

Configuration Management Self-Assessment Questionnaire (Rev D)

**Identify the strengths
and weaknesses of your
configuration management
processes relative to
the CMII model**



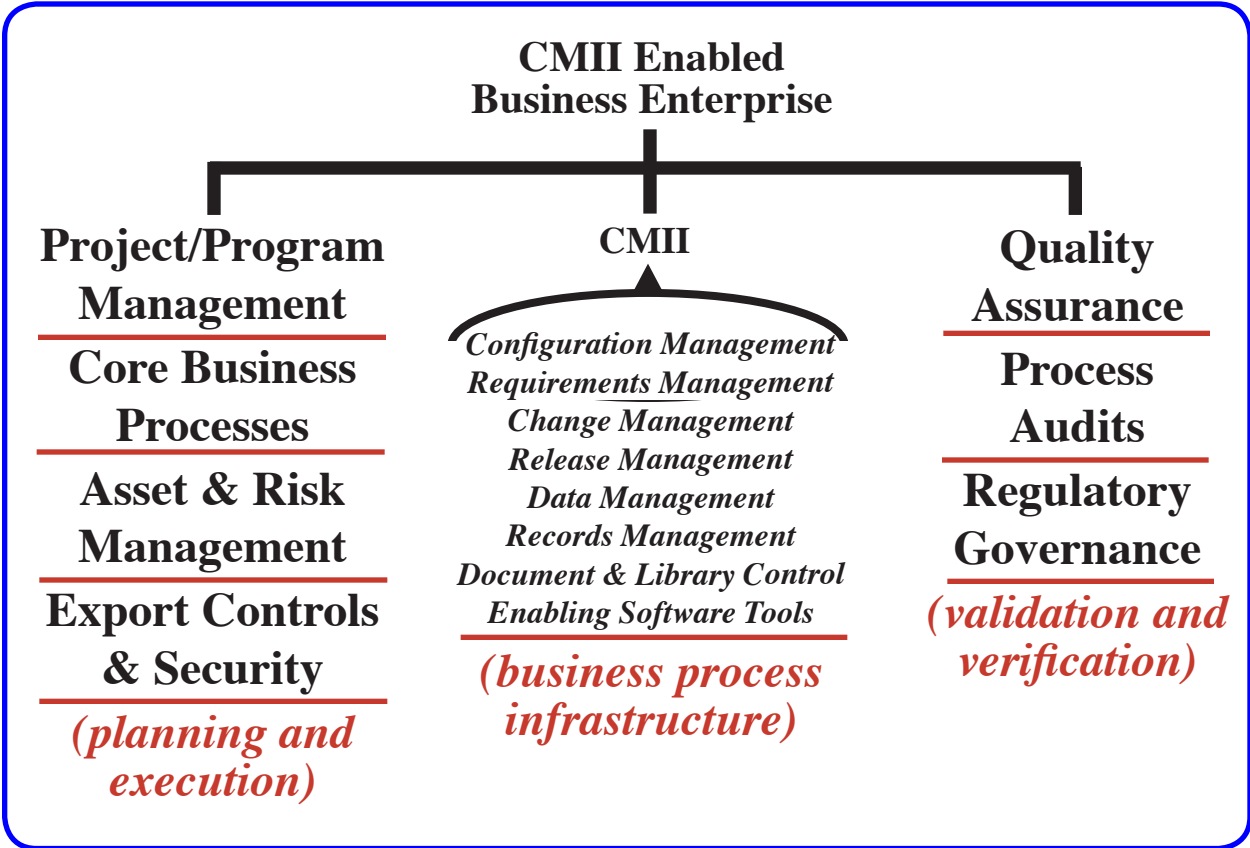
**Institute of
Configuration Management
and the
CMII Research Institute**

Self-Assessment Questionnaire

Are your organizational objectives being enabled or compromised by your configuration management process?

With this questionnaire, you can determine the answers in a matter of minutes.

The CMII Model



Self-Assessment Questionnaire (Parts I - VIII)

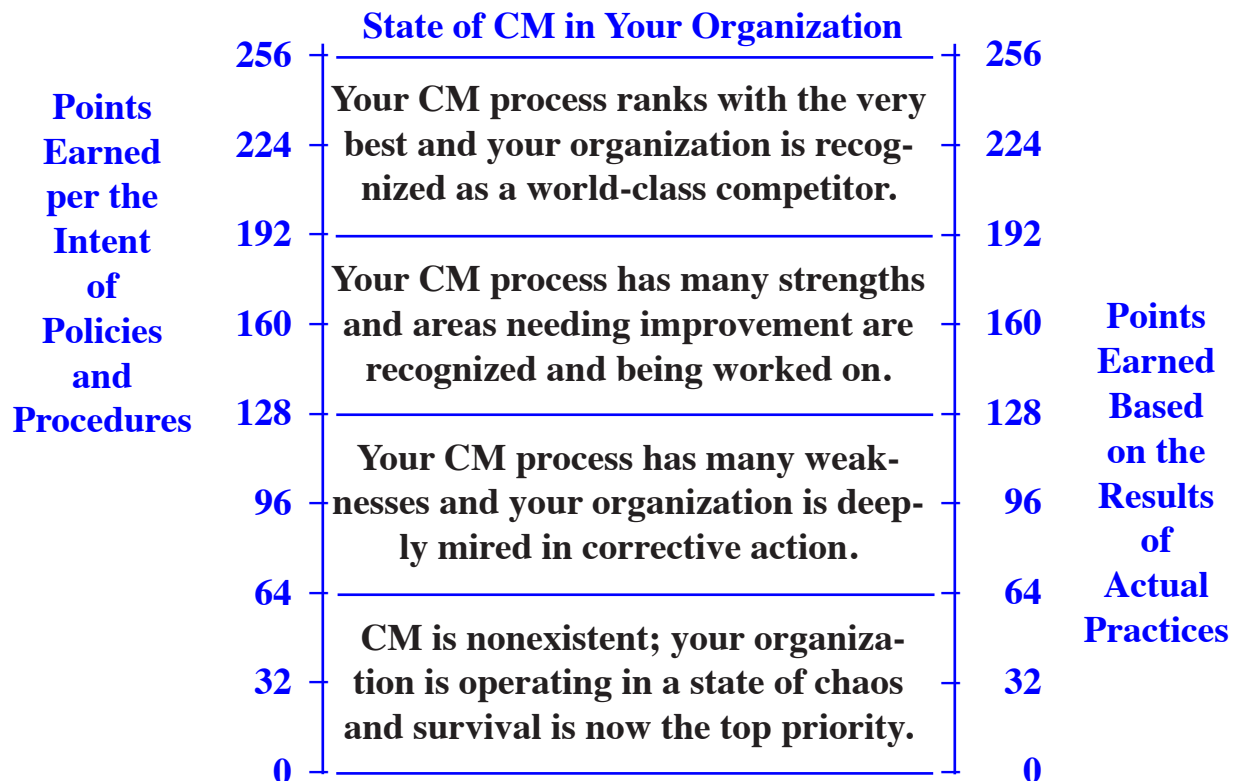
Each questionnaire contains 7 questions.

The value of each answer ranges from (0) to five (5) points. (You must decide)

Your documented practices may differ from your actual practices.

Add up both scores and rate your CM process per the point system shown below.







- Questionnaire # I — Configuration management**
- Questionnaire # II — Requirements management**
- Questionnaire # III — Change management**
- Questionnaire # IV — Release management**
- Questionnaire # V — Data management**
- Questionnaire # VI — Records management**
- Questionnaire # VII — Document and library control**
- Questionnaire # VIII — Enabling software tools**



Self-Assessment Questionnaire: # I – Configuration management

		<u>Point value based on</u>	
		<u>Policies & Procedures</u>	<u>Actual Practice</u>
1.	Configuration management (CM) is a formally recognized function within your organization?	No 0 N&Y 1-4 Yes 5	_____
↓			
2.	The scope of CM includes all information and enabling tools that could impact safety, quality, schedule, cost, profit or the environment?	No 0 N&Y 1-4 Yes 5	_____
↓			
3.	The emphasis of CM is to accommodate change and keep requirements clear, concise and valid?	No 0 N&Y 1-4 Yes 5	_____
↓			
4.	Configuration requirements are maintained in baselines and updated with each change?	No 0 N&Y 1-4 Yes 5	_____
↓			
5.	Each baseline includes both as-planned and as-released requirements plus visibility of planned changes?	No 0 N&Y 1-4 Yes 5	_____
↓			
6.	Each baseline is closely coupled with a closed-loop change process that includes fast-track capability?	No 0 N&Y 1-4 Yes 5	_____
↓			
7.	Metrics are used to monitor performance of the configuration management process and guide continuous improvement efforts?	No 0 N&Y 1-4 Yes 5	_____
		TOTALS	_____

Self-Assessment Questionnaire: # II – Requirements management

		<u>Point value based on</u>	
		<u>Policies & Procedures</u>	<u>Actual Practice</u>
1.	A requirement is not a requirement unless it is documented, validated and released?	No 0 N&Y 1-4 Yes 5	_____
			
2.	Requirements must lead and results must conform?	No 0 N&Y 1-4 Yes 5	_____
			
3.	Each document is a requirement to its user and each user is responsible for achieving results that conform?	No 0 N&Y 1-4 Yes 5	_____
			
4.	All work is authorized and controlled with forms?	No 0 N&Y 1-4 Yes 5	_____
			
5.	Results of work accomplished must conform to requirements specified on the forms?	No 0 N&Y 1-4 Yes 5	_____
			
6.	Usage of deviations and/or waivers would be greatly reduced if it did not take so long to update or correct the requirements?	No 0 N&Y 1-4 Yes 5	_____
			
7.	Metrics are used to monitor performance of the requirements management process and guide continuous improvement efforts?	No 0 N&Y 1-4 Yes 5	_____
		TOTALS	_____







Self-Assessment Questionnaire: # III — Change management

		<u>Point value based on</u>	
		<u>Policies & Procedures</u>	<u>Actual Practice</u>
1.	As-planned and as-released baselines, and all documents contained in those baselines, are updated with one common change process?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
2.	Each change goes through an analysis phase and, if approved, an implementation phase?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
3.	Standardized forms are used as templates to guide each change through each step of the process?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
4.	Business decisions are separated from technical reviews and implementation planning details?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
5.	For changes categorized as fast-track, document creators may approve their own technical recommendations?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
6.	All primary items and documents impacted by a change are specified on the ECN form?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
7.	Metrics are used to monitor performance of the change management process and guide continuous improvement efforts?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
TOTALS			_____

Self-Assessment Questionnaire: # IV – Release management

		<u>Point value based on</u>	
		<u>Policies & Procedures</u>	<u>Actual Practice</u>
1.	A new or revised document, once released, cannot be changed without proper ECN authority?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
2.	A document must be validated before it can be released?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
3.	A document must be released before it can be used?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
4.	Although release dates must support the earliest need dates, documents are nevertheless released on a just-in-time basis?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
5.	Baselines include both planned and actual release dates for new and revised documents?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
6.	Planned release dates are used to drive all development resources with one common set of priorities?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
7.	Metrics are used to monitor performance of the release management process and guide continuous improvement efforts?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
TOTALS			_____







Self-Assessment Questionnaire: # V — Data management

		<u>Point value based on</u>	
		<u>Policies & Procedures</u>	<u>Actual Practice</u>
1.	Each physical item and each document has its own formally controlled meta data?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
2.	Each physical item has a formally assigned identification number, name and description?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
3.	Physical items that are not full interchangeability are not allowed to carry the same identification number?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
4.	Standardized and formally applied conventions are used to name each physical item and describe its attributes.	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
5.	Similarities and differences between the various physical items are derived from their names and descriptions?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
6.	It is understood that resource effectiveness declines exponentially with a linear decline in the integrity of data sets used in-series?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
7.	Metrics are used to monitor performance of the data management process and guide continuous improvement efforts?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
TOTALS			_____







Self-Assessment Questionnaire: # VI — Records management

		<u>Point value based on</u>	
		<u>Policies & Procedures</u>	<u>Actual Practice</u>
1.	Forms used to authorize and control work are completed and retained as records of work accomplished?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
↓			
2.	Each as-built item and each as-modified item must conform to its as-built record?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
↓			
3.	Retained records include proof that the results of authorized and accomplished work did, in fact, conform to the requirements?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
↓			
4.	Individual changes are traceable to specific end-items via retained records?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
↓			
5.	Superseded and superseding items are easily identified via retained records?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
↓			
6.	Lot controlled items are traceable from their original source to their current location via retained records?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
↓			
7.	Metrics are used to monitor performance of the records management process and guide continuous improvement efforts?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
		TOTALS	_____

Self-Assessment Questionnaire: # VII – Document and library control

		<u>Point value based on</u>	
		<u>Policies & Procedures</u>	<u>Actual Practice</u>
1.	Released information is retained in secure repositories and is accessible when needed?	No <u>0</u> N&Y <u>1-4</u> Yes <u>5</u>	_____
			
2.	Individual documents are identified by type, number and revision level?	No <u>0</u> N&Y <u>1-4</u> Yes <u>5</u>	_____
			
3.	Document formats are standardized by document type?	No <u>0</u> N&Y <u>1-4</u> Yes <u>5</u>	_____
			
4.	Rather than ownership by a single individual, each document is co-owned by its assigned creator and one or more users?	No <u>0</u> N&Y <u>1-4</u> Yes <u>5</u>	_____
			
5.	The assigned creator is the one who best understands the higher-level requirements?	No <u>0</u> N&Y <u>1-4</u> Yes <u>5</u>	_____
			
6.	Over 80% of all documents are relatively simple and are co-owned by a creator and a single user?	No <u>0</u> N&Y <u>1-4</u> Yes <u>5</u>	_____
			
7.	Metrics are used to monitor performance of the document and library control processes and guide continuous improvement efforts?	No <u>0</u> N&Y <u>1-4</u> Yes <u>5</u>	_____
		TOTALS	_____

Self-Assessment Questionnaire: # VIII — Enabling software tools

		<u>Point value based on</u>	
		<u>Policies & Procedures</u>	<u>Actual Practice</u>
1.	Your organization understands the software functionality required to support baselines and the closed-loop change process?	No 0 N&Y 1-4 Yes 5	_____
			
2.	The strengths and weaknesses of existing software tools have been defined and agreed upon?	No 0 N&Y 1-4 Yes 5	_____
			
3.	Solutions for resolving the identified weaknesses have been agreed upon?	No 0 N&Y 1-4 Yes 5	_____
			
4.	Needed improvements in software functionality have been given the appropriate priority?	No 0 N&Y 1-4 Yes 5	_____
			
5.	Those who direct the software development and upgrade activities are CMII certified?	No 0 N&Y 1-4 Yes 5	_____
			
6.	CMII grads in your organization are ensuring that the desired functionality is being achieved?	No 0 N&Y 1-4 Yes 5	_____
			
7.	Metrics are used to monitor performance of the enabling software tools and guide continuous improvement efforts?	No 0 N&Y 1-4 Yes 5	_____
		TOTALS	_____

Self-Assessment Questionnaire (Parts IX - XII)

Some organizations use CM in certain life cycle phases and not others.

Use the following questionnaires to rate your CM practices in each phase.

Seven questions in each phase are worth zero (0) to five (5) points each.

Questionnaire # IX — CM in research and development

Questionnaire # X — CM in production (or build and test)

Questionnaire # XI — CM in operation and maintenance







Questionnaire # XII — CM in decommissioning

Self-Assessment Scores







State of CM by Life Cycle Phase

		IX R&D	X Build/Test	XI O&M	XII Decom'sn		
Points Earned per the Intent	35	Highly Effective	Highly Effective	Highly Effective	Highly Effective	35	Points Earned per Actual Practice
	30	Many Strengths	Many Strengths	Many Strengths	Many Strengths	30	
	25	Many Weaknesses	Many Weaknesses	Many Weaknesses	Many Weaknesses	25	
	20	Non- existent	Non- existent	Non- existent	Non- existent	20	
	15					15	
	10					10	
	5					5	
	0					0	







Self-Assessment Questionnaire: # IX – CM in research and development

		<u>Point value based on</u>	
		<u>Policies & Procedures</u>	<u>Actual Practice</u>
1.	The CM rules are embedded in the processes used to perform research and development?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
2.	Requirements to be achieved by the research and development activities are documented, validated and released?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
3.	Documents are validated before they are re-leased and released before they are used?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
4.	A closed-loop change process is used to keep project plans and all other requirements up-to-date?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
5.	All work is authorized and controlled with forms?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
6.	Completed forms are retained as records of work actually accomplished?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
7.	Metrics are used to monitor performance of the research and development processes and guide continuous improvement efforts?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
		TOTALS	_____







Self-Assessment Questionnaire: # X – CM in production (build and test)

		<u>Point value based on</u>	
		<u>Policies & Procedures</u>	<u>Actual Practice</u>
1.	The CM rules are embedded in the processes used in production, build and test?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
2.	Requirements to be achieved by the production, build and test activities are documented, validated and released?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
3.	Documents are validated before they are released and released before they are used?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
4.	A closed-loop change process is used to keep production, build and test plans and all other requirements up-to-date?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
5.	All work is authorized and controlled with forms?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
6.	Completed forms are retained as records of work actually accomplished?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
7.	Metrics are used to monitor performance of the production, build and test processes and guide continuous improvement efforts?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
TOTALS			_____

Self-Assessment Questionnaire: # XI – CM in operation and maintenance

		<u>Point value based on</u>	
		<u>Policies & Procedures</u>	<u>Actual Practice</u>
1.	The CM rules are embedded in the processes used in operation and maintenance?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
2.	Requirements to be achieved by the operation and maintenance activities are documented, validated and released?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
3.	Documents are validated before they are re-leased and released before they are used?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
4.	A closed-loop change process is used to keep project plans and all other requirements up-to-date?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
5.	All work is authorized and controlled with forms?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
6.	Completed forms are retained as records of work actually accomplished?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
7.	Metrics are used to monitor performance of the operation and maintenance processes and guide continuous improvement efforts?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
		TOTALS	_____

Self-Assessment Questionnaire: # XII – CM in the decommissioning phase

		<u>Point value based on</u>	
		<u>Policies & Procedures</u>	<u>Actual Practice</u>
1.	The CM rules are embedded in the processes used in the decommissioning activities?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
2.	Requirements to be achieved by the decommissioning activities are documented, validated and released?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
3.	Documents are validated before they are released and released before they are used?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
4.	A closed-loop change process is used to keep decommissioning plans and all other requirements up-to-date?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
5.	All work is authorized and controlled with forms?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
6.	Completed forms are retained as records of work actually accomplished?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
			
7.	Metrics are used to monitor performance of the decommissioning activities and learn how to make future efforts more efficient?	No <u> 0</u> N&Y <u> 1-4</u> Yes <u> 5</u>	_____
		TOTALS	_____