Efficient Appraisal Techniques

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Topics

- Identifying and inventorying preliminary Objective Evidence (including written affirmations) during planning and preparation
- Examining, analyzing and characterizing Objective Evidence
- Establishing and maintaining a shared understanding of facts
- Producing results through continuous refinement of initial practice instantiation “observations” and OU practice characterization “findings”
- Considerations for tools to support the Appraisal Team
Identifying Objective Evidence 1

Inventory of OE (Artifacts):

- Largely a side-effect of process monitoring and improvement activities (e.g., OPF/D, IPM, PPQA and M&A)
- Multi-pass process:
  - start early (during requirements analysis)
  - make incremental progress (throughout planning and preparation)
- Getting what you need:
  - See what’s available and then specify and explain AT needs
  - Ask for & help identify more (coverage, specificity) as needed
  - Negotiate form and/or labor for transformation
- Desirable attributes:
  - Title and “abstract”
  - Indication of specific relevance of particular content
  - Identification as a direct work product or indirect by-product of the process (done by Provider or by TM performing review)
Inventory of OE (Written Affirmations):

- Why?
  - Can be used to help interpret the artifacts and confirm their use
  - Input to “Triage”
- How much detail?
  - Not “Yes or No”, Not “War and Peace”
  - A few sentences or a short paragraph including appropriate reference to the identified artifacts
- Collected for which model components?
  - Practices / Goals / PAs / groups of PAs
- Credibility / Usefulness?
  - Maintain traceability to providers of affirmations
  - Obtain “certification” by responsible management
Analyzing Objective Evidence

- **Preliminary Review Analysis:**
  - Determine sufficient coverage of appraisal scope (model and organization)
  - Determine appropriateness / reasonableness of model relevance
  - Use multi-pass approach involving team members and data providers

- **Subsequent Content Examination Analysis:**
  - Consistent with OSP and PDP?
  - Evidence of particular outputs / attributes expected from practice instantiation?
  - Indications a particular strength, weakness, or missing attribute?
  - Record the facts supporting your conclusions and assertions!

- **Drawing Conclusions and Reaching Consensus**
  - Remember the “Big Picture” (Organization’s coherent process context)
  - Cite specific basis or issue supporting strong, compliant, weak, or missing
  - Avoid judgments based upon personal preferences or notions of “goodness”
  - Ready access to TM analyses and actual artifacts during AT consensus
Maintaining Consensus on Facts

- Memory fades quickly
  - Establish and record the facts immediately; Interpret subsequently
  - Avoid recording premature inferences and judgments in place of facts

- Use the collective power of your team / mini-team
  - People hear and see things differently
  - Review and discuss the facts immediately after “examining” the OE
    - By mini-team for documents
    - By all TMs involved in interviews or presentations and demos
  - Update the recorded “facts” accordingly

- Status the Data Collection Plan
  - Are the facts SUFFICIENT to draw conclusions concerning the model or organizational component under investigation?
  - Do the facts support or conflict with conclusions concerning other model or organizational components?
Results Through Refinement

- Continuous refinement of initial placeholders
  - Maintain a focus on the Team’s primary output
  - Use consistent style & terminology; Be accurate and precise
    - Establish rules and or assign a primary editor
  - Spend effort consistent with expected value to sponsor
  - Push back wording refinement to TM, MT or “Editor” role

- Practice Instantiation “Observation”
  - As OE is reviewed and processed by TM, MT, or AT
  - What does the OE support or refute in terms of expected practice implementation

- OU Practice Characterization “Finding”
  - As Practice instantiations are characterized by TM or MT and accepted by AT.
  - What can be concluded from the instantiations about the state of practice implementation across the Organizational Unit
Considerations for Team Tools

- Easy Access to the Reference Model

- Easy Access to Objective Evidence and TM analyses
  - Multidimensional space! Various types of “filtering” or “views” desirable
  - OE X Type X Provider X Practice X OU Component X TM(s)

- Facilitate Recording and Monitoring AT Status
  - Coverage (Model and OU), Corroboration (OE Types and Providers), Conclusions, Characterizations, Ratings, Consensus, Information Needed and Information Sources

- Facilitate Producing AT Outputs
  - Findings, Ratings, “Appraisal Record” and supporting AT artifacts

- Various Solutions
  - LA Kit Templates, Softcopy of model
  - Home grown spreadsheets, workbooks, databases
  - COTS Tools (e.g., Appraisal Wizard®)