

*THE VALUE OF PERFORMANCE.*  
***NORTHROP GRUMMAN***

# **Refocusing Appraisals on Achieving and Sustaining Improvement**

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Rick Hefner, PhD  
Northrop Grumman Corporation  
rick.hefner@ngc.com

- A CMMI appraisal is an expensive and time-consuming affair
- Too often, those involved lose sight of the real objective of CMMI – to improve project/organizational performance!
- This presentation will examine approaches for structuring an appraisal that results in true project performance improvements

<sup>SM</sup> SCAMPI, and SCAMPI Lead Appraiser are service marks of Carnegie Mellon University.

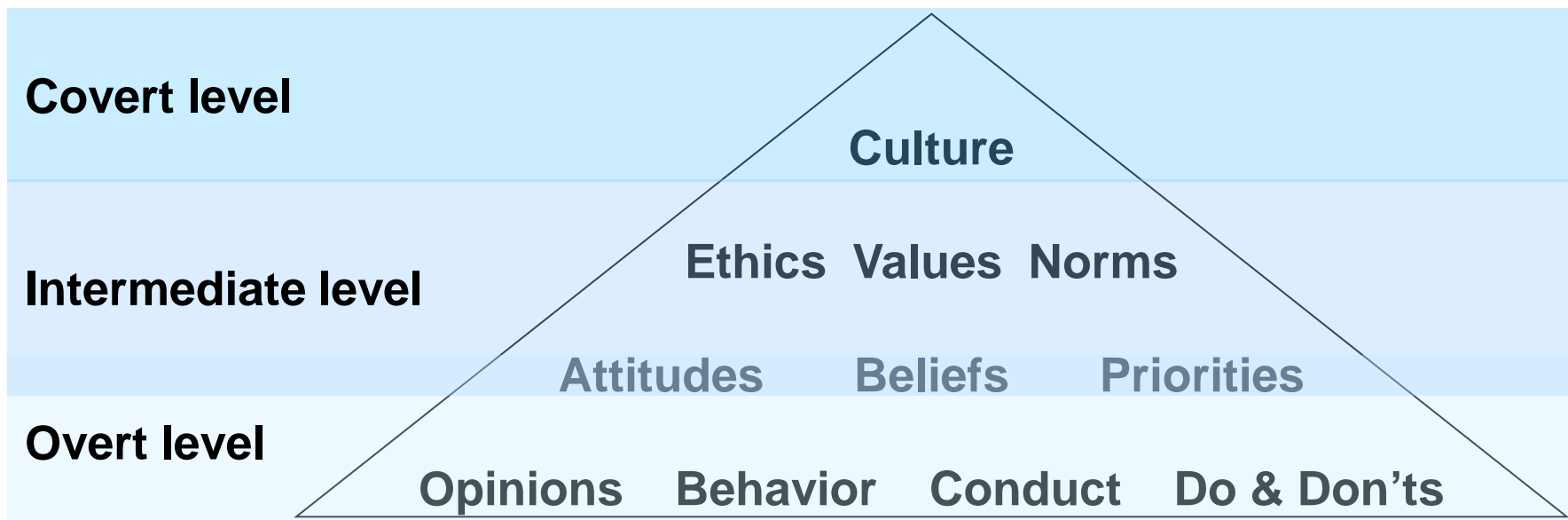
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- The goal of the appraisal process area to:
  - Develop an accurate assessment against the model
  - Build organizational understanding and buy-in
  - Promote further process improvement
- Appraisal activities and style should be focused on ensuring these goals (and any others the sponsor may have) are met

# Factors to Consider in Selecting an Appraisal Style

*Reference: Rick Hefner, "Selecting an Effective Appraisal Style", 2008 CMMI Technology Conference and User Group*

- An organization's culture
  - Guides decision making
  - Provides identity for members
  - Amplifies commitment
  - Guides employee behavior
  - Provides justification for actions



# Types of Cultures



## The Clan Culture

A very friendly place to work where people share a lot of themselves. It is like an extended family.



## The Hierarchy Culture

A very formalized structured place to work. Procedures govern what people do.



## The Adhocracy Culture

A dynamic entrepreneurial, and creative place to work. People stick their necks out and take risks.



## The Market Culture

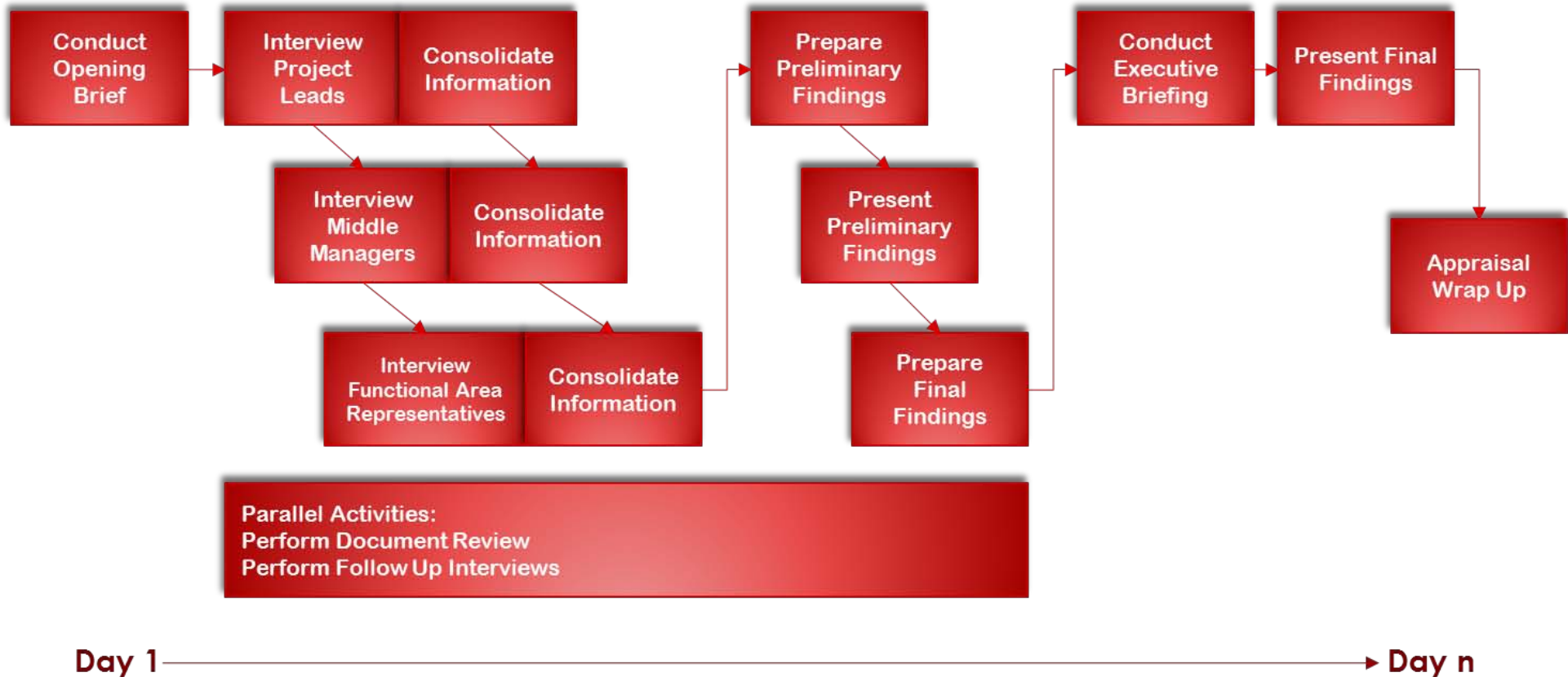
A results oriented organization whose major concern is with getting the job done. People are competitive and goal-oriented.

***How do these organizations react to... Being measured? Success? Failure?***

Cameron, K., & Quinn, R., (1999). *Diagnosing and Changing Organizational Culture*. New York: Addison-Wesley.

- Formal or informal?
  - How formal is information sharing in the organizational?
  - How does formality effect perceived accuracy? Fairness?
- Interview-focused or evidence-focused?
  - Is the culture documentation intensive?
  - How distributed is knowledge and decision making?
- Educational or audit?
  - How knowledgeable is the organization about model implementation?
  - How will misconceptions be perceived?
- Cooperative or adversarial?
  - How are external views perceived?
  - What value can an external view provide?

# SCAMPI Activities



*An opportunity to set expectations...*

## **Promoting Further Process Improvement**

- Explain why following CMMI is important to success of the business
- Explain the improvement activities that led up to the appraisal
- Present the background and pedigree of the appraisal team members (“Why should I value what you say?”)
  - Address any potential conflicts of interest
  - Explain team consensus
- Explain that the purpose of the appraisal is to identify further improvements
  - Ensure sponsor reinforces





*A opportunity to demonstrate depth of the review...*

## **Promoting Further Process Improvement**

- Evidence requests should make it clear what the team is looking for and why current evidence is not adequate (avoid “bring me a rock”)



*An opportunity to demonstrate the objectivity of the appraisal...*

## **Promoting Further Process Improvement**

- Ensure you are interviewing the thought leaders
- Explain that interviews are looking to confirm understanding of written evidence
- Ensure interviewees are relaxed and do not feel that they are in a pressure chamber
  - “I do not know is an acceptable answer”
- Ensure everyone has a chance to provide the information they feel is key to understanding their implementation



# Preliminary Findings Presentation

*A opportunity to build understanding and buy-in...*

## **Promoting Further Process Improvement**

- Presentation should focus on education
  - Here's why this is a weakness... Here's what the model expects and why...
- Give every opportunity to refute the findings
  - A finding perceived as inaccurate destroys credibility and buy-in
- Draft findings should identify gaps in direct evidence for each project
  - Avoid "Some projects do not perform..."  
(Note: This does NOT violate confidentiality, if done correctly)
  - No need for discussion, except to ensure findings are understood
  - Anyone who supplied evidence can participate, not just interviewees



# Findings Worksheet

## L2RM: Requirements Management

Goal	Practice	Practice Text	Project	Direct	Affirm	Inst Char	Weaknesses	Information Needed	
SC 1	SP 1.1	Develop an understanding with the requirements providers on the meaning of the requirements.	Project A	X	X	FI			
			Project B	X	P	LI	Build 4 requirements added without normal review process.		
			Project C	X	N	PI	TIM #2 did not follow defined process.	TIM #2 minutes	
	SP 1.2	Obtain commitment to the requirements from the project participants.	Project A	X	X	BP	Efficient Process for obtaining commitment		
			Project B	N	N	NI	No commitment obtained.	Commitment	
			Project C	N	S	NY	Note: Not yet reached in life cycle		
			Manage changes to the requirements as they evolve	Project A	X	X	FI	Alternate Practice: Customer Provides CCB for Requirements	

- Immediately after the interview (consolidation), the mini-team completes the Findings Worksheet together
- Direct column: **X** if evidence of the practice was reviewed and appropriate; **blank** if not
- Affirm column: **X** if the direct practice was positively affirmed in the interview; **blank** if not
- Note any weaknesses and any evidence requested; send out evidence requests
- Before team consolidation, each mini-team provides a recommended rating (e.g. LI, PI) for each instantiation (do not rate the organization)

# What causes a weakness, when the projects/organization have prepared for the appraisal (Verification mode)?

The projects/organization understood they had a weakness, but hoped the appraisal team wouldn't find it	Accuracy is key for buy-in
The projects/organization didn't review their evidence carefully enough	Finding weaknesses provides further opportunities for improvement
The projects/organization misunderstood the intent of a practice	Must be able to explain intent
The projects/organization don't value compliance with the practice	Must be able to explain the value

Reference: Rick Hefner, "Becoming a Highly Effective Appraiser", 2012 CMMI Technology Conference and User Group, Thursday Nov 8, 10:30am

*A opportunity to start the next round of improvements...*

## **Promoting Further Process Improvement**

- Continued focus on education
  - Here's what else you can do to improve...
  - Here's how addressing this will improve performance...
- Ensure sponsor reinforces
  - Set expectations early in planning, remind during Executive Briefing



- The appraisal style will greatly affect the appraisal accuracy, project/organization understanding and buy-in, and especially the perceived value
- Appraisers should be adopt practices which promote continued sustainment and further improvement