documented different types of service interruption,
- b) that it has attributed a severity level for each such type of service interruption, and
- c) that it has defined and documented anticipated timeframes for the remedy of each such type of service interruption.

7.3.5 The operation shall demonstrate that:

- a) it has defined key risks which might give rise to a service interruption,
- b) that it has documented contingency plans or processes (or both) to mitigate such risks,
- c) that it conducts periodic (at least annual) simulations of such risks,
- d) that it has documented its findings based on such simulations,
- e) that corrective actions are taken based on such findings,
- f) that such actions are documented, and
- g) that the effectiveness of such actions is measured and monitored.

7.4 Management of internal technical support

7.4.1 Internal technical support resources are a key element of support processes and the operation shall demonstrate that it manages its dependence in this respect efficiently and effectively to prevent any risk of compromising the integrity of its customer-related processes.

7.4.2 The operation shall demonstrate that it has a documented information technology policy (the IT policy) that, as a minimum requirement, governs the activity of its staff members relating to:

- a) access to and usage of the internet,
- b) copying or storage (or both) of downloaded graphics or images (or both),
- c) e-mail usage,
- d) electronic games usage,
- e) loading of software on operational hardware, and

- f) staff privacy in relation to the use of the operation's information technological resources, including e-mail and internet usage.

7.4.3 The operation shall demonstrate that:

- a) all staff members received a copy of the IT policy during their induction training, and
- b) each staff member has acknowledged acceptance of the IT policy in writing, before taking up his/her duties within the operation.

7.4.4 The operation shall demonstrate that the roles and responsibilities of all staff members who are responsible for aspects of the operation's information technological capabilities are documented.

7.4.5 The operation shall demonstrate that, in relation to the technical support provided to the operation by internal suppliers:

- a) as a minimum requirement, documented targets are set for each performance metric provided in table C.1,
- b) that performance to such metrics is measured and tracked, and
- c) that corrective measures are in place, when such targets are not met.

7.5 Management of external technical suppliers

7.5.1 External technical support resources are a key element of support processes and the operation shall demonstrate that it manages its dependence in this respect efficiently and effectively to prevent any risk of compromising the integrity of its customer-related processes.

7.5.2 The operation shall demonstrate that, in relation to technical support provided to the operation by external suppliers:

- a) it has a documented service level agreement with each such supplier,
- b) that such an agreement contains at least the following:
 - 1) the respective roles and responsibilities of the parties;
 - 2) the client's requirements (including, for example, the requirement to adhere to certain, specified quality standards in the provision of such services);
 - 3) performance metrics;
 - 4) targets attributed to each such metric; and
 - 5) remedies and sanctions for failure to deliver on commitments prescribed by such an agreement.

- c) as a minimum requirement, documented targets are included in such an agreement for each performance metric detailed in table C.1 (which also contains recommended benchmarks that serve as guidelines for such targets),
- d) that performance in accordance with such metrics is measured and tracked, and
- e) that corrective measures are in place when such targets are not met.

7.6 Data management

7.6.1 Data shall be managed responsibly and effectively in such a way as to ensure that data integrity is at no time compromised, with the attendant potential risk of a breach of legal or contractual obligations (or both) and of damage to client or customer confidence (or both). To maintain integrity, data shall remain unchanged from source and not be accidentally or maliciously modified, altered or destroyed in any transfer, storage or retrieval operation.

7.6.2 The operation shall demonstrate that it has a documented data management policy in place that stipulates the definition of data and the way in which the data are managed within and by the operation and which, as a minimum requirement, addresses requirements for:

- a) data storage,
- b) data back-up, and
- c) data recovery.

7.6.3 The operation shall demonstrate that effective functional data retrieval processes are in place.

7.7 Management information systems

7.7.1 The operation requires effective management information systems to ensure that performance reporting in accordance with established metrics is accurate and timely, so that management is at all times in a position to understand and, if required, take corrective action to redress, any deficiency in performance to targets and other issues that might affect quality.

7.7.2 The operation shall demonstrate that it has defined and documented management information system reports that address the following:

- a) the report type;
- b) the report frequency; and
- c) the reporting lines.

7.7.3 The operation shall demonstrate that management information system reports are subject to a quality review before their transmission to clients.

7.7.4 The operation shall demonstrate that data integrity (see 7.6) exists in relation to the compilation of all its reports.

7.8 Fraud risk management

7.8.1 The risk of fraud poses a threat to the viability of the operation and to its clients and customers. The operation shall therefore ensure that it has taken all reasonable measures to prevent the occurrence of such risks and to mitigate any impact such occurrence might have.

7.8.2 The operation shall demonstrate that the technology used in the operation does not allow staff members to copy or download (or both) sensitive information for any purpose other than the legitimate exercise of their professional activities (for example, compact disk drives on staff members' personal computers shall be disabled to prevent them from removing customer or client information from the operation).

7.8.3 The operation shall demonstrate that it has taken all reasonable steps to ensure that its electronic and paper-based information stores are tamper-proof.

7.8.4 The operation shall demonstrate that the systems or applications (or both) it uses minimize the possibility of internal and external fraudulent activity.

7.9 Security procedures

7.9.1 Technical equipment shall be housed in a secure environment, in such a way that it does not negatively impact on, or otherwise compromises other aspects of, safety on the operation's premises.

7.9.2 The operation shall demonstrate that:

- a) all sensitive or business-critical technological hardware (or both) is housed in a secure area,
- b) that it has documented access rights relating to all such areas, and
- c) that none of its technology hardware is housed in any such area in such a way as to restrict access by any staff member to fire escapes or other emergency exits from the operation's premises.

Annex A (normative)

Capability and capacity

Table.A.1 — Customer interaction types (Capacity and capability)

1	2
Customer interaction types available in this operation	
Current capability	Capacity of capability
Number of seats	number
Number of seats as a percentage of the total capacity	%
Technology used (for example Switch, CRM, and ERMS)	List
Electronic: outbound faxes	
Number of seats	Number
Number of seats as a percentage of the total capacity	%
Technology used	List
Electronic: outbound e-mails	
Number of seats	Number
Number of seats as a percentage of the total capacity	%
Technology used	List
Electronic: outbound voicemails	
Number of seats	Number
Number of seats as a percentage of the total capacity	%
Technology used	List
Other: (Ist)	
Number of seats	Number
Number of seats as a percentage of the total capacity	%
Technology used	List
Total capacity (i.e. total number of seats)	Number
NOTE This table is applied for transparency for the protection of clients and outsources.	

Annex B (normative)

Customer related process

Table B. 1 — Performance metrics for customer - related processes

1	2	3	4	5	6
Interaction type	Evidence requirement	Required metrics	Reporting level	Recommended good practice benchmarks	Description of performance metric
Outbound voice contacts	Documented customer interaction process map	Yield	By campaign	Client – specific target	Number of outputs required – per agent – per hour
		List backlog	By campaign	Maximum one overdue cycle	Percentage of records not used in relation to forecast – in order to reach target
		Volume	By campaign, by team, by agent	Client – specific target	Total number of outputs achieved
		Productivity	By campaign, by team, by agent	Minimum 65%	Percentage of customer – facing time divided by total time worked
		Average handling time	By campaign, by team, by agent	Client – specific target	Average of the sum of talk time plus after – call work plus holding time (only if holding time is not included in talk time) for agents
		Quality	By campaign, by team, by agent	Critical errors: Maximum 3% Non – critical errors: 5%	Critical – error accuracy – mistakes that put the business at risk Non – critical – error accuracy – mistakes that indicate softer issues
		Abandonment rate (for predictive dialer)	By campaign	Maximum 5%	Percentage of calls dropped by customers before being routed to an agent
	Documented escalation process map	On – time	By campaign	Client – specific target by enquiry type	Percentage of escalations handled with cycle time
		Backlog	By campaign	Client – specific target by enquiry type	Number of overdue cycles
		Volume	By campaign	Client – specific target by enquiry type	Number of escalations sent
		Quality	By campaign	Client – specific target by enquiry type	Percentage completed accurately the first time (percentage rework is the

				type	reciprocal)
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Annex C (normative)

Operation and supplier management

Table C.1 — Performance metrics for operation and supplier management

1	2	3	4	5	6
Management practice	Description of practice	Required metrics	Reporting level	Recommended good practice benchmarks	Description of performance metric
Management of external service suppliers	Service level agreement with each external service supplier, for example relating to -Staffing agencies -Telephone systems -CRM	On-time to respond/deliver	By external supplier	Minimum 85%	Percentage of service requests responded to within cycle time
		On-time to resolve	By external supplier	Minimum 80%	Percentage of service requests completed within cycle time
		Quality of resolution	By external supplier	Minimum 80% resolved on first attempt	Percentage completed accurately the first time (percentage rework is the reciprocal)
		Response/delivery backlog	By external supplier	Maximum one overdue cycle	Number of overdue cycles (how far behind target are you?)
		Volume of support requests	By external supplier	No benchmark	Number of support requests by type of service offered by the support department
Facilities management	Service level agreement	On-time to respond/deliver	By operation	Minimum 85%	Percentage of service requests responded to within cycle time
		On-time to resolve	By operation	Minimum 80%	Percentage of service requests completed within cycle time
		Quality of resolution	By operation	Minimum 80% resolved on first attempt	Percentage completed accurately the first time (percentage rework is the reciprocal)
		Response/delivery backlog	By operation	Maximum one overdue cycle	Number of overdue cycles (how far behind target are you?)
		Volume of support requests	By operation	No benchmark	Number of support requests by type of service offered by the support department
Management of technical support	- Documented IT policy - Documented	On-time to respond/deliver	By IT department (helpdesk)r	Minimum 90%	Percentage of service requests responded to within cycle time

	roles and responsibilities relating to all IT processes	On-time to resolve	By IT department (helpdesk)r	Minimum 80%	Percentage of service requests completed within cycle time
		Quality of resolution	By IT department (helpdesk)r	Minimum 80% resolved on first attempt	Percentage completed accurately the first time (percentage rework is the reciprocal)
		Response/delivery backlog	By IT department (helpdesk)r	Maximum one overdue cycle	Number of overdue cycles (how far behind target are you?)
		Volume of support requests	By IT department (helpdesk)r	No benchmark	Number of support requests by type of service offered by the support department
Data/list management	Monitoring access to call records	On-time Backlog Quality	By campaign By provider	Daily Monthly	The management data from a third party supplier or an internal supplier. This is a dependency for targets to be met, therefore the data shall be tracked upon arrival (percentage of arrival within cycle time) Overdue supply of data by the supplier shall be tracked (number of overdue cycles will indicate the probability of meeting targets). The quantity of the data will also determine the probability of success (expected as a percentage of unusable records of the total records)
System availability	Tracking of all key systems that impact on service delivery	System availability	By IT department (helpdesk)	Minimum 98%	The percentage of total time that the systems are up and available to transact optimally (slow or hanging systems are not deemed to be optimal)
Client satisfaction	-Client satisfaction surveys shall be conducted to verify quality assessment scores and identify areas of	Client satisfaction	By clients	Minimum 80% of top two boxes on a Likert scale	A satisfactory survey shall be conducted among clients. Scores shall be determined using a Likert scale of 1 to 5 Benchmark is 80% of top two boxes.

	improvement -All complaints shall be tracked to assess the ratio of complaints to contacts	Ratio of complaints to contacts	By clients	Client-specific target	All negative comments shall be classified as complaints. All complaints shall be captured (not only the ones that were sent to management). This volume of complaints shall be expressed as a percentage or interactions handled in order to assess customer experience and root causes of the complaints
Staff satisfaction (if campaign runs for one year)	-Survey and results of survey -Documented interventions as a result of survey	Staff satisfaction	By operation, by team, by agent	Minimum 70% of top two boxes on a Likert scale of 1 to 5	A satisfaction survey shall be conducted amongst staff in their respective role categories (e.g agent, team leader, manager and support staff). Scores shall be determined using a Likert scale of 1 to 5. Benchmark is 70% of top two boxes
Cost of failure	-Monthly reporting of unusable data records -Cost per interaction minute attributed to unusable date	Data cleanliness	By programme	Client-specific agent	Percentage of unusable data records divided by total number of data records accessed per period Cost per minute multiplied by time spent on unusable data records
Staff efficiency	Time spent by agents on customer interaction	Absenteeism	By operation, by team, by agent	Maximum 10%	Number of days lost as percentage of days scheduled
		Attrition	By operation, by team, by agent, by other staff categories	Maximum 20% (annualized basis)	Number of staff per role category lost as a percentage of total staff on the floor per role category Attrition is the number of agents existing the job plus average actual number of agents during the period multiplied by 12 plus number of months in the period
		Utilization	By operation, by team, by agent, by other staff categories	Minimum 80%	(Total talk time plus available time plus holding time plus after-call work plus authorized auxiliary states) divided by staffed time and expressed as a percentage)

		Average handling time	By operation, by team, by agent	Client-specific agent	Average of all agents' talk time plus after call work plus holding time.
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