Generic Goals and Generic Practices

GG 1   Achieve Specific Goals

The process supports and enables achievement of the specific goals of the process area by transforming identifiable input work products to produce identifiable output work products.

> **GP 1.1   Perform Specific Practices**
>
> *Perform the specific practices of the process area to develop work products and provide services to achieve the specific goals of the process area.*

GG 2   Institutionalize a Managed Process

The process is institutionalized as a managed process.

> **GP 2.1   Establish an Organizational Policy**
>
> *Establish and maintain an organizational policy for planning and performing the process.*
>
> **GP 2.2   Plan the Process**
>
> *Establish and maintain the plan for performing the process.*
>
> **GP 2.3   Provide Resources**
>
> *Provide adequate resources for performing the process, developing the work products, and providing the services of the process.*
>
> **GP 2.4   Assign Responsibility**
>
> *Assign responsibility and authority for performing the process, developing the work products, and providing the services of the process.*
>
> **GP 2.5   Train People**
>
> *Train the people performing or supporting the process as needed.*
>
> **GP 2.6   Manage Configurations**
>
> *Place designated work products of the process under appropriate levels of control.*
>
> **GP 2.7   Identify and Involve Relevant Stakeholders**
>
> *Identify and involve the relevant stakeholders of the process as planned.*

GP 2.8	**Monitor and Control the Process**	

Monitor and control the process against the plan for performing the process and take appropriate corrective action.

GP 2.9	**Objectively Evaluate Adherence**	

Objectively evaluate adherence of the process against its process description, standards, and procedures, and address noncompliance.

GP 2.10	**Review Status with Higher Level Management**	

Review the activities, status, and results of the process with higher level management and resolve issues.

GG 3   **Institutionalize a Defined Process**

The process is institutionalized as a defined process.

GP 3.1   **Establish a Defined Process**

Establish and maintain the description of a defined process.

GP 3.2   **Collect Improvement Information**

Collect work products, measures, measurement results, and improvement information derived from planning and performing the process to support the future use and improvement of the organization's processes and process assets.

GG 4   **Institutionalize a Quantitatively Managed Process**

The process is institutionalized as a quantitatively managed process.

GP 4.1   **Establish Quantitative Objectives for the Process**

Establish and maintain quantitative objectives for the process, which address quality and process performance, based on customer needs and business objectives.

GP 4.2   **Stabilize Subprocess Performance**

Stabilize the performance of one or more subprocesses to determine the ability of the process to achieve the established quantitative quality and process-performance objectives.

GG 5   **Institutionalize an Optimizing Process**

The process is institutionalized as an optimizing process.

GP 5.1   **Ensure Continuous Process Improvement**

Ensure continuous improvement of the process in fulfilling the relevant business objectives of the organization.

GP 5.2   Correct Root Causes of Problems

Identify and correct the root causes of defects and other problems in the process.

CAPACITY AND AVAILABILITY MANAGEMENT

A Project Management Process Area at Maturity Level 3

Purpose

The purpose of Capacity and Availability Management (CAM) is to ensure effective service system performance and ensure that resources are provided and used effectively to support service requirements.

SG 1   **Prepare for Capacity and Availability Management**

Preparation for capacity and availability management is conducted.

SP 1.1   **Establish a Capacity and Availability Management Strategy**

Establish and maintain a strategy for capacity and availability management.

SP 1.2   **Select Measures and Analytic Techniques**

Select measures and analytic techniques to be used in managing the capacity and availability of the service system.

SP 1.3   **Establish Service System Representations**

Establish and maintain service system representations to support capacity and availability management.

SG 2   **Monitor and Analyze Capacity and Availability**

Capacity and availability are monitored and analyzed to manage resources and demand.

SP 2.1   **Monitor and Analyze Capacity**

Monitor and analyze capacity against thresholds.

SP 2.2   **Monitor and Analyze Availability**

Monitor and analyze availability against targets.

SP 2.3   **Report Capacity and Availability Management Data**

Report capacity and availability management data to relevant stakeholders.

CAUSAL ANALYSIS AND RESOLUTION

A Support Process Area at Maturity Level 5

Purpose

The purpose of Causal Analysis and Resolution (CAR) is to identify causes of defects and problems and take action to prevent them from occurring in the future.

SG 1   Determine Causes of Defects and Problems

Root causes of defects and problems are systematically determined.

SP 1.1   Select Defects and Problems

Select defects and problems for analysis.

SP 1.2   Analyze Causes

Perform causal analysis of selected defects and problems and propose actions to address them.

SG 2   Address Causes of Defects and Problems

Root causes of defects and problems are systematically addressed to prevent their future occurrence.

SP 2.1   Implement Action Proposals

Implement selected action proposals developed in causal analysis.

SP 2.2   Evaluate the Effect of Changes

Evaluate the effect of changes on process performance.

SP 2.3   Record Data

Record causal analysis and resolution data for use across the project and organization.

CONFIGURATION MANAGEMENT

A Support Process Area at Maturity Level 2

Purpose

The purpose of Configuration Management (CM) is to establish and maintain the integrity of work products using configuration identification, configuration control, configuration status accounting, and configuration audits.

SG 1 Establish Baselines

Baselines of identified work products are established.

SP 1.1 Identify Configuration Items

Identify configuration items, components, and related work products to be placed under configuration management.

SP 1.2 Establish a Configuration Management System

Establish and maintain a configuration management and change management system for controlling work products.

SP 1.3 Create or Release Baselines

Create or release baselines for internal use and for delivery to the customer.

SG 2 Track and Control Changes

Changes to the work products under configuration management are tracked and controlled.

SP 2.1 Track Change Requests

Track change requests for configuration items.

SP 2.2 Control Configuration Items

Control changes to configuration items.

SG 3 Establish Integrity

Integrity of baselines is established and maintained.

SP 3.1 Establish Configuration Management Records

Establish and maintain records describing configuration items.

SP 3.2 Perform Configuration Audits

Perform configuration audits to maintain the integrity of configuration baselines.

DECISION ANALYSIS AND RESOLUTION

A Support Process Area at Maturity Level 3

Purpose

The purpose of Decision Analysis and Resolution (DAR) is to analyze possible decisions using a formal evaluation process that evaluates identified alternatives against established criteria.

SG 1   Evaluate Alternatives

Decisions are based on an evaluation of alternatives using established criteria.

SP 1.1   Establish Guidelines for Decision Analysis

Establish and maintain guidelines to determine which issues are subject to a formal evaluation process.

SP 1.2   Establish Evaluation Criteria

Establish and maintain criteria for evaluating alternatives, and the relative ranking of these criteria.

SP 1.3   Identify Alternative Solutions

Identify alternative solutions to address issues.

SP 1.4   Select Evaluation Methods

Select evaluation methods.

SP 1.5   Evaluate Alternatives

Evaluate alternative solutions using established criteria and methods.

SP 1.6   Select Solutions

Select solutions from alternatives based on evaluation criteria.

INTEGRATED PROJECT MANAGEMENT

A Project Management Process Area at Maturity Level 3

Purpose

The purpose of Integrated Project Management (IPM) is to establish and manage the project and the involvement of relevant stakeholders according to an integrated and defined process that is tailored from the organization's set of standard processes.

SG 1   **Use the Project's Defined Process**

The project is conducted using a defined process tailored from the organization's set of standard processes.

     SP 1.1   **Establish the Project's Defined Process**

Establish and maintain the project's defined process from project startup through the life of the project.

     SP 1.2   **Use Organizational Process Assets for Planning Project Activities**

Use organizational process assets and the measurement repository for estimating and planning project activities.

     SP 1.3   **Establish the Project's Work Environment**

Establish and maintain the project's work environment based on the organization's work environment standards.

     SP 1.4   **Integrate Plans**

Integrate the project plan and other plans that affect the project to describe the project's defined process.

     SP 1.5   **Manage the Project Using Integrated Plans**

Manage the project using the project plan, other plans that affect the project, and the project's defined process.

     SP 1.6   **Establish Integrated Teams**

Establish and maintain integrated teams.

     SP 1.7   **Contribute to Organizational Process Assets**

Contribute work products, measures, and documented experiences to organizational process assets.

SG 2   **Coordinate and Collaborate with Relevant Stakeholders**

Coordination and collaboration between the project and relevant stakeholders are conducted.

SP 2.1   **Manage Stakeholder Involvement**

Manage the involvement of relevant stakeholders in the project.

SP 2.2   **Manage Dependencies**

Participate with relevant stakeholders to identify, negotiate, and track critical dependencies.

SP 2.3   **Resolve Coordination Issues**

Resolve issues with relevant stakeholders.

INCIDENT RESOLUTION AND PREVENTION

A Service Establishment and Delivery Process Area at Maturity Level 3

Purpose

The purpose of Incident Resolution and Prevention (IRP) is to ensure timely and effective resolution of service incidents and prevention of service incidents as appropriate.

SG 1   Prepare for Incident Resolution and Prevention

Preparation for incident resolution and prevention is conducted.

     SP 1.1   Establish an Approach to Incident Resolution and Prevention

Establish and maintain an approach to incident resolution and prevention.

     SP 1.2   Establish an Incident Management System

Establish and maintain an incident management system for processing and tracking incident information.

SG 2   Identify, Control, and Address Incidents

Incidents are identified, controlled, and addressed.

     SP 2.1   Identify and Record Incidents

Identify incidents and record information about them.

     SP 2.2   Analyze Incident Data

Analyze incident data to determine the best course of action.

     SP 2.3   Apply Workarounds to Selected Incidents

Apply workarounds to selected incidents.

     SP 2.4   Address Underlying Causes of Selected Incidents

Address underlying causes of selected incidents.

     SP 2.5   Monitor the Status of Incidents to Closure

Monitor the status of incidents to closure and escalate if necessary.

     SP 2.6   Communicate the Status of Incidents

Communicate the status of incidents.

SG 3   **Define Approaches to Address Selected Incidents**

Approaches to address selected incidents are defined to prevent the future occurrence of incidents or mitigate their impact.

     SP 3.1   **Analyze Selected Incident Data**

     Select and analyze the underlying causes of incidents.

     SP 3.2   **Plan Actions to Address Underlying Causes of Selected Incidents**

     Identify the underlying causes of selected incidents and create an action proposal to address these causes.

     SP 3.3   **Establish Workarounds for Selected Incidents**

     Establish and maintain workarounds for selected incidents.

MEASUREMENT AND ANALYSIS

A Support Process Area at Maturity Level 2

Purpose

The purpose of Measurement and Analysis (MA) is to develop and sustain a measurement capability used to support management information needs.

SG 1   **Align Measurement and Analysis Activities**

Measurement objectives and activities are aligned with identified information needs and objectives.

SP 1.1   **Establish Measurement Objectives**

Establish and maintain measurement objectives derived from identified information needs and objectives.

SP 1.2   **Specify Measures**

Specify measures to address measurement objectives.

SP 1.3   **Specify Data Collection and Storage Procedures**

Specify how measurement data is obtained and stored.

SP 1.4   **Specify Analysis Procedures**

Specify how measurement data are analyzed and communicated.

SG 2   **Provide Measurement Results**

Measurement results, which address identified information needs and objectives, are provided.

SP 2.1   **Obtain Measurement Data**

Obtain specified measurement data.

SP 2.2   **Analyze Measurement Data**

Analyze and interpret measurement data.

SP 2.3   **Store Data and Results**

Manage and store measurement data, measurement specifications, and analysis results.

SP 2.4   Communicate Results

Communicate results of measurement and analysis activities to all relevant stakeholders.

ORGANIZATIONAL INNOVATION AND DEPLOYMENT

A Process Management Process Area at Maturity Level 5

Purpose

The purpose of Organizational Innovation and Deployment (OID) is to select and deploy incremental and innovative improvements that measurably improve the organization's processes and technologies. These improvements support the organization's quality and process-performance objectives as derived from the organization's business objectives.

SG 1   Select Improvements

Process and technology improvements, which contribute to meeting quality and process-performance objectives, are selected.

SP 1.1   Collect and Analyze Improvement Proposals

Collect and analyze process- and technology-improvement proposals.

SP 1.2   Identify and Analyze Innovations

Identify and analyze innovative improvements that could increase the organization's quality and process performance.

SP 1.3   Pilot Improvements

Pilot process and technology improvements to select which ones to implement.

SP 1.4   Select Improvements for Deployment

Select process and technology improvements for deployment across the organization.

SG 2   Deploy Improvements

Measurable improvements to the organization's processes and technologies are continually and systematically deployed.

SP 2.1   Plan the Deployment

Establish and maintain plans for deploying selected process and technology improvements.

SP 2.2   Manage the Deployment

Manage the deployment of selected process and technology improvements.

SP 2.3   Measure Improvement Effects

Measure effects of deployed process and technology improvements.

ORGANIZATIONAL PROCESS DEFINITION

A Process Management Process Area at Maturity Level 3

Purpose

The purpose of Organizational Process Definition (OPD) is to establish and maintain a usable set of organizational process assets and work environment standards.

SG 1   **Establish Organizational Process Assets**

A set of organizational process assets is established and maintained.

    SP 1.1   **Establish Standard Processes**

    Establish and maintain the organization's set of standard processes.

    SP 1.2   **Establish Lifecycle Model Descriptions**

    Establish and maintain descriptions of lifecycle models approved for use in the organization.

    SP 1.3   **Establish Tailoring Criteria and Guidelines**

    Establish and maintain tailoring criteria and guidelines for the organization's set of standard processes.

    SP 1.4   **Establish the Organization's Measurement Repository**

    Establish and maintain the organization's measurement repository.

    SP 1.5   **Establish the Organization's Process Asset Library**

    Establish and maintain the organization's process asset library.

    SP 1.6   **Establish Work Environment Standards**

    Establish and maintain work environment standards.

    SP 1.7   **Establish Rules and Guidelines for Integrated Teams**

    Establish and maintain organizational rules and guidelines for the structure, formation, and operation of integrated teams.

ORGANIZATIONAL PROCESS FOCUS

A Process Management Process Area at Maturity Level 3

Purpose

The purpose of Organizational Process Focus (OPF) is to plan, implement, and deploy organizational process improvements based on a thorough understanding of current strengths and weaknesses of the organization's processes and process assets.

SG 1   Determine Process Improvement Opportunities

Strengths, weaknesses, and improvement opportunities for the organization's processes are identified periodically and as needed.

    SP 1.1   Establish Organizational Process Needs

Establish and maintain the description of process needs and objectives for the organization.

    SP 1.2   Appraise the Organization's Processes

Appraise the organization's processes periodically and as needed to maintain an understanding of their strengths and weaknesses.

    SP 1.3   Identify the Organization's Process Improvements

Identify improvements to the organization's processes and process assets.

SG 2   Plan and Implement Process Actions

Process actions that address improvements to the organization's processes and process assets are planned and implemented.

    SP 2.1   Establish Process Action Plans

Establish and maintain process action plans to address improvements to the organization's processes and process assets.

    SP 2.2   Implement Process Action Plans

Implement process action plans.

SG 3   **Deploy Organizational Process Assets and Incorporate Experiences**

Organizational process assets are deployed across the organization and process-related experiences are incorporated into organizational process assets.

SP 3.1   **Deploy Organizational Process Assets**

Deploy organizational process assets across the organization.

SP 3.2   **Deploy Standard Processes**

Deploy the organization's set of standard processes to projects at their startup and deploy changes to them as appropriate throughout the life of each project.

SP 3.3   **Monitor the Implementation**

Monitor the implementation of the organization's set of standard processes and use of process assets on all projects.

SP 3.4   **Incorporate Experiences into Organizational Process Assets**

Incorporate process-related work products, measures, and improvement information derived from planning and performing the process into organizational process assets.

ORGANIZATIONAL PROCESS PERFORMANCE

A Process Management Process Area at Maturity Level 4

Purpose

The purpose of Organizational Process Performance (OPP) is to establish and maintain a quantitative understanding of the performance of the organization's set of standard processes in support of achieving quality and process-performance objectives, and to provide process-performance data, baselines, and models to quantitatively manage the organization's projects.

SG 1   **Establish Performance Baselines and Models**

Baselines and models, which characterize the expected process performance of the organization's set of standard processes, are established and maintained.

SP 1.1   **Select Processes**

Select processes or subprocesses in the organization's set of standard processes to be included in the organization's process-performance analyses.

SP 1.2   **Establish Process-Performance Measures**

Establish and maintain definitions of measures to be included in the organization's process-performance analyses.

SP 1.3   **Establish Quality and Process-Performance Objectives**

Establish and maintain the organization's quantitative objectives for quality and process performance.

SP 1.4   **Establish Process-Performance Baselines**

Establish and maintain the organization's process-performance baselines.

SP 1.5   **Establish Process-Performance Models**

Establish and maintain process-performance models for the organization's set of standard processes.

ORGANIZATIONAL TRAINING

A Process Management Process Area at Maturity Level 3

Purpose

The purpose of Organizational Training (OT) is to develop skills and knowledge of people so they can perform their roles effectively and efficiently.

SG 1   **Establish an Organizational Training Capability**

A training capability, which supports the organization's management and technical roles, is established and maintained.

     SP 1.1   **Establish Strategic Training Needs**

         Establish and maintain strategic training needs of the organization.

     SP 1.2   **Determine Which Training Needs Are the Responsibility of the Organization**

         Determine which training needs are the responsibility of the organization and which are left to the individual project or support group.

     SP 1.3   **Establish an Organizational Training Tactical Plan**

         Establish and maintain an organizational training tactical plan.

     SP 1.4   **Establish a Training Capability**

         Establish and maintain a training capability to address organizational training needs.

SG 2   **Provide Necessary Training**

Training necessary for individuals to perform their roles effectively is provided.

     SP 2.1   **Deliver Training**

         Deliver training following the organizational training tactical plan.

     SP 2.2   **Establish Training Records**

         Establish and maintain records of organizational training.

     SP 2.3   **Assess Training Effectiveness**

         Assess the effectiveness of the organization's training program.

PROJECT MONITORING AND CONTROL

A Project Management Process Area at Maturity Level 2

Purpose

The purpose of Project Monitoring and Control (PMC) is to provide an understanding of the project's progress so that appropriate corrective actions can be taken when the project's performance deviates significantly from the plan.

SG 1   **Monitor the Project Against the Plan**

Actual performance and progress of the project are monitored against the project plan.

     SP 1.1   **Monitor Project Planning Parameters**

Monitor actual values of project planning parameters against the project plan.

     SP 1.2   **Monitor Commitments**

Monitor commitments against those identified in the project plan.

     SP 1.3   **Monitor Project Risks**

Monitor risks against those identified in the project plan.

     SP 1.4   **Monitor Data Management**

Monitor the management of project data against the project plan.

     SP 1.5   **Monitor Stakeholder Involvement**

Monitor stakeholder involvement against the project plan.

     SP 1.6   **Conduct Progress Reviews**

Periodically review the project's progress, performance, and issues.

     SP 1.7   **Conduct Milestone Reviews**

Review the project's accomplishments and results at selected project milestones.

SG 2   **Manage Corrective Action to Closure**

Corrective actions are managed to closure when the project's performance or results deviate significantly from the plan.

SP 2.1   **Analyze Issues**

Collect and analyze issues and determine corrective actions necessary to address them.

SP 2.2   **Take Corrective Action**

Take corrective action on identified issues.

SP 2.3   **Manage Corrective Actions**

Manage corrective actions to closure.

PROJECT PLANNING

A Project Management Process Area at Maturity Level 2

Purpose

The purpose of Project Planning (PP) is to establish and maintain plans that define project activities.

SG 1   Establish Estimates

Estimates of project planning parameters are established and maintained.

SP 1.1   Establish the Project Strategy

Establish and maintain the project strategy.

SP 1.2   Estimate the Scope of the Project

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SP 2.4	Plan the Project's Resources
	Plan for necessary resources to perform the project.

SP 2.5	Plan Needed Knowledge and Skills
	Plan for knowledge and skills needed to perform the project.

SP 2.6	Plan Stakeholder Involvement
	Plan the involvement of identified stakeholders.

SP 2.7	Establish the Project Plan
	Establish and maintain the overall project plan.

SG 3	Obtain Commitment to the Plan
	Commitments to the project plan are established and maintained.

SP 3.1	Review Plans That Affect the Project
	Review all plans that affect the project to understand project commitments.

SP 3.2	Reconcile Work and Resource Levels
	Adjust the project plan to reconcile available and estimated resources.

SP 3.3	Obtain Plan Commitment
	Obtain commitment from relevant stakeholders responsible for performing and supporting plan execution.

PROCESS AND PRODUCT QUALITY ASSURANCE

A Support Process Area at Maturity Level 2

Purpose

The purpose of Process and Product Quality Assurance (PPQA) is to provide staff and management with objective insight into processes and associated work products.

SG 1   **Objectively Evaluate Processes and Work Products**

Adherence of the performed process and associated work products to applicable process descriptions, standards, and procedures is objectively evaluated.

SP 1.1   **Objectively Evaluate Processes**

Objectively evaluate designated performed processes against applicable process descriptions, standards, and procedures.

SP 1.2   **Objectively Evaluate Work Products**

Objectively evaluate designated work products against applicable process descriptions, standards, and procedures.

SG 2   **Provide Objective Insight**

Noncompliance issues are objectively tracked and communicated, and resolution is ensured.

SP 2.1   **Communicate and Ensure the Resolution of Noncompliance Issues**

Communicate quality issues and ensure the resolution of noncompliance issues with the staff and managers.

SP 2.2   **Establish Records**

Establish and maintain records of quality assurance activities.

QUANTITATIVE PROJECT MANAGEMENT

A Project Management Process Area at Maturity Level 4

Purpose

The purpose of Quantitative Project Management (QPM) is to quantitatively manage the project's defined process to achieve the project's established quality and process-performance objectives.

SG 1　　**Quantitatively Manage the Project**

The project is quantitatively managed using quality and process-performance objectives.

　　SP 1.1　　**Establish the Project's Objectives**

　　Establish and maintain the project's quality and process-performance objectives.

　　SP 1.2　　**Compose the Defined Process**

　　Select subprocesses that compose the project's defined process based on historical stability and capability data.

　　SP 1.3　　**Select Subprocesses to Be Statistically Managed**

　　Select subprocesses of the project's defined process to be statistically managed.

　　SP 1.4　　**Manage Project Performance**

　　Monitor the project to determine whether the project's objectives for quality and process performance will be satisfied, and identify corrective action as appropriate.

SG 2　　**Statistically Manage Subprocess Performance**

The performance of selected subprocesses within the project's defined process is statistically managed.

　　SP 2.1　　**Select Measures and Analytic Techniques**

　　Select measures and analytic techniques to be used in statistically managing selected subprocesses.

　　SP 2.2　　**Apply Statistical Methods to Understand Variation**

　　Establish and maintain an understanding of the variation of selected subprocesses using selected measures and analytic techniques.

SP 2.3   **Monitor the Performance of Selected Subprocesses**

Monitor the performance of selected subprocesses to determine their capability to satisfy their quality and process-performance objectives, and identify corrective action as necessary.

SP 2.4   **Record Statistical Management Data**

Record statistical and quality management data in the organization's measurement repository.

REQUIREMENTS MANAGEMENT

A Project Management Process Area at Maturity Level 2

Purpose

The purpose of Requirements Management (REQM) is to manage requirements of the project's products and product components and to identify inconsistencies between those requirements and the project's plans and work products.

SG 1   **Manage Requirements**

Requirements are managed and inconsistencies with project plans and work products are identified.

    SP 1.1   **Understand Requirements**

    Develop an understanding with the requirements providers on the meaning of the requirements.

    SP 1.2   **Obtain Commitment to Requirements**

    Obtain commitment to requirements from project participants.

    SP 1.3   **Manage Requirements Changes**

    Manage changes to requirements as they evolve during the project.

    SP 1.4   **Maintain Bidirectional Traceability of Requirements**

    Maintain bidirectional traceability among requirements and work products.

    SP 1.5   **Identify Inconsistencies Between Project Work and Requirements**

    Identify inconsistencies between the project plans and work products and the requirements.

RISK MANAGEMENT

A Project Management Process Area at Maturity Level 3

Purpose

The purpose of Risk Management (RSKM) is to identify potential problems before they occur so that risk-handling activities can be planned and invoked as needed across the life of the product or project to mitigate adverse impacts on achieving objectives.

SG 1   Prepare for Risk Management

Preparation for risk management is conducted.

    SP 1.1   Determine Risk Sources and Categories

    Determine risk sources and categories.

    SP 1.2   Define Risk Parameters

    Define parameters used to analyze and categorize risks and to control the risk management effort.

    SP 1.3   Establish a Risk Management Strategy

    Establish and maintain the strategy to be used for risk management.

SG 2   Identify and Analyze Risks

Risks are identified and analyzed to determine their relative importance.

    SP 2.1   Identify Risks

    Identify and document risks.

    SP 2.2   Evaluate, Categorize, and Prioritize Risks

    Evaluate and categorize each identified risk using defined risk categories and parameters, and determine its relative priority.

SG 3   Mitigate Risks

Risks are handled and mitigated as appropriate to reduce adverse impacts on achieving objectives.

    SP 3.1   Develop Risk Mitigation Plans

    Develop a risk mitigation plan for the most important risks to the project as defined by the risk management strategy.

    SP 3.2   Implement Risk Mitigation Plans

    Monitor the status of each risk periodically and implement the risk mitigation plan as appropriate.

SUPPLIER AGREEMENT MANAGEMENT

A Project Management Process Area at Maturity Level 2

Purpose

The purpose of Supplier Agreement Management (SAM) is to manage the acquisition of products and services from suppliers.

SG 1   Establish Supplier Agreements

Agreements with the suppliers are established and maintained.

SP 1.1   Determine Acquisition Type

Determine the type of acquisition for each product or product component to be acquired.

SP 1.2   Select Suppliers

Select suppliers based on an evaluation of their ability to meet the specified requirements and established criteria.

SP 1.3   Establish Supplier Agreements

Establish and maintain supplier agreements.

SG 2   Satisfy Supplier Agreements

Agreements with suppliers are satisfied by both the project and the supplier.

SP 2.1   Execute the Supplier Agreement

Perform activities with the supplier as specified in the supplier agreement.

SP 2.2   Monitor Selected Supplier Processes

Select, monitor, and analyze processes used by the supplier.

SP 2.3   Evaluate Selected Supplier Work Products

Select and evaluate work products from the supplier.

SP 2.4   Accept the Acquired Product

Ensure that the supplier agreement is satisfied before accepting the acquired product.

SP 2.5   Ensure Transition of Products

Ensure the transition of acquired products from the supplier to the project as appropriate.

SERVICE CONTINUITY

A Project Management Process Area at Maturity Level 3

Purpose

The purpose of Service Continuity (SCON) is to establish and maintain plans to ensure continuity of services during and following any significant disruption of normal operations.

SG 1   **Identify Essential Service Dependencies**

The essential functions and resources on which services depend are identified and documented.

    SP 1.1   **Identify and Prioritize Essential Functions**

    Identify and prioritize the essential functions that must be performed to ensure service continuity.

    SP 1.2   **Identify and Prioritize Essential Resources**

    Identify and prioritize the essential resources required to ensure service continuity.

SG 2   **Prepare for Service Continuity**

Preparations are made for service continuity.

    SP 2.1   **Establish Service Continuity Plans**

    Establish and maintain service continuity plans that enable the organization to resume performing essential functions.

    SP 2.2   **Establish Service Continuity Training**

    Establish and maintain training for service continuity.

    SP 2.3   **Provide and Evaluate Service Continuity Training**

    Provide and evaluate training in the execution of the service continuity plan.

SG 3   **Verify and Validate the Service Continuity Plan**

The service continuity plan is verified and validated.

    SP 3.1   **Prepare for the Verification and Validation of the Service Continuity Plan**

    Prepare for the verification and validation of the service continuity plan.

SP 3.2   **Verify and Validate the Service Continuity Plan**

Verify and validate the service continuity plan.

SP 3.3   **Analyze Results of Verification and Validation**

Analyze the results of validation and verification activities.

SERVICE DELIVERY

A Service Establishment and Delivery Process Area at Maturity Level 2

Purpose

The purpose of Service Delivery (SD) is to deliver services in accordance with service agreements.

SG 1   Establish Service Agreements

Service agreements are established and maintained.

    SP 1.1   Analyze Existing Agreements and Service Data

Analyze existing service agreements and service data to prepare for expected new agreements.

    SP 1.2   Establish the Service Agreement

Establish and maintain the service agreement.

SG 2   Prepare for Service Delivery

Preparation for service delivery is conducted.

    SP 2.1   Establish the Service Delivery Approach

Establish and maintain the approach to be used for service delivery and service system operations.

    SP 2.2   Prepare for Service System Operations

Confirm the readiness of the service system to enable the delivery of services.

    SP 2.3   Establish a Request Management System

Establish and maintain a request management system for processing and tracking request information.

SG 3   Deliver Services

Services are delivered in accordance with service agreements.

    SP 3.1   Receive and Process Service Requests

Receive and process service requests in accordance with service agreements.

    SP 3.2   Operate the Service System

Operate the service system to deliver services in accordance with service agreements.

SP 3.3   **Maintain the Service System**

Maintain the service system to ensure the continuation of service delivery.

SSD Addition

SERVICE SYSTEM DEVELOPMENT

A Service Establishment and Delivery Process Area at Maturity Level 3

Purpose

The purpose of Service System Development (SSD) is to analyze, design, develop, integrate, verify, and validate service systems, including service system components, to satisfy existing or anticipated service agreements.

SG 1   Develop and Analyze Stakeholder Requirements

Stakeholder needs, expectations, constraints, and interfaces are collected, analyzed, and transformed into validated service system requirements.

SP 1.1   Develop Stakeholder Requirements

Collect and transform stakeholder needs, expectations, constraints, and interfaces into stakeholder requirements.

SP 1.2   Develop Service System Requirements

Refine and elaborate stakeholder requirements to develop service system requirements.

SP 1.3   Analyze and Validate Requirements

Analyze and validate requirements, and define required service system functionality.

SG 2   Develop Service Systems

Service system components are selected, designed, implemented, and integrated.

SP 2.1   Select Service System Solutions

Select service system solutions from alternative solutions.

SP 2.2   Develop the Design

Develop designs for the service system and service system components.

SP 2.3   Ensure Interface Compatibility

Manage internal and external interface definitions, designs, and changes for service systems.

SP 2.4   Implement the Service System Design

SSD Addition

Implement the service system design.

	SP 2.5	**Integrate Service System Components**

Assemble and integrate implemented service system components into a verifiable service system.

SG 3	**Verify and Validate Service Systems**	

Selected service system components and services are verified and validated to ensure correct service delivery.

	SP 3.1	**Prepare for Verification and Validation**

Establish and maintain an approach and an environment for verification and validation.

	SP 3.2	**Perform Peer Reviews**

Perform peer reviews on selected service system components.

	SP 3.3	**Verify Selected Service System Components**

Verify selected service system components against their specified requirements.

	SP 3.4	**Validate the Service System**

Validate the service system to ensure that it is suitable for use in the intended delivery environment and meets stakeholder expectations.

SERVICE SYSTEM TRANSITION

A Service Establishment and Delivery Process Area at Maturity Level 3

Purpose

The purpose of Service System Transition (SST) is to deploy new or significantly changed service system components while managing their effect on ongoing service delivery.

SG 1   **Prepare for Service System Transition**

Preparation for service system transition is conducted.

    SP 1.1   **Analyze Service System Transition Needs**

Analyze the functionality and compatibility of the current and future service systems to minimize impact on service delivery.

    SP 1.2   **Develop Service System Transition Plans**

Establish and maintain plans for specific transitions of the service system.

    SP 1.3   **Prepare Stakeholders for Changes**

Prepare relevant stakeholders for changes in services and service systems.

SG 2   **Deploy the Service System**

The service system is deployed to the delivery environment.

    SP 2.1   **Deploy Service System Components**

Systematically deploy service system components into the delivery environment based on transition planning.

    SP 2.2   **Assess and Control the Impacts of the Transition**

Assess the impacts of the transition on stakeholders and service delivery, and take appropriate corrective action.

STRATEGIC SERVICE MANAGEMENT

A Service Establishment and Delivery Process Area at Maturity Level 3

Purpose

The purpose of Strategic Service Management (STSM) is to establish and maintain standard services in concert with strategic needs and plans.

SG 1   **Establish Strategic Needs and Plans for Standard Services**

Strategic needs and plans for standard services are established and maintained.

     SP 1.1   **Gather and Analyze Relevant Data**

Gather and analyze data about the strategic needs and capabilities of the organization.

     SP 1.2   **Establish Plans for Standard Services**

Establish and maintain plans for standard services.

SG 2   **Establish Standard Services**

A set of standard services is established and maintained.

     SP 2.1   **Establish Properties of Standard Services and Service Levels**

Establish and maintain properties of the organization's set of standard services and service levels.

     SP 2.2   **Establish Descriptions of Standard Services**

Establish and maintain descriptions of the organization's defined standard services.