

Level 5 Policy Checklists

Overview

Introduction This section describes the explicit policies found in the Capability Maturity Model at maturity level 5.

Purpose The purpose of the policy checklists is to provide:

- Guidance in identifying which policies are recommended by the CMM at level 5.
- Criteria that an organization can use to evaluate its software policies to determine if they are consistent with the CMM at level 5.
- Information that can be used to develop software policies so that they are consistent with the CMM at level 5.

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.

In this section This section covers the following policies:

Policies	See Page
Defect prevention policies	L5-Policy-2
Technology change management policy	L5-Policy-3
Process change management policy	L5-Policy-4

Defect Prevention (DP) Policies

DP policy 1 checklist

The organization follows a written policy for defect prevention activities (L5-2, C1). This policy typically specifies that:

√	Description	References
	Long-term plans and commitments are established for funding, staffing, and other resources for defect prevention. (L5-2, C1, 1)	
	The resources needed are allocated for the defect prevention activities. (L5-2, C1, 2)	
	Defect prevention activities are implemented across the organization to improve the software processes and products. (L5-2, C1, 3)	
	The results of the defect prevention activities are reviewed to ensure the effectiveness of those activities. (L5-2, C1, 4)	
	Management and technical actions identified as a result of the defect prevention activities are addressed. (L5-2, C1, 5)	

DP policy 2 checklist

The project follows a written organizational policy for defect prevention activities (L5-2, C2). This policy typically specifies that:

√	Description	References
	Defect prevention activities are included in each project's software development plan. (L5-3, C2, 1)	
	The resources needed are allocated for the defect prevention activities. (L5-3, C2, 2)	
	Project management and technical actions identified as a result of the defect prevention activities are addressed. (L5-3, C2, 3)	

DP policy goals

Implementation of effective defect prevention policies has the following results:

√	Results of Effectively Implementing DP Policies	References
	Defect prevention activities are planned. (L5-2, G1)	
	Common causes of defects are sought out and identified. (L5-2, G2)	
	Common causes of defects are prioritized and systematically eliminated. (L5-2, G3)	

Technology Change Management (TCM) Policy

TCM policy checklist

The organization follows a written policy for improving its technology capability (L5-18, C1). This policy typically specifies that:

√	Description	References
	Objectives for technology change management are established and documented. (L5-18, C1, 1)	
	A documented plan addresses the objectives for technology change management. (L5-19, C1, 2)	

TCM policy goals

Implementation of an effective technology change management policy has the following results:

√	Results of Effectively Implementing TCM Policy	References
	Incorporation of technology changes are planned. (L5-18, G1)	
	New technologies are evaluated to determine their effect on quality and productivity. (L5-18, G2)	
	Appropriate new technologies are transferred into normal practice across the organization. (L5-18, G3)	

Process Change Management (PCM) Policy

PCM policy checklist

The organization follows a written policy for implementing software process improvements (L5-32, C1). This policy typically specifies that:

√	Description	References
	The organization has quantitative, measurable goals for software process improvement and tracks performance against these goals. (L5-32, C1, 1)	
	The organization's process improvements are directed toward improving product quality, increasing productivity, and decreasing the cycle time for product development. (L5-32, C1, 2)	
	All of the organization's staff and managers are expected to participate in improving the software processes. (L5-32, C1, 3)	

PCM policy goals

Implementation of an effective process change management policy has the following results:

√	Results of Effectively Implementing PCM Policy	References
	Continuous process improvement is planned. (L5-32, G1)	
	Participation in the organization's software process improvement activities is organization wide. (L5-32, G2)	
	The organization's standard software process and the projects' defined software processes are improved continuously. (L5-32, G3)	