

# Process Maturity Model

## Process Capability Matrix\*

\*Adapted from The Processes Capabilities Matrix, published in "Auditor's Risk Management Guide," by Paul J. Sobel (2007).

Maturity Stage	Observable Process Characteristics			
	Procedures	Controls	Metrics	Improvement Mechanisms
5 Optimized	Processes and controls are continuously reviewed and improved.	Preventive and detective controls are highly automated to reduce human error and cost of operation.	Comprehensive, defined performance metrics exist, with extensive automated performance monitoring.	Extensive use of best practices, benchmarking, and/or self-assessment to continuously improve process.
4 Managed	Procedures and controls are well documented and kept current.	Preventive and detective controls are employed, with greater use of automation to reduce human error.	Many metrics are used with a blend of automated and manual performance monitoring.	Best practices and/or benchmarking are used to improve process.
3 Defined	Procedures are well documented, but not kept current to reflect changing business needs.	Preventive and detective controls are employed, still reliant on manual activities.	Some metrics are used, but performance monitoring is still manual and/or infrequent.	Generally occurs during periodic (e.g., annual) policy and procedure renewal.
2 Repeatable	Some standard procedures exist, relies on "tribal knowledge."	Mostly detective controls are in place, minimal preventive controls, and highly manual.	Few performance metrics exist, thus performance monitoring is inconsistent or informal.	Most likely in reaction to audits or service disruptions.
1 Ad Hoc	No formal procedures exist.	Controls are non-existent or primarily in reaction to a "surprise."	There are no metrics or performance monitoring.	None

