Top 10 Signs
You're Ready (or Not)
For an Appraisal

Gary Natwick
Harris Corporation
Background

• Increasing requirement for organizations to demonstrate compliance to CMMI®
  – Formal appraisals (SCAMPI\textsuperscript{SM} A)
  – Progress appraisals (SCAMPI\textsuperscript{SM} B&C)

• Appraisal preparation:
  – Time consuming & labor intensive
  – Success depends on getting it right the first (and sometimes only) time

• Risk of achieving an organization’s process maturity goal can be minimized through:
  – Appraisal experiences, both positive and negative
  – Industry benchmarking
Sign You’re Ready (or Not) - #10

- Organization has Process Leadership
  - Senior Management Commitment
  - Dedicated Resources
    - Process Group
    - Budget
    - Tools
  - Process Model selection
    - CMMI®-SE/SW/IPPD/SS
    - Staged or Continuous representation
  - Monitor and enforce Process Compliance
    - All Qualifying projects
    - All Functional Organizations
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**Improvement Organization**

- President, GCSD Staff
- Steering Committee for integrated, division-wide process improvement
- Representatives from each functional organization

**Division Process Council**

- Working Arm of the DPC
- Empowered representatives from each functional organization
- Owns and maintains (CCB) division-level process command media (Integrated Process Manual)
- Monitors and enforces process compliance

Program Mgmt Exec Council
Eng Proc Council
Bus Ops Council
Sub contracts Council
Contracts Council
Material Mgmt Council
Mfg/I&T Council
BD Council
Security Council
Quality Council
Human Resources

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### CMMI®-SE/SW Staged Representation

<table>
<thead>
<tr>
<th>Maturity Level</th>
<th>Focus</th>
<th>Process Areas</th>
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<tbody>
<tr>
<td>5 Optimizing</td>
<td><strong>Continuous Process Improvement</strong></td>
<td>Organizational Innovation and Deployment&lt;br&gt;Causal Analysis and Resolution</td>
</tr>
<tr>
<td>4 Quantitatively Managed</td>
<td><strong>Quantitative Management</strong></td>
<td>Organizational Process Performance&lt;br&gt;Quantitative Project Management</td>
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<tr>
<td>3 Defined</td>
<td><strong>Process Standardization</strong></td>
<td>Requirements Development&lt;br&gt;Technical Solution&lt;br&gt;Product Integration&lt;br&gt;Verification&lt;br&gt;Validation&lt;br&gt;Organizational Process Focus&lt;br&gt;Organizational Process Definition&lt;br&gt;Organizational Training&lt;br&gt;Integrated Project Management&lt;br&gt;Risk Management&lt;br&gt;Decision Analysis and Resolution</td>
</tr>
<tr>
<td>2 Managed</td>
<td><strong>Basic Project Management</strong></td>
<td>Requirements Management&lt;br&gt;Project Planning&lt;br&gt;Project Monitoring and Control&lt;br&gt;Supplier Agreement Management&lt;br&gt;Measurement and Analysis&lt;br&gt;Process and Product Quality Assurance&lt;br&gt;Configuration Management</td>
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<td>1 Initial</td>
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Sign You’re Ready (or Not) - #9

Organization has a Process Improvement Plan

– Scope
  • Establish how implemented in organization & projects
  • Internal users (projects, managers, process group)
  • External users (customers, appraisal teams)

– Process Improvement Organization

– Process Improvement Objectives
  • Strategic
  • Tactical
  • Measurement

– Appraisals
  • Primary source of candidate process improvements
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Sign You’re Ready (or Not) - #8

- Organization has Integrated Processes
  - Organizational requirements
    - Process Model compliance (CMMI®)
  - Integration and collaboration across functional organizations
  - Disciplined repeatable processes with objective criteria
    - Entry/exit criteria, inputs, outputs, verification, measures
  - Planning each process, and tracking against plan
    - Tailoring standard processes and assets
  - Budgets, schedules, resources
  - Managing established baselines
  - Managing Stakeholder involvement
  - Measuring progress and improvement
What is a Process?

- Standard process
- Templates, assets
- Historical data

- Examples
- Metrics
- Reporting

Tasks, Activities, Procedures

- Plan
  - Budget
  - Schedule
  - Resources
  - Roles

Corrective Action

- Measures
  - CM

Monitor

- Inputs
  - Entry Criteria

- Outputs
  - Exit Criteria

Verification / Reviews / QA

Training

- Standard process
- Templates, assets
- Historical data

Plan

- Budget
- Schedule
- Resources
- Roles

Corrective Action

- Measures
- CM

Monitor

- Inputs
- Entry Criteria

- Outputs
- Exit Criteria

Verification / Reviews / QA

Training
### Integrated Process Criteria

**Overview**
A brief description of the process intent

<table>
<thead>
<tr>
<th>Entry Criteria</th>
<th>Exit Criteria</th>
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</thead>
<tbody>
<tr>
<td>State, Prerequisites, Criteria</td>
<td>State, Prerequisites, Criteria</td>
</tr>
</tbody>
</table>

**Inputs**
Required work products

**Outputs**
Resulting work products

**Required Activities**
Mandatory tasks to implement the process

**Measures**
Process performance against plans

**Organizational Improvement Information**
Metrics, reusable work products

**Verification**
Process compliance oversight

**Tailoring**
Approved tailoring, process specific

**Implementation Guidance**
Common implementation descriptions

**Supporting Documentation and Assets**
Applicable GCSD references.
Integrated Process Manual

IPM

Program Management Processes
- Program Planning
- Estimation
- Program Monitoring and Control
- Supplier Acquisition & Management
- Change Management

Program Life-Cycle Processes
- Proposal Development
- Requirements Analysis
- System Architecting/Design
- Design
- Code and Unit Test
- Fabrication and Assembly
- Product Integration
- Verification
- Validation
- Production
- Field Support

Program Support Processes
- Requirements Management
- Risk Management
- Configuration and Data Management
- Program Metrics
- Decision Analysis and Resolution
- Peer Review
- Design Review
- Quality Assurance
- Integrated Logistics Support

Organizational Processes
- Process Improvement
- Training
- Division Metrics
Program Management Processes

Customer Requirements / RFP

IPM Program Life-Cycle processes

Establish

Technical Baseline

IPM Supplier Acquisition & Management process

Supplier Product

Scope of work

IPM Program Planning process

Establish

Scope of work

Estimates

IPM Estimation process

Contract Baseline

IPM Change Management process

Baseline Change

All IPM Processes

Plans

Program Plan

Monitor

Re-plan

All IPM Processes

Status

Corrective Action

IPM Program Monitoring & Control process

IPM Supplier Agreement

Historical Data and Models

IPM Division Metrics process

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Integrated Process Manual

IPM

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- Requirements Management
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- Design Review
- Quality Assurance
- Integrated Logistics Support

Organizational Processes
- Process Improvement
- Training
- Division Metrics
### Program Life-Cycle Processes - 1

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<thead>
<tr>
<th>Life-Cycle Phase</th>
<th>Baseline</th>
<th>Milestones / Reviews</th>
<th>Key Products</th>
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<tr>
<td>Business Acquisition</td>
<td>Proposal Baseline</td>
<td>TBR, PCR</td>
<td>Proposal, Prog Plans (P)</td>
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<td>System Requirements</td>
<td>Requirements Baseline</td>
<td>SRR, SDR</td>
<td>Prog Plans Requirements, CONOPS</td>
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<td>System Design</td>
<td>Functional Baseline</td>
<td>PDR, CDR</td>
<td>Operational Threads / Use Cases</td>
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<td>Prelim Design</td>
<td>•Allocated •Design</td>
<td>Integration</td>
<td>Assembled Components, Component test proc / results</td>
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<tr>
<td>Detail Design</td>
<td>Developmental Configuration</td>
<td>Verification</td>
<td>Integration plan (F), Integration procedures integration results</td>
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<tr>
<td>Fab, Code,</td>
<td>Product Baseline</td>
<td>Test procedures</td>
<td>Test results</td>
</tr>
<tr>
<td>Assembled Components, Component test proc / results</td>
<td></td>
<td>Traceability</td>
<td>Delivered systems</td>
</tr>
</tbody>
</table>

**IPM** Proposal Development process
**IPM** Requirements Analysis process
**IPM** System Architecting/Design process
**IPM** Design process
**IPM** Fab/Assembly process
**IPM** Code and Unit Test process
**IPM** Product Integration process

**IPM Verification Process**

**IPM Validation Process**
### Program Life-Cycle Processes - 2

<table>
<thead>
<tr>
<th>Life-Cycle Phase</th>
<th>IPM Production process</th>
<th>IPM Field Support process</th>
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<tbody>
<tr>
<td>Baseline</td>
<td>Production Baseline</td>
<td>Product Baseline</td>
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<tr>
<td>Milestones / Reviews</td>
<td>Production Readiness Review</td>
<td>Product Baseline</td>
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<tr>
<td>Key Products</td>
<td>Production plan</td>
<td>Site Transition / Install Plan</td>
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<tr>
<td></td>
<td>Delivered systems</td>
<td>Revisions to product baseline</td>
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<tr>
<td></td>
<td>As-built documents</td>
<td>Test results</td>
</tr>
<tr>
<td></td>
<td>Test results</td>
<td>Test results</td>
</tr>
</tbody>
</table>

- IPM Production and Field Support processes apply only to the extent required by contract
  - May be not applicable
  - May implement revisions to the baseline products
  - May involve other life cycle processes
    - Requirements, design, implementation
- IPM Production Process
  - Produce and deliver multiple systems
- IPM Field Support Process
  - Site installation
  - Operations support
  - Engineering services
Program Support Processes

- IPM Requirements Management process
- IPM Decision Analysis & Resolution process
- IPM Peer Review process
- IPM Design Review process
- IPM Program Management processes
- IPM Program Life-Cycle processes
- IPM Program Metrics process
- IPM Configuration and Data Management process
- IPM Integrated Logistics Support process
- IPM Quality Assurance process

Requirements Change Requests

IPM Risk Management process

- Identify
- Monitor
- Manage

Info Needs
- Metrics Analyses
- Products Changes

Baselines
- Product Baseline
- Product Support Data

Compliance Issues

Products
- Identified Defects
- Approved Baseline

Requirements
- Impact

Issues
- Structured Decisions

Products
- Identified Defects

Status
- Actions

Identify
- Monitor
- Manage

Identify
- Monitor
- Manage

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Sign You’re Ready (or Not) - #7

- Process Compliance is Audited & Monitored
Tailored Processes

- Program’s process is tailored from “defined process”

<table>
<thead>
<tr>
<th>A</th>
<th>Accept IPM statement as written (no changes)</th>
</tr>
</thead>
<tbody>
<tr>
<td>T</td>
<td>Tailored; description of tailoring must be specified (e.g., modifications meeting intent of IPM statement)</td>
</tr>
<tr>
<td>D</td>
<td>Deviation; program alternative to IPM statement(s), or not implemented; Waiver Approval required</td>
</tr>
<tr>
<td>N</td>
<td>Not applicable; specify rationale</td>
</tr>
</tbody>
</table>

- Approved by Division Management
- Establishes the approved baseline against which process compliance audits are performed
- Functional plans (SEMP, SDP, etc.) are reviewed and approved by cognizant functional manager
**Program Process Evidence**

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<td>Applicable organizational references</td>
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</tbody>
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**Program evidence needed to demonstrate IPM process compliance**

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1. Program Plans
2. Program process baseline
3. Program execution
4. Compliance evidence
5. QA verification
6. Non-compliance mitigation

Process Compliance Monitor (PCM)
PCM Project Workflow

Project request to DPG

- Create Project → Close/Open Project → Add/Modify Project Users
  - Process Baseline

Startup & Planning

- Process Evidence
  - Add/Modify Process Evidence

Execution

- Process Appraisal

- Process Monitoring
  - Monitor Process Compliance
### Process Compliance Scores

<table>
<thead>
<tr>
<th>NY</th>
<th>Not Yet</th>
<th>To be appraised at a later date (i.e., the process has not yet been executed by the process and cannot be appraised)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NA</td>
<td>Not Applicable</td>
<td>Not applicable to the project (e.g., Code and Unit Test Process is not applicable to a production-type program)</td>
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<tr>
<td>NS</td>
<td>Not Scored</td>
<td>Pending an appraisal</td>
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<tr>
<td>FI</td>
<td>Fully Implemented</td>
<td>Direct artifacts are present and appropriate</td>
</tr>
<tr>
<td></td>
<td></td>
<td>No substantial weaknesses</td>
</tr>
<tr>
<td>LI</td>
<td>Largely Implemented</td>
<td>Direct artifacts are present and appropriate</td>
</tr>
<tr>
<td></td>
<td></td>
<td>One or more substantial weaknesses</td>
</tr>
<tr>
<td>PI</td>
<td>Partially Implemented</td>
<td>Direct artifact is absent or inadequate</td>
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<tr>
<td></td>
<td></td>
<td>Substantiated by indirect artifact/affirmation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>One or more substantial weaknesses</td>
</tr>
<tr>
<td>NI</td>
<td>Not Implemented</td>
<td>Any situation not covered by the above</td>
</tr>
</tbody>
</table>
Sign You’re Ready (or Not) - #6

- Appraisal Plan is Approved
  - Purpose
  - Key Appraisal Participant Information
  - Appraisal Scope
  - Process Context Information
  - Key Appraisal Parameters
  - Planned Tailoring
  - Appraisal Outputs
  - Appraisal Constraints
  - Activities, Resources and Schedule
  - Milestones & Schedule
  - Risk Management
  - Affirmations
Sign You’re Ready (or Not) - #5

- Artifacts are Managed
  - Plan
  - Tools
    - Configuration control
    - Appraisal with active links
  - Artifact stability
    - Broken links
    - Moving data
    - Aging data
    - Version control
  - Baselines
  - Backups
Artifacts have Descriptions and Locations
- Organizational/project terminology and definitions
- Explicit practice and/or artifact descriptions
- Explicit artifact titles
- Artifact locations
  - Online hyperlinks
  - Explicit for quick reference
  - Directories/folders for institutionalization
- Explicit Process Model tags
  - CMMI practice mapping
  - Direct, indirect, and affirmation tagging
**Process Compliance Evidence**

- **Direct Artifacts**
  - Tangible outputs resulting directly from implementation of a practice
    - e.g., plans, documents, products
  - Required for:
    - every applicable IPM practice
    - every applicable project

- **Indirect Artifacts**
  - Artifacts that are a side-effect or indicative of performing a practice
    - e.g., meeting minutes, reviews, logs, reports, metrics
  - Optional for IPM compliance (expected, but not required).
    - In formal CMMI® appraisals (e.g., SCAMPI℠), these are required to corroborate direct artifacts.

- **Affirmations**
  - Oral or written statements confirming or supporting implementation of the practice
    - e.g, interviews, questionnaires

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**Top 10 Signs You’re Ready (or Not) For an Appraisal**

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Sign You’re Ready (or Not) - #3

• Evidence exists across Project Life Cycle
  – All project phases intersect with one or more organizational processes
  – Direct and indirect or affirmation for each occurrence
### Evidence Collection across the Project Life Cycle

<table>
<thead>
<tr>
<th>IPM Processes</th>
<th>Business Acquisition</th>
<th>System Rqmts</th>
<th>System Design</th>
<th>Preliminary Design</th>
<th>Detailed Design</th>
<th>Fabrication, Code and Integration</th>
<th>Verification</th>
<th>Production</th>
<th>Field Support</th>
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</thead>
<tbody>
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<td>Program Planning</td>
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Sign You’re Ready (or Not) - #2

- Evidence Themes exist for Process Areas
  - Within each Practice
    - Indirect artifacts compliment direct artifacts
    - Dates and versions are aligned
  - Across practices within each Goal
    - Artifacts form a common purpose
    - Continuity is established
  - Across goals within each Process Area
    - Project institutionalization is understood
  - Across projects with each Process Area
    - Organizational institutionalization is understood
Sign You’re Ready (or Not) - #1

- Evidence Readiness Reviews are Completed
  - Pre-appraisal (SCAMPI) Readiness Review
  - Verification (99-100%) vs. Discovery (1-0%)
    - Direct and indirect artifacts for every practice
    - Relevance to practice
    - Evidence Themes exist
  - Independent review is required
    - External appraisers is key
    - Know vs. Don’t Know
Top 10 Signs You’re Ready (or Not)

1. Evidence Readiness Reviews are Completed
2. Evidence Themes exist for Process Areas
3. Evidence exists across Project Life Cycle
4. Artifacts have Descriptions and Locations
5. Artifacts are Managed
6. Appraisal Plan is Approved
7. Process Compliance is Audited & Monitored
8. Organization has Integrated Processes
9. Organization has a Process Improvement Plan
10. Organization has Process Leadership
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