

## Peer Reviews (PR) Policy

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### PR policy checklist

The project follows a written organizational policy for performing peer reviews (L3-94, C1). This policy typically specifies that:

√	Description	References
	The organization identifies a standard set of software work products that will undergo peer review. (L3-94, C1, 1)	
	Each project identifies the software work products that will undergo peer review. (L3-94, C1, 2)	
	Peer reviews are led by trained <b>peer review leaders</b> . (L3-94, C1, 3)	
	Peer reviews focus on the software work product being reviewed and not on the producer. (L3-94, C1, 4)	
	Results of the peer reviews are not used by <b>management</b> to evaluate the performance of individuals. (L3-94, C1, 5)	

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**PR policy goals** Implementation of an effective Peer Reviews policy has the following results:

√	Results of Effectively Implementing PR Policy	References
	Peer reviews are planned. (L3-93, G1)	
	Defects in the software work products are identified and removed. (L3-93, G2)	

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# Intergroup Coordination (IC) Policy

## IC policy checklist

The project follows a written organizational policy for establishing interdisciplinary engineering teams (L3-84, C1). This policy typically specifies that:

√	Description	References
	The system requirements and project-level objectives for the project are defined and reviewed by all <b>affected groups</b> . (L3-84, C1, 1)	
	The <b>engineering groups</b> coordinate their plans and objectives. (L3-84, C1, 2)	
	<b>Managers</b> are responsible for establishing and maintaining an environment to facilitate interaction, coordination, support, and teamwork between the project's engineering groups, between the project and the customer or end users, as appropriate, and throughout the organization. (L3-85, C1, 3)	

## IC policy goals

Implementation of an effective intergroup coordination policy has the following results:

√	Results of Effectively Implementing IGC Policy	References
	The customer's requirements are agreed to by all <b>affected groups</b> . (L3-84, G1)	
	The commitments between the <b>engineering groups</b> are agreed to by the <b>affected groups</b> . (L3-84, G2)	
	The <b>engineering groups</b> identify, track, and resolve intergroup issues. (L3-84, G3)	

# Software Product Engineering (SPE) Policy

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## SPE policy checklist

The project follows a written organizational policy for performing the software engineering activities (L3-60, C1). This policy typically specifies that:

√	Description	References
	The software engineering tasks are performed in accordance with the project's defined software process. (L3-60, C1, 1)	
	Appropriate methods and tools are used to build and maintain the software products. (L3-60, C1, 2)	
	The software plans, tasks, and products are traceable to the system requirements allocated to software. (L3-60, C1, 3)	

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## SPE policy goals

Implementation of an effective software product engineering policy has the following results:

√	Results of Effectively Implementing SPE Policy	References
	The software engineering tasks are defined, integrated, and consistently performed to produce the software. (L3-60, G1)	
	Software work products are kept consistent with each other. (L3-60, G2)	

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# Integrated Software Management (ISM) Policy

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## ISM policy checklist

The project follows a written organizational policy requiring that the software project be planned and managed using the organization's standard software process and related process assets (L3-38, C1). This policy typically specifies that:

√	Description	References
	Each project documents the project's defined software process by tailoring the organization's standard software process. (L3-39, C1, 1)	
	The project's deviations from the organization's standard software process are documented and approved. (L3-39, C1, 2)	
	Each project performs its software activities in accordance with the project's defined software process. (L3-39, C1, 3)	
	Each project collects and stores appropriate project measurement data in the organization's software process database. (L3-39, C1, 4)	

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## ISM policy goals

Implementation of an effective integrated software management policy has the following results:

√	Results of Effectively Implementing ISM Policy	References
	The project's defined software process is a tailored version of the organization's standard software process. (L3-38, G1)	
	The project is planned and managed according to the project's defined software process. (L3-38, G2)	

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# Training Program (TP) Policy

## TP policy checklist

The organization follows a written policy for meeting its training needs (L3-26, C1). This policy typically specifies that:

√	Description	References
	The needed skills and knowledge for each software management and technical role are identified. (L3-26, C1, 1)	
	Training vehicles for imparting skills and knowledge are identified and approved. (L3-26, C1, 2)	
	Training is provided to build the skill base of the organization, to fill the specific needs of the projects, and to develop the skills of individuals. (L3-26, C1, 3)	
	Training is developed within the organization or obtained from outside the organization when appropriate. (L3-26, C1, 4)	

**TP policy goals** Implementation of an effective training program policy has the following results:

√	Results of Effectively Implementing TP Policy	References
	Training activities are planned. (L3-25, G1)	
	Training for developing the skills and knowledge needed to perform software management and technical roles is provided. (L3-25, G2)	
	<b>Individuals in the software engineering group and software-related groups</b> receive the training necessary to perform their roles. (L3-26, G3)	

# Organization Process Definition (OPD) Policy

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## OPD policy checklist

The organization follows a written policy for developing and maintaining a standard software process and related process assets (L3-12, C1). This policy typically specifies that:

√	Description	References
	A standard software process is defined for the organization. (L3-12, C1, 1)	
	A project's defined software process is a tailored version of the organization's standard software process. (L3-13, C1, 2)	
	The organization's software process assets are maintained. (L3-13, C1, 3)	
	Information collected from the projects is organized and used to improve the organization's standard software process. (L3-13, C1, 4)	

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## OPD policy goals

Implementation of an effective organizational process definition policy has the following results:

√	Results of Effectively Implementing OPD Policy	References
	A standard software process for the organization is developed and maintained. (L3-12, G1)	
	Information related to the use of the organization's standard software process by the software projects is collected, reviewed, and made available. (L3-12, G2)	

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## Organization Process Focus (OPF) Policy

### OPF policy checklist

The organization follows a written organizational policy for coordinating software process development and improvement activities across the organization (L3-2, C1). This policy typically specifies that:

√	Description	References
	A group is established that is responsible for the organization-level software process activities and coordinating these activities with the projects. (L3-2, C1, 1)	
	The software processes used by the projects are assessed periodically to determine their strengths and weaknesses. (L3-2, C1, 2)	
	The software processes used by the projects are appropriately tailored from the organization's standard software process. (L3-2, C1, 3)	
	Improvements to, and other useful information on, each project's software process, tools, and methods are available to other projects. (L3-2, C1, 4)	

### OPF policy goals

Implementation of an effective organizational process focus policy has the following results:

√	Results of Effectively Implementing OPF Policy	References
	Software process development and improvement activities are coordinated across the organization. (L3-1, G1)	
	The strengths and weaknesses of the software processes used are identified relative to the process standard. (L3-2, G2)	
	Organization-level process development and improvement activities are planned. (L3-2, G3)	

# Level 3 Policy Checklists

## Overview

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**Introduction** This section describes the explicit policies found in the Capability Maturity Model at maturity level 3.

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**Purpose** The purpose of the policy checklists is to provide:

- Guidance in identifying which policies are recommended by the CMM at level 3.
- Criteria that an organization can use to evaluate its software policies to determine if they are consistent with the CMM at level 3.
- Information that can be used to develop software policies so that they are consistent with the CMM at level 3.

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**Checklist description** Each checklist contains two subsections: the KPA policies and the KPA goals. The table below describes these two subsections of a policy checklist.

Subsection	Description
Policy checklist	This subsection contains criteria that the organizational policy can be evaluated against. These criteria must be addressed by organizational policy to be consistent with the CMM.
Policy goals	This subsection is a reminder to policy designers and evaluators to keep in mind the KPA goals when developing the policies for each KPA. The goals can be thought of as the results of implementing an effective policy.

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**In this section** This section covers the following policies:

Policies	See Page
Organization process focus policy	L3-Policy-2
Organization process definition policy	L3-Policy-3
Training program policy	L3-Policy-4
Integrated software management policy	L3-Policy-5
Software product engineering policy	L3-Policy-6
Intergroup coordination policy	L3-Policy-7
Peer reviews policy	L3-Policy-8

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