

Do's and Don'ts of Appraisal Preparation

Pat O'Toole – PACT

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Acknowledgments

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Warning

- **This presentation was written by, and contains the very strong opinions of, Pat O'Toole**
 - These are not SEI positions or pearls of wisdom
 - Other lead appraisers might disagree with this advice
- **The following “Do’s and Don’ts” encapsulate lessons learned from over 50 formal appraisals**
 - CBA IPIs / SCAMPIs
 - And 75+ mini-appraisals
- **I’m still learning...**
 - So everything is subject to change!

Do's and Don'ts

- **Appraisal Preparation and Planning**
 - **Do:** Appraisals for Process Improvement
 - **Do:** Say Your ABC's Backwards
 - **Don't:** Procrastinate on Planning
- **Appraisal Discussion Groups / Interviews**
 - **Do:** Conduct A "Live" Training Interview
 - **Do:** Interviews Only in the Morning
 - **Don't:** Interview PMs Back-to-Back
 - **Don't:** Spread Interview Time Too Thin
 - **Don't:** Waste the Middle Manager Interview
- **Appraisal Management**
 - **Do:** Maintain a Balanced Diet
 - **Don't:** Stop Improving Appraisals

Do: Appraisal for Process Improvement

- **SCAMPI**:

- **Sandard**
- **CMMI**
- **Appraisal**
- **Method for getting a meaningless certificate!**
- **Process**
- **Improvement**

Do: Say Your ABC's Backwards – 1

- **The Appraisal Requirements for CMMI (ARC) identifies three “appraisal classes:”**
 - **Class C (aka: Baseline, First-look, Health Check)**
 - **Class B (aka: Progress, Mini, Readiness Review)**
 - **Class A (aka: The Real Deal!)**
- **The SEI introduced appraisal classes to encourage an emerging good practice**
 - **Reality check**
 - **Ego protection**
 - **Understand what appraisals are all about.**

Do: Say Your ABC's Backwards – 2

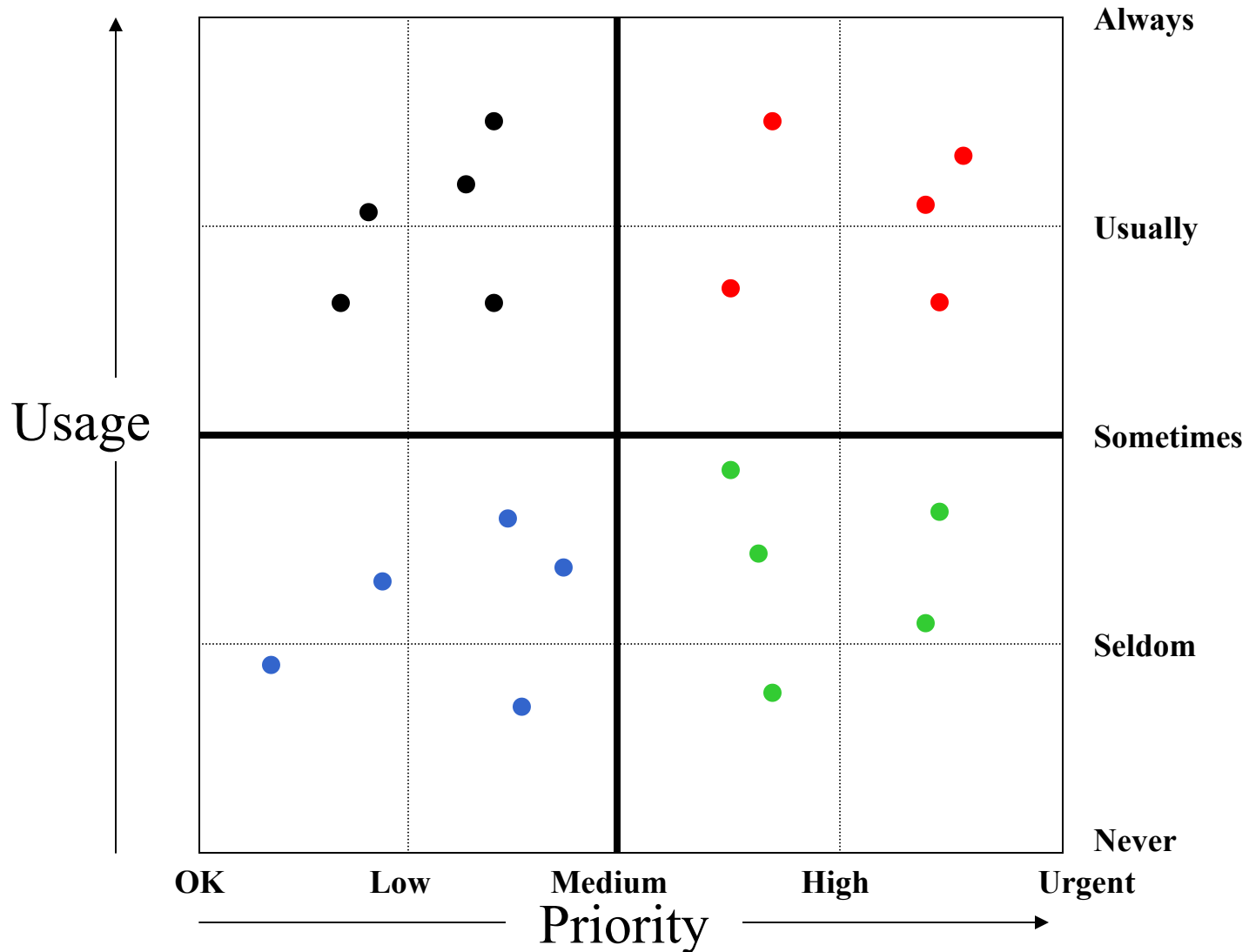
- **Use Class C and B appraisals to identify, discuss, and achieve alignment on:**
 - **Potential weaknesses – especially if goal threatening**
 - **Model interpretation issues**
 - **Alternative practices**
 - **Or “alternative implementations”**
 - **“Not applicable” process areas, goals, or practices**
 - **Note that goals and practices CANNOT be “Not Applicable!”**
 - **And only SAM can be made N/A when using staged**
- **Don't start with a SCAMPI Class A appraisal**
 - **...but then don't end with one either!**

Do: Say Your ABC's Backwards – 3

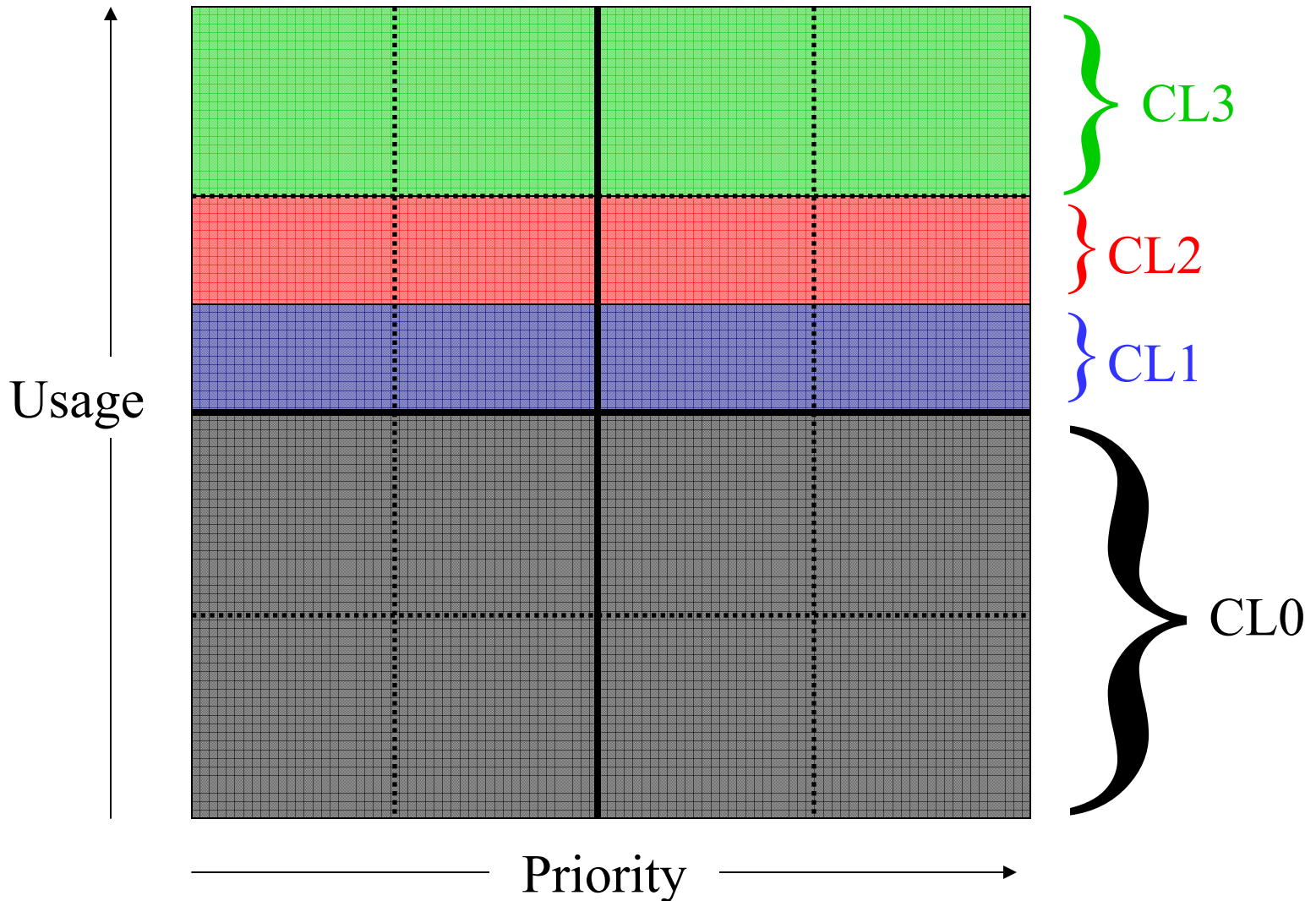
- Consider employing a “Class D” method

Assessment Survey - Process and Product Quality Assurance													
Category 1: <u>Software Engineering</u> Category 2: <u>Non-manager</u> For each Specific Practice: 1. Read the informative material in the model; then 2. Select your choice for Current Use and Priority and 3. Note any documentation generated by this practice.		Current Use					Priority to Improve					Documentation or Other Output	
		We Always Do It	We Usually Do It	We Sometimes Do It	We Seldom Do It	We Never Do It	No Opinion	Urgent Priority	High Priority	Medium Priority	Low Priority		OK As Is
SP 1.1-1	Objectively evaluate the designated performed processes against the applicable process descriptions, standards, and procedures.		✓							✓			Process Review Sheets
SP 1.2-1	Objectively evaluate the designated work products and services against the applicable process descriptions, standards, and procedures.				✓			✓					Peer Review Forms
Please provide any comments or suggestions regarding your responses above: <i>SP1.2-1 Peer reviews are not always the most effective way of detecting issues related to work product standards. It works better if a person is assigned the role of “standards reviewer.”</i>													

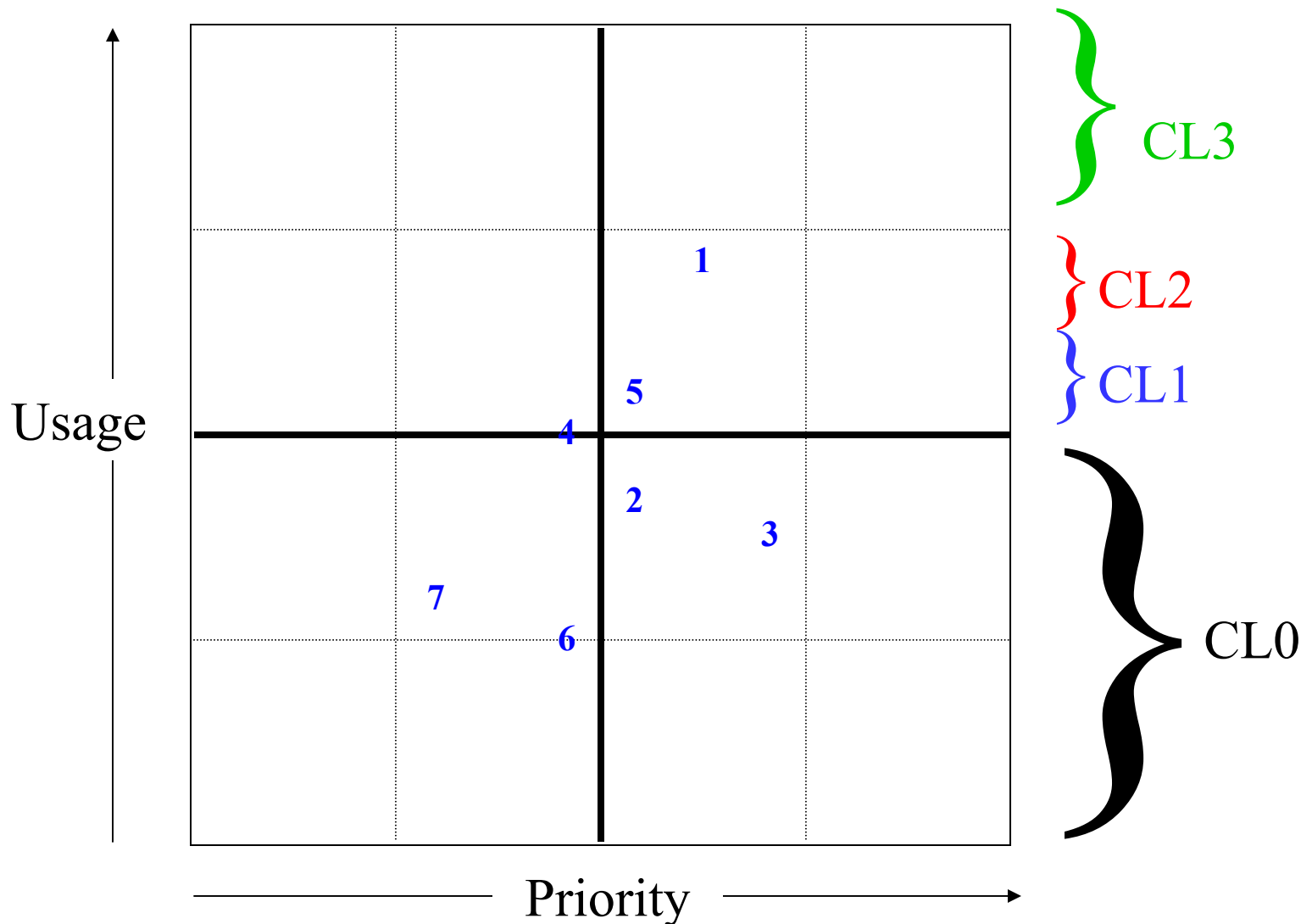
Do: Say Your ABC's Backwards – 4



Do: Say Your ABC's Backwards – 5



Project Planning SG2: Develop a Project Plan



Don't: Procrastinate on Planning – 1

- **Does anyone have any questions before we cover this topic?**
- **Does anyone want to cover something else first?**
- **Can ANYONE think of a reason to delay discussing this topic? - PLEASE!!**

Don't: Procrastinate on Planning – 2

- **Objective of planning is “No surprises!”**
 - **Key participants must be identified well in advance**
 - **Sponsor**
 - **Site Coordinator**
 - **Lead Appraiser (LA)**
 - **Appraisal Team Members (ATMs)**
 - **Ensure completion of “Intro to CMMI v1.2” course**
 - **Or v1.1 course plus v1.2 upgrade training**
- **Start planning at least 2 months in advance**
 - **Joint responsibility of LA & Site Coordinator**
- **New SEI Policy (8/07):**
 - **Appraisal Plan must be entered in SEI Appraisal System (SAS) at least 30 days before the onsite period.**

Don't: Procrastinate on Planning – 3

- **Highest priority items:**
 - **Determine organizational scope**
 - Which organizational units and engineering disciplines?
 - **Determine which ML or PAs/CLs are to be appraised**
 - Consider expanding scope – include some additional PAs
 - Establish a baseline for the next wave of improvements
 - **Assign PAs to ATMs early – allow them to prepare**
 - **Identify:**
 - Appraisal time frame
 - Focus projects
 - Discussion group participants
 - **Lock in schedule and logistics**
 - Get people and rooms scheduled early!

Don't: Procrastinate on Planning - 4

- Use a robust planning template (or SAS)

Appraisal Identification

Appraisal Name	ACME Software Division
SEI Partner	Process Assessment, Consulting, and Training

Organizational Information

Organization Unit Description	
Company Name	ACME
Appraised Organization Name	ACME Software Division
Appraised Organization Description	The ACME Software Division generates and maintains the ACME software products that are sold to ACME customers around the globe.
Application Domain(s)	Corporate HR and Accounting Systems.
Appraisal's Organizational Scope	Software Division only - excluding the Field Support engineers and Help Desk function.
Excluded Instantiations (if any)	ACME Accounts Payable 7.0 has been excluded as it is a tailored application for a single client in Moscow.
Location (City, State, Zip, Country)	Lake Wobegon, MN
Multi-site (if yes, describe sites)	Single site
Organizational readiness for appraisal	Conducted Class B-like readiness review in February, 2007
People Sample Size (%)	35.0%
Project Sample Size (%)	50.0%

Do's and Don'ts

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 - Do: Conduct A "Live" Training Interview
 - Do: Interviews Only in the Morning
 - Don't: Interview PMs Back-to-Back
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Do: Conduct a “Live” Training Interview

- **IFF training immediately precedes onsite**
 - **Otherwise it starts the clock for the 90-day rule**
- **Arrange a PM discussion during training**
 - **Makes training “real;” ATMs:**
 - **Take real notes**
 - **Write real observations**
 - in the safety of the training environment**
 - **After the session, ask the PM:**
 - **How they felt about the discussion topics and approach**
 - **What improvements would make subsequent sessions better**
 - **Identify potential ATM or mini-team problems.**

Do: Interview Only in the Morning - 1

- **The ideal number of interviews per day:**
 - **Three 1-hour interviews**
 - **Two 1.5-hour interviews**
- **Put a break between interviews**
 - **Provides mental and physical relief**
 - **Allows context switching to occur.**

Do: Interview Only in the Morning – 2

	Monday, 4/24		Tuesday, 4/25		Wednesday, 4/26		Thursday, 4/27		Friday, 4/28
8:00	Orient Team - Daily	8:00	Orient Team - Daily	8:00	Orient Team - Daily	8:00	Orient Team - Daily	8:00	Orient Team - Daily
8:15	Activities	8:15	Activities	8:15	Activities	8:15	Activities	8:15	Activities
8:30	Interview #1	8:30	Interview #3	8:30	Interview #6	8:30	Interview #8	8:30	Interview #11
8:45		8:45		8:45		8:45		8:45	
9:00		9:00		9:00		9:00		9:00	
9:15		9:15	9:15	9:15		9:15			
9:30		Break	9:30	Break		9:30	Break	9:30	
9:45	Break	9:45	Interview #4	9:45	Break	9:45	Interview #9	9:45	Interview #12
10:00		10:00		10:00		10:00		10:00	
10:15		10:15		10:15		10:15		10:15	
10:30	Interview #2	10:30	Break	10:30	Interview #7	10:30	Break	10:30	Break
10:45		10:45	10:45	10:45		10:45			
11:00		11:00	11:00	11:00		11:00			
11:15		11:15	11:15	11:15		11:15			
11:30		11:30	11:30	11:30		11:30			
11:45	Lunch	11:45	Interview #5	11:45	Interview #10	11:45	Interview #13	11:45	Lunch
12:00		12:00		12:00		12:00		12:00	
12:15		12:15		12:15		12:15		12:15	
12:30		12:30		12:30		12:30		12:30	
12:45		12:45		12:45		12:45		12:45	

Don't: Interview PMs Back-to-Back

- **Why not?**

- **Puts ATMs with PM-related PAs into scramble mode**
 - **PP/PMC/IPM/RSKM assigned to same mini-tem**
 - **They become overwhelmed with interview data**
 - **Leaves inadequate time to prepare for subsequent interview(s)**
 - **Analysis of new data captured and/or new documentation provided**
 - **Determination of gaps in data coverage**
 - **Identification of potential weaknesses that need to be explored**
- **Everyone else is sitting on their hands/keyboards.**

Don't: Interview PMs Back-to-Back

- **Better approach:**

- **Divide PAs into continuous representation categories:**

- **Project Management** (PP, PMC, SAM, IPM, RSKM)
- **Engineer / Developer** (REQM, RD, TS, PI, VER, VAL)
- **Process Management** (OPF, OPD, OT)
- **Support** (PPQA, MA, CM, DAR)

- **Assign PAs to mini-teams by category**

- **Schedule only one interview per category per day**

- **Save one project manager for last**

- **Plug holes in coverage across all PAs**
- **Avoids time-consuming follow-up interviews.**

Don't: Interview PMs Back-to-Back

	Monday, 8/13		Tuesday, 8/14		Wednesday, 8/15		Thursday, 8/16		Friday, 8/17				
8:00	ATM Training - Appraisal Tools - Doc Review - Interviews	8:00	Orient Team - Daily Activities	8:00	Orient Team - Daily Activities	8:00	Orient Team - Daily Activities	8:00	Orient Team - Daily Activities	8:00			
8:15		8:15		8:15	8:15	8:15	8:15	8:15	8:15	8:15			
8:30		8:30		8:30	8:30	Discussion with PM1	8:30	Discussion with PPQA	8:30	Discussion with PM2	8:30		
8:45		8:45		8:45	8:45		8:45		8:45		8:45		
9:00		9:00		Opening Briefing	9:00	9:00	9:00	9:00	9:00	9:00	9:00		
9:15		9:15			9:15	9:15	9:15	9:15	9:15				
9:30		9:30		9:30	Break	9:30	9:30	9:30	9:30	Break	9:30		
9:45		9:45		9:45		9:45	9:45	9:45	9:45				
10:00		10:00		Break	10:00	Discussion with Developers from Project 1	10:00	Break	10:00	Discussion with Developers from Project 2	10:00		
10:15		10:15		10:15	10:15		10:15		10:15		10:15		
10:30		10:30		Discussion with EPG	10:30	10:30	10:30	Discussion with Training Group	10:30	Discussion with CM Team	10:30		
10:45		10:45			10:45	Break	10:45		10:45		10:45		
11:00		11:00		11:00	Discussion with Metrics Team	11:00	11:00	11:00	11:00	11:00	11:00		
11:15		11:15		11:15		11:15	11:15	11:15	11:15				
11:30	11:30	11:30	11:30	11:30	11:30	11:30	11:30	11:30	11:30				
11:45	11:45	11:45	11:45	11:45	11:45	11:45	11:45	11:45	11:45				
12:00	12:00	Break	12:00	Break	12:00	Break	12:00	Break	12:00				
12:15	12:15	12:15	12:15	12:15	12:15	12:15	12:15	12:15	12:15				
12:30	Lunch	12:30	Lunch	12:30	Lunch	12:30	Lunch	12:30	Lunch	12:30			
12:45		12:45		12:45		12:45		12:45		12:45	12:45		
1:00		1:00		1:00		1:00		1:00		1:00	1:00		
1:15	1:15	1:15	1:15	1:15	1:15	1:15	1:15	1:15	1:15				
1:30	Discussion with PM	1:30	Consolidate Data and Review Documentation	1:30	Review Documentation	1:30	Consolidate Data and Review Documentation	1:30	Consolidate Data and Review Documentation	1:30			
1:45		1:45		1:45		1:45		1:45		1:45	1:45		
2:00		2:00		2:00		2:00		2:00		2:00	2:00		
2:15	2:15	2:15		2:15		2:15		2:15		2:15			
2:30	2:30	2:30		2:30		2:30		2:30		2:30			
2:45	ATM Training - Consolidate Data and Review	2:45		2:45		2:45		2:45		2:45	2:45	2:45	2:45
3:00		3:00		3:00		3:00		3:00		3:00	3:00		
3:15		3:15		3:15		3:15		3:15		3:15	3:15		
3:30	ATM Training - Practice Char - Prelimin Findings - Goal Ratings - Final Findings	3:30		3:30		3:30		3:30		3:30	3:30	3:30	3:30
3:45		3:45		3:45		3:45		3:45		3:45	3:45	3:45	
4:00		4:00		4:00		4:00		4:00		4:00	4:00	4:00	
4:15		4:15		4:15		4:15		4:15		4:15	4:15	4:15	
4:30		4:30		4:30		4:30		4:30		4:30	4:30	4:30	
4:45		4:45		4:45		4:45		4:45		4:45	4:45	4:45	

Don't: Spread Interview Time Too Thin

- **Some interviews are focused on few process areas**
 - EPG, Developers, Testers
 - Cover corresponding PAs and GPs thoroughly
- **Some focus on PAs and institutionalization**
 - PPQA, Metrics Team, Training Group
 - Need to cover PA(s) and related GP(s)
- **Plan no more than 3 interviewers plus...**
- **Save 10-15 minutes for LA to ask follow-ups**
 - Clarifying questions
 - Fill gaps in coverage/understanding
 - Exploration of potential weaknesses.

Don't: Spread Interview Time Too Thin

Project Manager #1: Dale Carnegie				
Primary Assessor	PA	# Mins	Start Time	End Time
Pat	Opening	0:05	8:30 AM	8:35 AM
Cindy	REQM	0:10	8:35 AM	8:45 AM
Joan	PP, PMC	0:30	8:45 AM	9:15 AM
Bill	IPM, RSKM	0:30	9:15 AM	9:45 AM
Pat	Follow-Up	0:10	9:45 AM	9:55 AM
Pat	Closing	0:05	9:55 AM	10:00 AM
Total Allocated		1:30		
extra time		0:00		

You have time for a couple more questions

VS

You have time for one more question.

Don't: Waste the Manager Interview - 1

- **Schedule MM discussion group toward the end**
- **Cover their role in:**
 - **Commitment process**
 - **Project reviews**
 - **Verification of process compliance**
 - **Process improvement**
 - **Etc.**

Don't: Waste the Manager Interview - 2

- **And then make 'em squirm!**

“For the past several days we have been talking to people and soliciting their improvement suggestions

Now we want to see if you, the middle management team, have your collective finger on the organizational pulse

What improvements did your people suggested regarding the way <projects are planned> around here?”

– Save 30-40 minutes for this squirm fest

- **Cover as many areas as you can**
- **You get tremendous insight into potential improvements**

– Enhances middle management buy-in to the findings

- **AND they think they are in touch with reality!**

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Do: Maintain a Balanced Diet

- **Provide time on a daily basis for:**
 - **Data gathering**
 - **Data consolidating**
 - **Practice characterization**
 - **Team “consensing”**
 - **Interview scripting**
- **Time-box activities**
 - **Don’t encourage “out of the box” behavior**
 - **Keeps team focused and productive.**

Don't: Stop Improving Appraisals

- **Don't assess a Level 3 organization using a Level 1 appraisal process**
 - “Physician, heal thyself”
 - Eat your own dog food
- **Apply CMMI concepts to appraisals**
 - Estimate, plan, track, measure, improve
- **Capture “lessons identified” after appraisal**
 - Modify appraisal infrastructure => lessons applied
 - Modify future behavior => “lessons learned.”

Questions?

Pat O'Toole

Process appraisal, Consulting & Training

952-432-0693

www.PACTCMMI.com

PACT.otoole@att.net