



International  
Standard

**ISO/IEC 30105-3**

**Information technology — IT  
Enabled Services-Business Process  
Outsourcing (ITES-BPO) lifecycle  
processes —**

**Part 3:  
Measurement framework (MF) and  
organization maturity model (OMM)**

*Technologies de l'information — Processus du cycle de vie de la  
délocalisation du processus d'affaires des services activés par IT —*

*Partie 3: Modèle de maturité de l'organisation (OMM) et cadre de  
mesure (MF)*

**Second edition  
2024-06**

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## Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see [www.iso.org/directives](http://www.iso.org/directives) or [www.iec.ch/members\\_experts/refdocs](http://www.iec.ch/members_experts/refdocs)).

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This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 40, *IT service management and IT governance*.

This second edition cancels and replaces the first edition (ISO/IEC 30105-3:2016), which has been technically revised. It also incorporates the Amendment ISO 30105-3:2016/Amd. 1:2020.

The main changes are as follows:

- terms and abbreviated terms have been added;
- definitions of capability levels have been added to improve the sequence of the document;
- capability levels and process attributes (PAs) have been updated according to ISO/IEC 33020:2019 to harmonize organization maturity levels (see [Table 1](#));
- in [Clause 10](#), “process attribute rating” has been changed to “process capability level” in line with ISO/IEC 33004:2015;
- two new tactical enablement processes, TEN9 (Communication management) and TEN10 (Documentation management), have been added in order to align with ISO/IEC 20000-1 and ISO/IEC TS 33074;
- editorial errors from the previous edition have been corrected.

A list of all parts in the ISO/IEC 30105 series can be found on the ISO and IEC websites.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at [www.iso.org/members.html](http://www.iso.org/members.html) and [www.iec.ch/national-committees](http://www.iec.ch/national-committees).

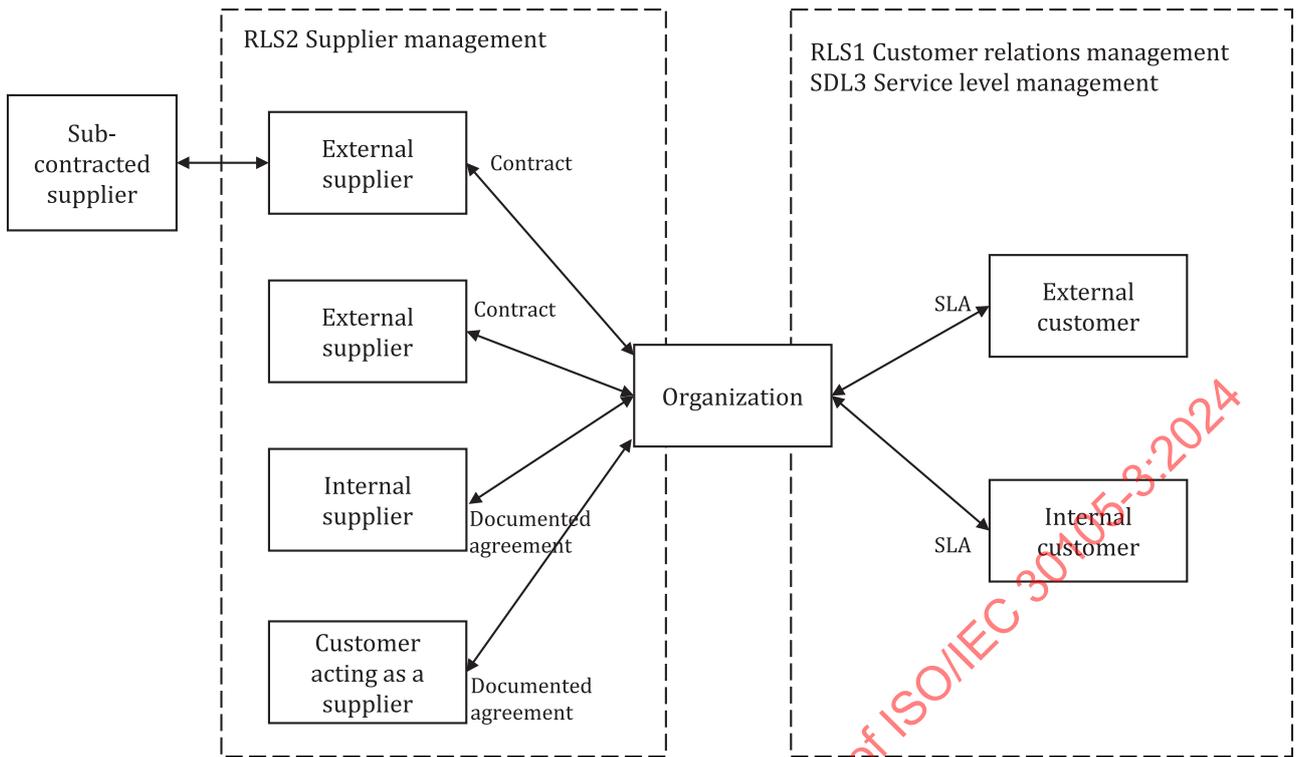
## Introduction

IT Enabled Services-Business Process Outsourcing (ITES-BPO) services encompass the delegation of one or more IT enabled business processes to a service provider who uses appropriate technology to deliver that service. Such a service provider manages, delivers, improves and administers the outsourced business processes in accordance with predefined and measurable performance metrics. This covers diverse business process areas such as human resource management, administration, healthcare, financial management, supply chain management, travel and hospitality, media, market research, data analytics, telecommunication, manufacturing, etc. ITES-BPO services provide business solutions to customers across the globe and form part of the core service delivery chain for customers.

The ISO/IEC 30105 series specifies the requirements for lifecycle processes performed by an ITES-BPO service provider. It defines the processes to plan, establish, implement, operate, monitor, review, maintain and improve its services. Key characteristics of the ISO/IEC 30105 series are as follows.

- It provides overarching guidance and requirements for all aspects of ITES-BPO industry from the view of the service provider that performs the outsourced business processes. This is applicable for any service provider providing services to customers through contracts and in industry verticals.
- It covers the entire outsourcing lifecycle and defines the processes that are considered to be good practices.
- It enables process capability gap determination and improvement for service providers performing outsourced business processes. It also serves as a process reference model (PRM) for service providers.
- It focuses on IT enabled business processes which are outsourced.
- It is generic and can be applied to all IT enabled business process outsourced services, regardless of type, size and the nature of the services delivered.
- Process improvement (PI) implemented using the ISO/IEC 30105 series can lead to a clear return on investment for customers and service providers.
- Alignment to the ISO/IEC 30105 series can improve consistency, delivery quality and predictability in delivery of services.

[Figure 1](#) illustrates the key entities and relationships involved in an ITES-BPO service. This includes the customer, the service provider and various levels of suppliers. This is in line with the supply chain relationship depicted in ISO/IEC 20000-1:2018, 8.3.1. This document and ISO/IEC 20000-1 complement each other. ISO/IEC 30105-2:2024, Annex C describes the potential correlation and differences, and their complementary nature.



**Key**

RLS relationship

SDL service delivery

SLA service level agreement

**Figure 1 — ITES-BPO key entities**

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# Information technology — IT Enabled Services-Business Process Outsourcing (ITES-BPO) lifecycle processes —

## Part 3: Measurement framework (MF) and organization maturity model (OMM)

### 1 Scope

This document specifies a measurement framework (MF) and an organization maturity model (OMM). It provides the overview of how an organization can use the process reference model (PRM) in ISO/IEC 30105-1 and the process assessment model (PAM) in ISO/IEC 30105-2 to measure their capability and maturity levels. It conforms to the requirements of ISO/IEC 33003 and ISO/IEC 33004 and supports the performance assessment by providing a framework to measure and derive capability and organization maturity levels.

This document is intended to be used in concurrence with the other parts of the ISO/IEC 30105 series and the assessment approach provided by ISO/IEC 33002 for assessing processes.

### 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 33020:2019, *Information technology — Process assessment — Process measurement framework for assessment of process capability*

### 3 Terms, definitions and abbreviated terms

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

ISO and IEC maintain terminology databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <https://www.electropedia.org/>

#### 3.1 Terms and definitions

##### 3.1.1

##### **basic process set**

set of processes that ensure the achievement of maturity level 1

Note 1 to entry: The set of processes are drawn from specified process assessment models.

Note 2 to entry: A basic process set will include a minimum set of processes, together with additional and optional processes determined by the organization context for the assessment.

[SOURCE: ISO/IEC 33001:2015, 3.3.4, modified — "the basic maturity level" has been changed to "maturity level 1" in the definition.]

**3.1.2**

**extended process set**

set of processes specific to a maturity level higher than maturity level 1 that ensures the achievement of the relevant process attributes

Note 1 to entry: The set of processes are drawn from specified process assessment models.

Note 2 to entry: An extended process set will include the minimum set of processes, together with additional and optional processes determined by the organizational context for the assessment.

[SOURCE: ISO/IEC 33001:2015, 3.3.5, modified — "the basic maturity level" has been changed to "maturity level 1" and "relevant process profile" has been changed to "relevant process attributes" in the definition.]

**3.1.3**

**maturity model**

model derived from one or more specified process assessment model(s), that identifies the process sets associated with the levels in a specified scale of organizational process maturity

[SOURCE: ISO/IEC 33001:2015, 3.3.7]

**3.1.4**

**process capability**

characterization of the ability of a process to meet current or projected business goals

[SOURCE: ISO/IEC 33020:2019, 3.4]

**3.1.5**

**process capability level**

characterization of a process on an ordinal measurement scale of process capability

[SOURCE: ISO/IEC 33020:2019, 3.5]

**3.2 Abbreviated terms**

ITES-BPO	IT Enabled Services-Business Process Outsourcing
MF	measurement framework
OEN	operational enablement
OMM	organization maturity model
PA	process attribute
PAM	process assessment model
PRM	process reference model
RLS	relationship
SDL	service delivery
SEN	strategic enablement
SLA	service level agreement
SLN	solution
TEN	tactical enablement
TRN	transition in

TRO transition out

#### 4 Overview of MF and OMM

Figure 2 illustrates the relationship between the parts of the ISO/IEC 30105 series relating to MF and OMM and the assessment methods and requirements in ISO/IEC 33002, ISO/IEC 33004 and ISO/IEC 33020.

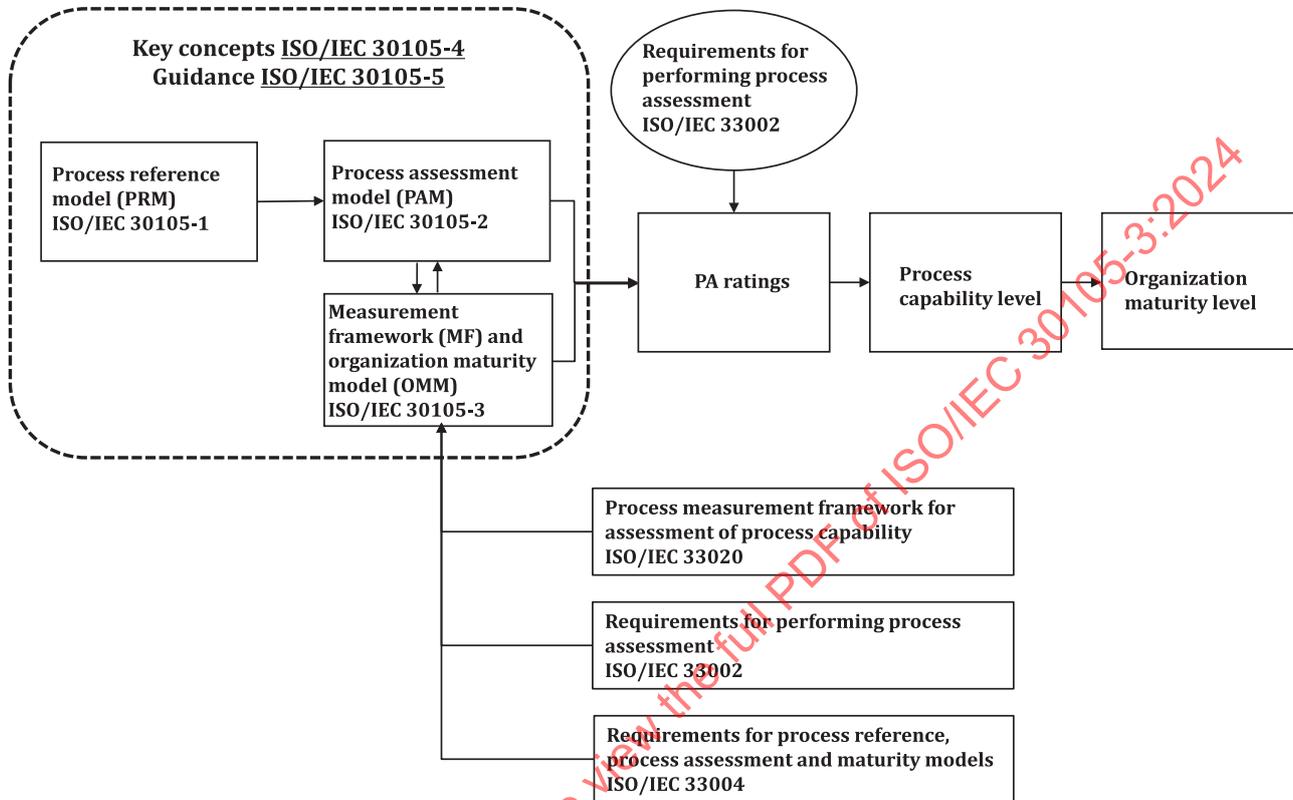


Figure 2 — Overview of MF and OMM

This document specifies the principles for an ITES-BPO MF which supports the assessment of process capability, in accordance with the requirements of ISO/IEC 33003, as indicated in Annex A. The MF provides a schema that can be used to construct a PAM conformant with ISO/IEC 33004, which can in turn be used to assess process capability according to the requirements of ISO/IEC 33002. Process capability is a process quality characteristic related to the ability of a process to consistently meet current or projected business goals. The capability level rating does not guarantee that an organization will perform its processes at any given process capability level, but simply that it is capable of performing its processes at that level.

This MF forms a structure that:

- a) facilitates self-assessment;
- b) provides a basis for use in process capability determination and process improvement;
- c) is applicable across all business domains and sizes of organization;
- d) produces a set of PA ratings (process profile);
- e) derives a process capability level.

This document defines the principles for the ITES-BPO OMM, which supports the assessment of organization maturity, in accordance with the requirements of ISO/IEC 33004.

## 5 ITES-BPO MF for process capability

This clause describes the MF to be employed for the assessment of process capability in the ITES-BPO domain. The MF elements shall be in accordance with the definitions in ISO/IEC 33020:2019, Clause 5. The MF defines a six-point ordinal scale for the assessment of process capability, defined as the characterization of the ability of a process to meet current or projected business goals.

The process capability MF is expressed in terms of a set of PAs. Each PA is defined in terms of a set of PA outcomes that can be evaluated to indicate the extent of achievement of the PA. The PAs are organized into process capability levels, ranging from "Level 0: Incomplete" (in which the process does not achieve its defined process outcomes) to "Level 5: Innovating" (in which the process is continually improved to respond to changes in an organization). There are six capability levels incorporating nine PAs.

- **Level 0: Incomplete process** — the process is not implemented or fails to achieve the process purpose. At this level, there is little or no evidence of any systematic achievement of the process purpose.
- **Level 1: Performed process** — the implemented process achieves its process purpose.
- **Level 2: Managed process** — the Level 1 "Performed" process is implemented in a managed fashion (planned, monitored and adjusted) and its documented information is appropriately established, controlled and maintained.
- **Level 3: Established process** — the Level 2 "Managed" process is implemented using a defined process that is assured and continually improved.
- **Level 4: Predictable process** — the Level 3 "Established" process is now performed predictively. Quantitative management needs are identified, measurement data are collected and analysed to identify causes of variation.
- **Level 5: Innovating process** — the Level 4 "Predictable" process is continually improved to respond to changes through identified innovative approaches for process innovation.

The set of process capability levels and PAs that comprise the MF are defined in [Table 1](#).

**Table 1 — Capability levels and PAs**

Capability levels	PA IDs	PAs
Level 0: Incomplete process	-	-
Level 1: Performed process	PA 1.1	Process performance
Level 2: Managed process	PA 2.1	Performance management
	PA 2.2	Documented information management
Level 3: Established process	PA 3.1	Process definition
	PA 3.2	Process deployment
	PA 3.3	Process assurance
Level 4: Predictable process	PA 4.1	Quantitative analysis
	PA 4.2	Quantitative control
Level 5: Innovating process	PA 5.1	Process innovation

Detailed definitions for all of the process capability levels and PAs are contained in ISO/IEC 33020:2019, 5.2, and are also set out in ISO/IEC 30105-2:2024, Clause 6, together with the relevant process capability indicators.

The extent of PA achievement is characterized on a defined rating scale. The rating scale and requirements for the rating of attribute achievement are set out in [Clause 6](#).

## 6 Rating and aggregating PAs

### 6.1 PA rating scale

Within this MF, a PA is a measurable property of process capability. A PA rating is a judgment of the degree to which a PA is achieved for the assessed process.

Each attribute rating represents a judgment by the assessor of the extent to which the attribute is achieved. To improve the reliability and repeatability of the assessment, the judgements of the assessor are based on a coherent set of recorded objective artefacts.

Aggregation may be performed using a defined set of rules to summarize the ratings.

A PA is measured using an ordinal scale.

- N Not achieved: There is little or no evidence of achievement of the defined PA in the assessed process.
- P- Partially achieved: There is some evidence of an approach to, and some achievement of, the defined PA in the assessed process. Many aspects of achievement of the PA are potentially unpredictable.
- P+ Partially achieved: There is some evidence of an approach to, and some achievement of, the defined PA in the assessed process. Some aspects of achievement of the PA are potentially unpredictable.
- L- Largely achieved: There is evidence of a systematic approach to, and significant achievement of, the defined PA in the assessed process. Many weaknesses related to this PA potentially exist in the assessed process.
- L+ Largely achieved: There is evidence of a systematic approach to, and significant achievement of, the defined PA in the assessed process. Some weaknesses related to this PA potentially exist in the assessed process.
- F Fully achieved: There is evidence of a complete and systematic approach to, and full achievement of, the defined PA in the assessed process. No significant weaknesses related to this PA exist in the assessed process.

The corresponding percentages shall be as follows:

- |      |                     |                                |
|------|---------------------|--------------------------------|
| — N  | Not achieved        | 0 % to ≤15 % achievement;      |
| — P- | Partially achieved- | >15 % to ≤32,5 % achievement;  |
| — P+ | Partially achieved+ | >32,5 % to ≤50 % achievement;  |
| — L- | Largely achieved-   | >50 % to ≤ 67,5 % achievement; |
| — L+ | Largely achieved+   | >67.5 % to ≤85 % achievement;  |
| — F  | Fully achieved      | >85 % to ≤100 % achievement.   |

### 6.2 PA rating method

A PA outcome is the observable result of the achievement of a specified PA.

A process outcome is the observable result of the successful achievement of the process purpose.

Process outcomes and PA outcomes can be characterized as an intermediate step providing a PA rating.

The rating method employed for this document is based on rating method R1 defined in ISO/IEC 33020:2019, 5.4.2, which identifies that the approach to PA rating shall satisfy the following conditions.

- a) Each process outcome for processes within the scope of the assessment shall be characterized for all process instances, based on validated data.

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- b) Each PA outcome of each PA for processes within the scope of the assessment shall be characterized for all process instances, based on validated data.
- c) Process outcome characterizations for all assessed process instances shall be aggregated to provide a process performance attribute achievement rating.
- d) PA outcome characterizations for all assessed process instances shall be aggregated to provide a PA achievement rating.

### 7 Process capability level model — Achievement of process capability levels

The capability level achieved by a process shall be derived from the PA ratings for that process according to the process capability level model defined in [Table 2](#).

This approach is based on ISO/IEC 33020:2019, 5.6, with two-dimensional aggregation using heuristics (see ISO/IEC 33020:2019, 5.5.3.3).

**Table 2 — Capability level ratings**

Scale	PA	Rating
Level 0	Process performance	Largely(−) or below
Level 1	Process performance	Largely(+) or fully
Level 2	Process performance	Fully
	Performance management	Largely(+) or fully
	Documented information management	Largely(+) or fully
Level 3	Process performance	Fully
	Performance management	Fully
	Documented information management	Fully
	Process definition	Largely(+) or fully
	Process deployment	Largely(+) or fully
	Process assurance	Largely(+) or fully
Level 4	Process performance	Fully
	Performance management	Fully
	Documented information management	Fully
	Process definition	Fully
	Process deployment	Fully
	Process assurance	Fully
	Quantitative analysis	Largely(+) or fully
	Quantitative control	Largely(+) or fully
Level 5	Process performance	Fully
	Performance management	Fully
	Documented information management	Fully
	Process definition	Fully
	Process deployment	Fully
	Process assurance	Fully
	Quantitative analysis	Fully
	Quantitative control	Fully
	Process innovation	Largely(+) or fully

## 8 OMM

### 8.1 Overview of OMM

An organization's maturity is measured on a six-point ordinal scale from "Level 0 Organization: Immature organization" to "Level 5 Organization: Transformational organization". The scale represents the extent to which the organization has explicitly and consistently performed, managed and established its processes with predictable performance, and demonstrated the ability to change and adapt the performance of the processes fundamental to achieving the organization's business goals. Organization maturity is derived from the underlying process capability measures.

Within the framework defined in [Clause 7](#) of this document, each level of an organization's maturity is characterized by the demonstration of achievement of specified ratings of PA achievement in process sets drawn from the ISO/IEC 30105-2 ITES-BPO PAM.

For each of the maturity levels 1-5, processes are categorized based on their contributions to the business goals of the organization. The categories are as follows.

- a) Basic process set: set of processes that ensures the achievement of the basic maturity level.

NOTE 1 A basic process set will include a minimum set of processes, together with optional processes determined by the organization's context for the assessment, which are identified as "Optional" and "Conditionally Required" in [Tables 3](#) to [8](#).

- b) Extended process set: set of processes specific to a maturity level higher than the basic maturity level that ensures the achievement of the relevant process profile.

NOTE 2 An extended process set will include a minimum set of processes, together with optional processes determined by the organization's context for the assessment, which are identified as "Optional" and "Conditionally Required" in [Tables 3](#) to [8](#).

- c) Conditionally required and Optional processes: a basic or extended process set may include additional processes that are:

- 1) conditionally required for assessments with a particular scope of application;
- 2) optional depending on the particular circumstances of the organization.

The ITES-BPO OMM specifies the particular circumstances for inclusion of any conditionally required or optional processes in the basic and extended process sets in [Clause 11](#).

### 8.2 Structure of the OMM

The scale for organization maturity retains the semantic intent of the process capability levels that are defined in [Clause 5](#). The scale for process capability characterizes the ability of a process to meet current or projected business goals; the scale of organization's maturity characterizes the extent to which an organization consistently implements sets of processes within a defined scope that contribute to the achievement of its business goals. Thus, the two scales, while consistent, characterize different attributes of separate entities, the process and the organization. The MF provides a schema for use in characterizing the maturity of an organization with respect to specified PAM(s). An overview of the interaction of the various documents to arrive at the rating is as given in [Figure 3](#).

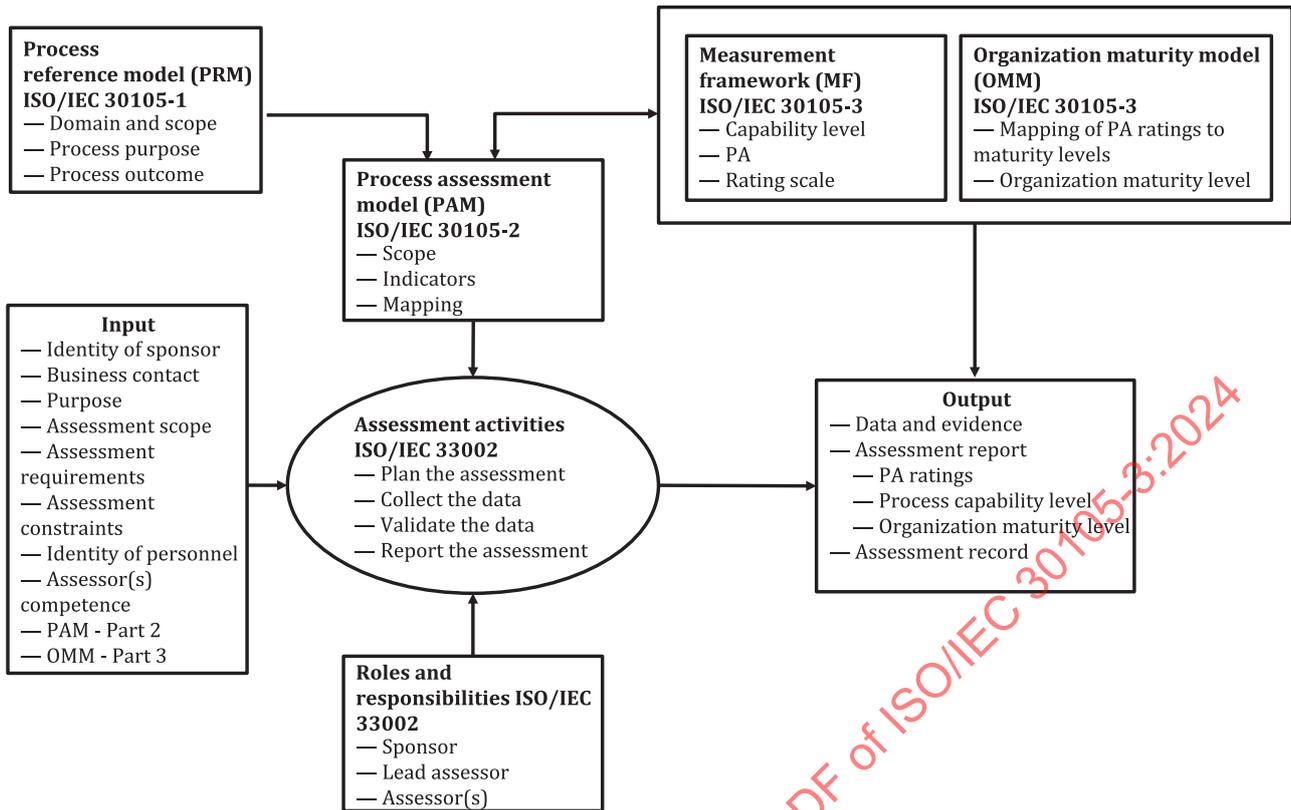


Figure 3 — Relationship between assessment of process capability and derivation of organization maturity

## 9 Organization maturity levels

### 9.1 Overview of organization maturity levels

The maturity levels are derived according to the guidelines provided in ISO/IEC 33004:2015, 7.3.6, based on process capability levels as indicated in [Annex B](#). A description of the PAs is provided in ISO/IEC 30105-2:2024, 6.2.

### 9.2 Level 0 Organization: Immature organization

At this level, the organization does not demonstrate effective implementation of the processes that are fundamental to support the organization’s primary activities. At least one process in the basic process set fails to achieve a rating needed for the process as defined in [10.2](#).

### 9.3 Level 1 Organization: Basic organization

At this level, the organization is able to undertake the basic activities common to all organizations which are delivering services. Without carrying out these activities, delivery is not possible. Work is performed but there is no assurance of outcomes.

As a result of achieving this level of maturity, the organization unit:

- a) implements the processes required to support the organization’s primary activities;
- b) performs sets of activities and tasks that achieve the purposes of these processes.

Each process achieves at least capability level 1 as shown in [Clause 7](#), or higher.

#### 9.4 Level 2 Organization: Managed activities

At this level, the organization is able to function with an assurance of outcomes being in line with specifications.

As a result of achieving this level of maturity, the organization unit:

- a) establishes plans for the performance of the processes that are fundamental for supporting the organization's basic process set;
- b) assigns responsibility and authority regarding process performance and ensures effective communication among involved parties;
- c) allocates adequate resources and information to ensure implementation of the plans;
- d) monitors performance of the processes against plans in the individual process instances;
- e) takes corrective action to address deviation from planned performance of the process;
- f) identifies requirements for the management of information items developed by the processes;
- g) takes action to ensure that the requirements for the management of information items are satisfied.

Each process achieves at least capability level 2 as shown in [Clause 7](#), or higher.

#### 9.5 Level 3 Organization: Managed organization

At this level, the organization is assumed to be uniformly managing its processes. The focus is on improving the delivery process and eliminating problems.

As a result of achieving this level of maturity, the organization unit:

- a) aligns the process goals with organization goals;
- b) establishes standard process descriptions covering all of the basic and extended sets of processes employed on a routine basis in the organization;
- c) ensures that individual implementations of the processes are performed as defined processes with appropriately tailored standard processes;
- d) collects and analyses data and information from the performance of the defined processes and stores this data for use across the organization;
- e) uses the collected data and information to improve both the standard and defined processes;
- f) uses the collected data to ensure that the processes support the organization's goals.

Each process achieves at least capability level 3 as shown in [Clause 7](#), or higher.

#### 9.6 Level 4 Organization: Strategic alignment

At this level, the organization starts aligning strategically to the customer's business. The focus is on understanding the customer's and the organization's business needs and on the organization's improvement. The organization looks to adopt best practices and lessons.

As a result of achieving this level of maturity, the organization unit:

- a) establishes quantitative objectives for process performance, based upon business goals of the service provider and customer;
- b) selects processes for process performance analyses, on the basis of their relevance and significance to the achievement of the business goals of the service provider and customer, covering at a minimum the basic process set;

- c) employs modelling and measurement to collect, store and analyse data on the performance of the selected processes;
- d) identifies causes of variation from the performance objectives of the selected processes and takes appropriate corrective and preventive action to address them;
- e) establishes stable, capable and predictable performance of the selected processes based on the performance objectives.

Each process achieves at least capability level 4 as shown in [Clause 7](#), or higher.

### 9.7 Level 5 Organization: Transformational organization

At this level, the organization is looking to innovate and transform the customer's business in line with the goals of the outsourcing and the outsourced organization.

As a result of achieving this level of maturity, the organization's unit:

- a) establishes processes to support process transformation;
- b) identifies transformations to processes necessary for supporting the organization's changing objectives or the organization's changing environment for the service provider and the customer;
- c) identifies opportunities for deploying process transformations with control of associated risk;
- d) implements identified process innovations while controlling associated risk;
- e) selects process transformation for the organization's deployment based on impact analysis;
- f) deploys the selected process transformations, monitors performance of the improved processes and compares the results to expected outcomes.

Each process achieves at least capability level 5 as shown in [Clause 7](#).

## 10 Rules for deriving maturity levels from process capability levels

### 10.1 Overview of maturity levels

The maturity level of an organization is determined as a function of the process capability level ascertained by the MF defined earlier in this document. An organization's maturity level is derived from the set of processes (basic, extended and additional processes) prescribed for that level of maturity.

Additional processes included in the model should be added based on the rules provided [Clause 11](#).

NOTE The requirements for a MF are drawn from ISO/IEC 33003 and conform to the mandates therein. The PA ratings have been changed according to ISO/IEC 33020 to harmonize with the capability level ratings for each level.

### 10.2 Maturity level 1

Achievement of ratings for listed process set at Level 1 are listed in [Table 3](#).

## ISO/IEC 30105-3:2024(en)

**Table 3 — Maturity level 1 PA ratings**

Process ID	Process areas	Process capability	PA 1.1
OEN2	Information security management (Optional)	Level 1	F
OEN3	Compliance management (Conditionally required)	Level 1	L+
OEN4	Human resource management	Level 1	L+
SDL1	Service delivery execution	Level 1	F
SDL4	Business process management	Level 1	L+
SLN1	Solution development (Optional)	Level 1	L+
SLN2	Contract lifecycle management (Optional)	Level 1	F
TEN2	Financial management	Level 1	L+
TRN1	People mobilization	Level 1	F
TRN2	Infrastructure set-up — technology (Optional)	Level 1	L+
TRN3	Infrastructure set-up — non-technology (Optional)	Level 1	L+

### 10.3 Maturity level 2

Achievement of ratings for listed process set at Level 2 are listed in [Table 4](#).

**Table 4 — Maturity level 2 PA ratings**

Process ID	Process areas	Process capability	PA 1.1	PA 2.1 and 2.2
OEN2	Information security management (Optional)	Level 2	F	F
OEN3	Compliance management (Conditionally required)	Level 2	F	F
OEN4	Human resource management	Level 2	F	L+
SDL1	Service delivery execution	Level 2	F	F
SDL4	Business process management	Level 2	F	L+
SLN1	Solution development (Optional)	Level 2	F	L+
SLN2	Contract lifecycle management (Optional)	Level 2	F	F
TEN2	Financial management	Level 2	F	L+
TRN1	People mobilization	Level 2	F	F
TRN2	Infrastructure set-up — technology (Optional)	Level 2	F	F
TRN3	Infrastructure set-up — non-technology (Optional)	Level 2	F	F
OEN5	Infrastructure and technology management	Level 2	F	L+
OEN1	Transaction quality management	Level 2	F	F
OEN6	Work environment management	Level 2	F	L+
RLS1	Customer relations management	Level 2	F	L+
RLS2	Supplier management (Optional)	Level 2	F	F
SDL2	Service delivery reporting	Level 2	F	F
SDL3	Service level management	Level 2	F	F
TEN3	Change management	Level 2	F	F
TEN5	Business continuity management	Level 2	F	L+
TEN6	Audit management	Level 2	F	L+
TEN9	Communication management	Level 2	F	L+
TEN10	Documentation management	Level 2	F	L+

Table 4 (continued)

Process ID	Process areas	Process capability	PA 1.1	PA 2.1 and 2.2
TRN5	Service delivery planning	Level 2	F	L+
TRN6	Pilot implementation (Optional)	Level 2	F	L+
TRO1	Transition out (Optional)	Level 2	F	L+

### 10.4 Maturity level 3

Achievement of ratings for listed process set at Level 3 are listed in [Table 5](#).

Table 5 — Maturity level 3 PA ratings

Process ID	Process areas	Process capability	PA 1.1	PA 2.1 and 2.2	PA 3.1, 3.2 and 3.3
OEN2	Information security management (Optional)	Level 3	F	F	F
OEN3	Compliance management (Conditionally required)	Level 3	F	F	F
OEN4	Human resource management	Level 3	F	F	L+
SDL1	Service delivery execution	Level 3	F	F	F
SDL4	Business process management	Level 3	F	F	F
SLN1	Solution development (Optional)	Level 3	F	F	F
SLN2	Contract lifecycle management (Optional)	Level 3	F	F	F
TEN2	Financial management	Level 3	F	F	L+
TRN1	People mobilization	Level 3	F	F	F
TRN2	Infrastructure set-up — technology (Optional)	Level 3	F	F	F
TRN3	Infrastructure set-up — non-technology (Optional)	Level 3	F	F	F
OEN5	Infrastructure and technology management	Level 3	F	F	F
OEN1	Transaction quality management	Level 3	F	F	F
OEN6	Work environment management	Level 3	F	F	F
RLS1	Customer relations management	Level 3	F	F	F
RLS2	Supplier management (Optional)	Level 3	F	F	F
SDL2	Service delivery reporting	Level 3	F	F	F
SDL3	Service level management	Level 3	F	F	F
TEN3	Change management	Level 3	F	F	F
TEN5	Business continuity management	Level 3	F	F	F
TEN6	Audit management	Level 3	F	F	F
TEN9	Communication management	Level 3	F	F	F
TEN10	Documentation management	Level 3	F	F	F
TRN5	Service delivery planning	Level 3	F	F	F
TRN6	Pilot implementation (Optional)	Level 3	F	F	L+
TRO1	Transition out (Optional)	Level 3	F	F	F
TEN7	Risk management	Level 3	F	F	F
OEN7	Issue management	Level 3	F	F	L+

Table 5 (continued)

Process ID	Process areas	Process capability	PA 1.1	PA 2.1 and 2.2	PA 3.1, 3.2 and 3.3
TEN1	Management review	Level 3	F	F	F
TEN4	Knowledge management (Optional)	Level 3	F	F	F
TRN4	Knowledge transfer	Level 3	F	F	L+

### 10.5 Maturity level 4

Achievement of ratings for listed process set at Level 4 are listed in [Table 6](#).

Table 6 — Maturity level 4 PA ratings

Process ID	Process areas	Process capability	PA 1.1	PA 2.1 and 2.2	PA 3.1, 3.2 and 3.3	PA 4.1 and 4.2
OEN2	Information security management (Optional)	Level 4	F	F	F	F
OEN3	Compliance management (Conditionally required)	Level 4	F	F	F	F
OEN4	Human resource management	Level 4	F	F	F	F
SDL1	Service delivery execution	Level 4	F	F	F	F
SDL4	Business process management	Level 4	F	F	F	F
SLN1	Solution development (Optional)	Level 4	F	F	F	F
SLN2	Contract lifecycle management (Optional)	Level 4	F	F	F	F
TEN2	Financial management	Level 4	F	F	F	F
TRN1	People mobilization	Level 4	F	F	F	F
TRN2	Infrastructure set-up — technology (Optional)	Level 4	F	F	F	—
TRN3	Infrastructure set-up — non-technology (Optional)	Level 4	F	F	F	—
OEN5	Infrastructure and technology management	Level 4	F	F	F	F
OEN1	Transaction quality management	Level 4	F	F	F	—
OEN6	Work environment management	Level 4	F	F	F	F
RLS1	Customer relations management	Level 4	F	F	F	F
RLS2	Supplier management (Optional)	Level 4	F	F	F	F

Table 6 (continued)

Process ID	Process areas	Process capability	PA 1.1	PA 2.1 and 2.2	PA 3.1, 3.2 and 3.3	PA 4.1 and 4.2
SDL2	Service delivery reporting	Level 4	F	F	F	F
SDL3	Service level management	Level 4	F	F	F	F
TEN3	Change management	Level 4	F	F	F	F
TEN5	Business continuity management	Level 4	F	F	F	F
TEN6	Audit management	Level 4	F	F	F	—
TEN9	Communication management	Level 4	F	F	F	—
TEN10	Documentation management	Level 4	F	F	F	—
TRN5	Service delivery planning	Level 4	F	F	F	F
TRN6	Pilot implementation (Optional)	Level 4	F	F	F	F
TRO1	Transition out (Optional)	Level 4	F	F	F	—
TEN7	Risk management	Level 4	F	F	F	F
OEN7	Issue management	Level 4	F	F	F	F
TEN1	Management review	Level 4	F	F	F	F
TEN4	Knowledge management (Optional)	Level 4	F	F	F	F
TRN4	Knowledge transfer	Level 4	F	F	F	F
TEN8	Continual improvement	Level 4	F	F	F	L+
SEN1	Strategic planning and direction setting	Level 4	F	F	F	F

NOTE Some of the processes are not needed at level 4 as a part of the process profile for level 4.

### 10.6 Maturity level 5

Achievement of ratings for listed process set at Level 5 are listed in [Table 7](#).

Table 7 — Maturity level 5 PA ratings

Process ID	Process areas	Process capability	PA 1.1	PA 2.1 and 2.2	PA 3.1, 3.2 and 3.3	PA 4.1 and 4.2	PA 5.1
OEN2	Information security management (Optional)	Level 5	F	F	F	F	F

Table 7 (continued)

Process ID	Process areas	Process capability	PA 1.1	PA 2.1 and 2.2	PA 3.1, 3.2 and 3.3	PA 4.1 and 4.2	PA 5.1
OEN3	Compliance management (Conditionally required)	Level 5	F	F	F	F	—
OEN4	Human resource management	Level 5	F	F	F	F	—
SDL1	Service delivery execution	Level 5	F	F	F	F	F
SDL4	Business process management	Level 5	F	F	F	F	F
SLN1	Solution development (Optional)	Level 5	F	F	F	F	F
SLN2	Contract life-cycle management (Optional)	Level 5	F	F	F	F	F
TEN2	Financial management	Level 5	F	F	F	F	—
TRN1	People mobilization	Level 5	F	F	F	F	F
TRN2	Infrastructure set-up — technology (Optional)	Level 5	F	F	F	—	—
TRN3	Infrastructure set-up — non-technology (Optional)	Level 5	F	F	F	—	—
OEN5	Infrastructure and technology management	Level 5	F	F	F	F	F
OEN1	Transaction quality management	Level 5	F	F	F	—	—
OEN6	Work environment management	Level 5	F	F	F	F	—
RLS1	Customer relations management	Level 5	F	F	F	F	—
RLS2	Supplier management (Optional)	Level 5	F	F	F	F	—
SDL2	Service delivery reporting	Level 5	F	F	F	F	—
SDL3	Service level management	Level 5	F	F	F	F	—

Table 7 (continued)

Process ID	Process areas	Process capability	PA 1.1	PA 2.1 and 2.2	PA 3.1, 3.2 and 3.3	PA 4.1 and 4.2	PA 5.1
TEN3	Change management	Level 5	F	F	F	F	—
TEN5	Business continuity management	Level 5	F	F	F	F	—
TEN6	Audit management	Level 5	F	F	F	—	—
TEN9	Communication management	Level 5	F	F	F	—	—
TEN10	Documentation management	Level 5	F	F	F	—	—
TRN5	Service delivery planning	Level 5	F	F	F	F	—
TRN6	Pilot implementation (Optional)	Level 5	F	F	F	F	—
TRO1	Transition out (Optional)	Level 5	F	F	F	—	—
TEN7	Risk management	Level 5	F	F	F	F	—
OEN7	Issue management	Level 5	F	F	F	F	F
TEN1	Management review	Level 5	F	F	F	F	—
TEN4	Knowledge management (Optional)	Level 5	F	F	F	F	F
TRN4	Knowledge transfer	Level 5	F	F	F	F	—
TEN8	Continual improvement	Level 5	F	F	F	F	F
SEN1	Strategic planning and direction setting	Level 5	F	F	F	F	—
SEN2	Innovation management	Level 5	F	F	F	F	F

NOTE 1 Some of the processes are not needed at level 4 and 5 as a part of the process profile for level 5.

## 11 Conditions for inclusion of process areas

A basic or extended process set will include processes that are required for assessments with a particular scope of application. These additional processes can be optional or conditional depending on the particular circumstances of the organization. Conditions for inclusion or exclusion are listed in [Table 8](#).

Table 8 — Conditions for inclusion or exclusion

Maturity level	Process ID	Process	Additional processes	Conditions
1	OEN2	Information security management	Yes	<b>Optional</b> where business processes are performed within customer infrastructure and/or technology, and outsourcer does not have contracted requirements for information security.
1	OEN3	Compliance management	Yes	<b>Conditionally required</b> where outsourcer has legal, regulatory, statutory, contractual or organizational responsibilities for compliance, beyond the control of the customer.
1	OEN4	Human resource management	No	—
1	SDL1	Service delivery execution	No	—
1	SDL4	Business process management	No	—
1	SLN1	Solution development	Yes	<b>Optional</b> where the delivery is directly transitioned without any change to the processes or the tools.
1	SLN2	Contract lifecycle management	Yes	<b>Optional</b> for internal service providers where there may not be a formal contract.
1	TEN2	Financial management	No	—
1	TRN1	People mobilization	No	—
1	TRN2	Infrastructure set up — Technology	Yes	<b>Optional</b> for internal service providers where the set-up can be pre-existent.
1	TRN3	Infrastructure set up — Non-technology	Yes	<b>Optional</b> for internal service providers where the set-up can be pre-existent.
2	OEN5	Infrastructure and technology management	No	—
2	OEN1	Transaction quality management	No	—
2	OEN6	Work environment management	No	—
2	RLS1	Customer relations management	No	—
2	RLS2	Supplier management	Yes	<b>Optional</b> where no suppliers are engaged directly.
2	SDL2	Service delivery reporting	No	—
2	SDL3	Service level management	No	—
2	TEN3	Change management	No	—
2	TEN5	Business continuity management	No	—
2	TEN6	Audit management	No	—
2	TEN9	Communication management	No	—
2	TEN10	Documentation management	No	—
2	TRN5	Service delivery planning	No	—

Table 8 (continued)

Maturity level	Process ID	Process	Additional processes	Conditions
2	TRN6	Pilot implementation	Yes	<b>Optional</b> where processes and resources are transferred from customer to outsourcer, or where processes have no changes or no additional training is needed.
2	TRO1	Transition out	Yes	<b>Optional</b> where no transition out activities occur in the scope of the assessment.
3	TEN7	Risk management	No	—
3	OEN7	Issue management	No	—
3	TEN1	Management review	No	—
3	TRN4	Knowledge transfer	Yes	<b>Optional</b> where business processes are performed on-site and responsible resources are transferred from customer to outsourcer.
3	TEN4	Knowledge management	No	—
4	TEN8	Continual improvement	No	—
4	SEN1	Strategic planning and direction setting	No	—
5	SEN2	Innovation management	No	—

For the processes selected as additional-optional in a previous assessment, the applicability will be re-evaluated in the subsequent cycle of assessment.

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