For instructions on using this template, please see Notes to Author/Template Instructions on page 25. Notes on accessibility: This template has been tested and is best accessible with JAWS 11.0 or higher. For questions about using this template and To request changes to the template, please contact [CMS IT Governance](mailto:IT_Governance@cms.hhs.gov) ([IT\_Governance@cms.hhs.gov](mailto:IT_Governance@cms.hhs.gov)).

|  | Centers for Medicare & Medicaid Services |
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<Project Name / Acronym>

Software Process Improvement Plan

Version X.X

MM/DD/YYYY

**Document Number:** <document’s configuration item control number>

**Contract Number:** <current contract number of company maintaining document>

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# Introduction

Instructions: Summarize the purpose of the document, the scope of activities that resulted in its development, the intended audience for the document, and expected evolution of the document. Also describe any security or privacy considerations associated with use of this document.

This Software Process Improvement Plan (SPIP) describes the approach for continued software development process improvement during the life cycle of the <Project Name (Acronym)>. The document identifies the specific actions that will be taken to improve the software process, and outlines the plans for implementing those actions.

# Overview

Instructions: Provide a high-level overview of the project. Focus on the process and deliverable aspects of the project, including contract type, major milestones, and stakeholders. Briefly describe the purpose and context for the system, and summarize the history of its development.

# Assumptions/Constraints/Risks

## Assumptions

Instructions: Describe any assumptions or dependencies that may have a significant impact on the implementation of this SPIP.

## Constraints

Instructions: Describe any limitations or constraints that may have a significant impact on the implementation of this SPIP.

## Risks

Instructions: Describe any risks associated with the implementation or non-implementation of this SPIP and proposed mitigation strategies.

# Process Review Background

Instructions: Provide a brief history of any formal appraisals, audits, or other process reviews that have been conducted and identify any management findings or strategic events that led up to the development of the SPIP. Provide reference to any documented findings reports, if applicable.

## Process Review Methodology

Instructions: Describe the process review process at a high level, what processes were evaluated, what methodologies were used.

## Process Review Findings and Recommendations

Instructions: Provide the process review findings, targeted areas for improvement, any recommendations made by the process review team. Findings may be grouped as global findings (i.e., overall organizational opportunities for improvement,) or by process areas (noting strengths, opportunities for improvement, and/or non-applicability). Document SPI recommendations as they relate to the process review findings.

# SPI Approach

Instructions: Describe the approach, which may be derived from the recommendations of a software process assessment (i.e., Capability Maturity Model Integration CMMI® Standard CMMI Appraisal Method for Process Improvement (SCAMPISM)), that identifies the specific actions that will be taken to improve the software process, and outline the plans for implementing those actions. If applicable, provide reference to the appropriate section of the corporate SDMP rather than reiterating the content here.

## Goals

Instructions: Describe the SPI goals that have been established as a result of the process review findings. For each goal, provide a cross-reference back to the finding(s) or recommendation(s). If desired, document risks associated with implementing and not-implementing each SPI goal. If this section is not appropriate for the initial issuance of the SPIP, then so indicate.

## Methodology

Instructions: Describe the method, process, and tools that will be used to initiate process improvement (e.g., lessons learned), to achieve the SPI goals, and the metrics that will be collected to measure the efficacy of the SPI goal implementation. Document how process improvement will be monitored and controlled, and how SPI goals will be achieved. Document the communication process to be used to provide feedback to project stakeholders. Describe the methodology for creating and updating affected process documents.

## Roles and Responsibilities

Instructions: Identify the personnel and their responsibilities for implementing the improvements.

1. Record of Changes

*Instructions: Provide information on how the development and distribution of the Software Process Improvement Plan will be controlled and tracked. Use the table below to provide the version number, the date of the version, the author/owner of the version, and a brief description of the reason for creating the revised version.*

Table 1: Record of Changes

| Version  Number | Date | Author/Owner | Description of Change |
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1. Acronyms

Instructions: Provide a list of acronyms and associated literal translations used within the document. List the acronyms in alphabetical order using a tabular format as depicted below.

Table 2: Acronyms

| Acronym | Literal Translation |
| --- | --- |
| **CMMI®** | Capability Maturity Model Integration |
| **CMS** | Centers for Medicare & Medicaid Services |
| **PMP** | Project Management Plan |
| **SCAMPISM** | Standard CMMI Appraisal Method for Process Improvement |
| **SDMP** | System Development Management Plan |
| **SPI** | Software Process Improvement |
| **SPIP** | Software Process Improvement Plan |
|  |  |

1. Glossary

Instructions: Provide clear and concise definitions for terms used in this document that may be unfamiliar to readers of the document. Terms are to be listed in alphabetical order.

Table 3: Glossary

| Term | Definition |
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1. Referenced Documents

Instructions: Summarize the relationship of this document to other relevant documents. Provide identifying information for all documents used to arrive at and/or referenced within this document (e.g., related and/or companion documents, prerequisite documents, relevant technical documentation, etc.).

Table 4: Referenced Documents

| Document Name | Document Location and/or URL | Issuance Date |
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1. Approvals

The undersigned acknowledge that they have reviewed the Software Process Improvement Plan and agree with the information presented within this document. Changes to this Software Process Improvement Planwill be coordinated with, and approved by, the undersigned, or their designated representatives.

*Instructions: List the individuals whose signatures are desired. Examples of such individuals are Business Owner, Project Manager (if identified), and any appropriate stakeholders. Add additional lines for signature as necessary.*

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1. Notes to the Author / Template Instructions

This document is a template for creating a Software Process Improvement Plan for a given investment or project. The final document should be delivered in an electronically searchable format. The Software Process Improvement Plan should stand on its own with all elements explained and acronyms spelled out for reader/reviewers, including reviewers outside CMS who may not be familiar with CMS projects and investments.

This template includes instructions, boilerplate text, and fields. The developer should note that:

* *Each section provides instructions or describes the intent, assumptions, and context for content included in that section. Instructional text appears in blue italicized font throughout this template.*
* *Instructional text in each section should be replaced with information specific to the particular investment.*
* *Some text and tables are provided as boilerplate examples of wording and formats that may be used or modified as appropriate.*

When using this template, follow these steps:

1. *Table captions and descriptions are to be placed centered, above the table.*
2. *Modify any boilerplate text, as appropriate, to your specific investment.*
3. *Do not delete any headings. If the heading is not applicable to the investment, enter “Not Applicable” under the heading.*
4. *All documents must be compliant with Section 508 requirements.*
5. *Figure captions and descriptions are to be placed centered, below the figure. All figures must have an associated tag providing appropriate alternative text for Section 508 compliance.*
6. *Delete this “Notes to the Author / Template Instructions” page and all instructions to the author before finalizing the initial draft of the document.*
7. Template Revision History

The following table records information regarding changes made to the template over time. To provide information about the controlling and tracking of this artifact, please refer to the Record of Changes section of this document.

Table 5: Template Revision History

| Version  Number | Date | Author/Owner | Description of Change |
| --- | --- | --- | --- |
| 1.0 | 07/29/2020 | Alex Smith  CMS/OIT/ICPG/DIIMP | Baseline document |
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1. Additional Appendices

Instructions: Utilize additional appendices to facilitate ease of use and maintenance of the document.