



Lessons Learned
on
Cooperative
Government/Industry Appraisals
aka Registered Appraisals

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Cooperative Appraisals

1 A definition:

- Government members or representatives participate on a corporate assessment
- Goal is to establish additional confidence in impartiality and objectivity of assessment results
- Results signed by government members to assert that objective appraisal process was used in conformance with the instrument's method description
- Results (including findings) “registered” with SEI
 - Registration “certificate” confirms “fact of” and receipt of appraisal materials / details / results and compliance with defined appraisal process
 - May be useful in lieu of customer conducting their own evaluation of the appraised organization





Impetus for Initial Interest in Cooperative Appraisals

- 1 OSD Policy, Jan 2001, requiring Level 3 Evaluation in order to compete for DoD Acquisitions
 - Not corporate assessment, but government (or representative) evaluation
 - ACAT1 programs, but some services applying policy to other programs
- 1 Discomfort/unwillingness to rely solely on corporate appraisals for understanding corporate capabilities & process maturity
- 1 Resources and schedule implications on government evaluations during source selections

Program Offices could accommodate best practices / policy influences through increased collaboration in corporate assessments for process improvement





Collaborative or Registered Appraisals

- 1 Appraisers representing government offices participate on corporate assessments as equal member of appraisal team
 - Trained/qualified appraisers supplied and sponsored by government office
- 1 Results “registered” with SEI
 - Contractor can make registered results available to prospective customers/government offices
 - Could be used in lieu of SCE-like evaluation for acquisition while retaining objective perspective of appraisers not sponsored by corporate organization





Who can be a "Government" Member of Cooperative Appraisal Team?

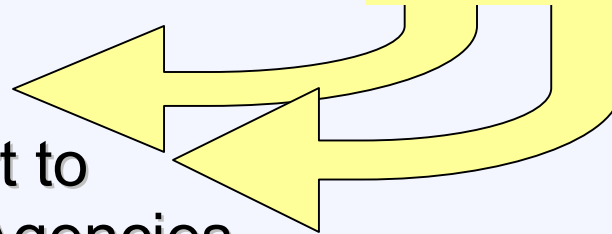
1 Government employee

- Program office member
- DCAA rep
- DCMA rep
- Other

1 FFRDC

1 CAAS/SETA Support to Program Offices or Agencies

As long as no consulting relationship to appraised organization for process improvement implementation



Key Criteria

- Proper training and experience
- Participation Sponsored By (Paid for By) Government Agency





Role of Government Representatives on Appraisal Team

- 1 Understand corporate objectives for appraisal
- 1 Bring experience / appraisal knowledge/ model knowledge as full-fledged member of appraisal team
- 1 Fulfill responsibilities as full-fledged appraisal team member
 - Not merely an observer of the appraisal team
 - Ensure their vote/voice counts as much as every other appraisal team member
- 1 After appraisal:
 - Sign registered appraisal forms
 - Attesting to completeness/validity of process used for appraisal
 - Respond to questions from prospective “consumers” of appraisal information during next 2 years
 - Government program offices seeking maturity level information in support of acquisition





1st Registered Appraisal -- Context

- 1 First cooperative appraisal conducted Summer 02
 - Appraisal Method: SCAMPI V 1.1
 - Reference Model: CMMI SE/SW, Staged, Level 5
- 1 Scope of appraisal, Lockheed Martin, M&DS
- 1 Size of team: 6
 - 3 of the 6 were SEI-authorized lead appraisers
 - 2 of the 6 were SCAMPI lead assessors
- 1 “On Site” Window:
 - 3 days team training/readiness review
 - 10 days of on-site appraisal activities





Factors Affecting Effectiveness of Cooperative Appraisal

- 1 Early identification and involvement of Government appraisal team members
- 1 Planning
- 1 Qualifications of team members
- 1 Composition/Responsibilities of mini teams
- 1 Interpersonal dynamics of appraisal team members
- 1 Readiness of the appraised organization





Lessons Learned ¹

- 1 Early Identification/Acceptance of Government Appraisal Team Members (6 months or longer before appraisal)
 - Ensure entire appraisal team is balanced/optimized
 - Will drive appraisal team approach
 - Match mini teams to complement experience/expertise of all appraisal team members
 - Organizational overviews and documentation needs
 - Allows for optimized PA assignments
 - Preserves appraisal schedule with early lock-in
 - Allows time to identify and resolve any training needs
 - Allows time to look for alternatives if nominee lacking critical training/experience





Lessons Learned ²

1 Effective Planning

- Involve government-sponsored appraisal team members **AS EARLY AS POSSIBLE** in corporate planning activities
 - Helps build shared understanding of corporate objectives and expectations
 - Senior management's focus on process improvement and maturity level rating
 - Historical background of organization in their process journey (what has worked, what hasn't)
 - Address team building, training, appraisal focus issues early without disruption to corporate assessment plans





Lessons Learned ³

- 1 **Qualifications of Government Team Members**
 - Must have strong experience with formal appraisals
 - Must be a lead appraiser or candidate lead appraiser
 - Must have strong foundation with reference model
 - Experience using same model in appraisals
 - Must have ample experience with relevant development & engineering activities
 - 10-15 years system development
 - Similar business/technical domain a plus

Government Members represents credibility of appraisal to other Government Agencies

∇ *the credibility of their affirmation is limited by their credibility as an appraiser*





Lessons Learned ⁴

1 Composition/Responsibilities of Mini Teams

- SCAMPI concept of mini-teams does not directly support concept that government members of cooperative assessments can attest to process and be comfortable with results
 - Mini-team activities can be much more diffused than in CBA-IPI or SCE
 - Allows for more “in-parallel” data gathering and consolidation
 - Make sure Appraisal Plan allows for sufficient “in serial” data gathering and processing to accommodate Registered Appraisal objectives
 - Make sure team data consolidation and consensus activities allow for sufficient time to share information across mini-team
 - Mini Teams responsible for justifying characterizations at project level to rest of the team during consensus...
 - 1 Not just counting types/pieces of objective evidence
 - “Red-teaming” project characterizations across mini-teams in preparation for team consensus...





Lessons Learned ⁴ (continued)

1 Composition/Responsibilities of Mini Teams

- Put considerable thought into how to organize mini teams given participation of government representatives
 - Most controversial PA's will be those at higher maturity levels
 - Government members will have less familiarity with organizational aspects of processes
- Don't put government members on same mini team
- Don't put government members only on less controversial or less stringent PA's
- Don't organize mini teams by maturity level
 - Doesn't balance work across mini teams
- Consider organizing mini teams by process category or some other method to balance appraisal work by a conscious theme
 - Project Mgmt (6) Engineering (6)
 - Process Mgmt (5) Support (5)





Lessons Learned ⁵

- 1 Interpersonal Dynamics of Appraisal Team Members
 - High probability government members have not been on an appraisal with rest of team members before
 - High probability government members not as familiar with organization's policies, standards, processes, terminology, etc as rest of team (*which more than likely will have experience appraising this organization*)
 - Team building and team communication is crucial to successful appraisal
 - Make time for these tasks during planning and training activities
 - Model interpretations need to be normalized across team
 - Even with team of well-qualified, experienced evaluators
 - Objective evidence interpretations and definitions of sufficiency need to be consistent and reasonable
 - What's a Direct Artifact versus Indirect Artifact versus Direct Affirmation?
 - What kind of objective evidence is sufficient to demonstrate "fully implemented"?
 - One direct artifact (i.e. minutes from one meeting)? There are many types of direct artifacts... so what will be sufficient





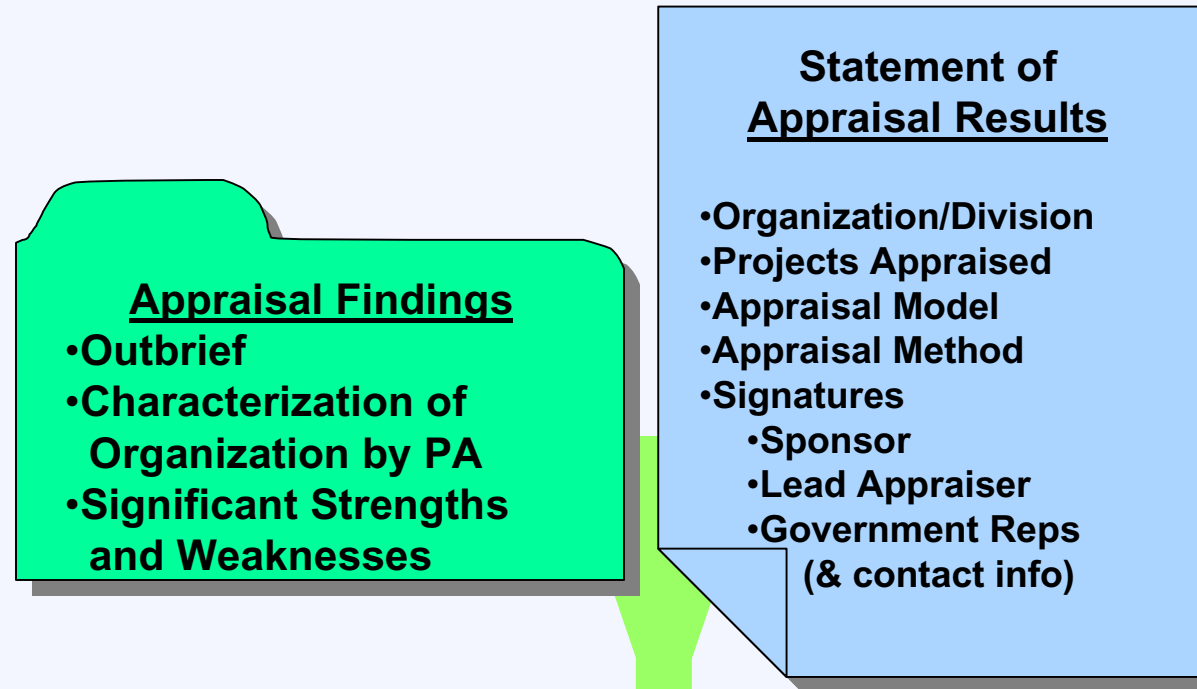
Lessons Learned ⁶

- 1 Readiness/Maturity of the Appraised Organization
 - Meeting the intent of the model as well as the “letter of the law”
 - Conservative Mapping of Organization/Project Processes and Artifacts to Model
 - Organization doesn’t try to stretch processes to apply to higher level process areas
 - Availability of additional objective evidence and people to respond to appraisers’ questions
 - May be more questions/info requests than in typical corporate assessment
 - Organization welcomes an objective appraisal





Output of Registered Appraisal*



Registered results valid for 2 years

SEI Repository for Registered Appraisal Results



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*For further information contact SEI Customer Relations at 412-268-5800 or customer_relations@sei.cmu.edu



Remaining Policy Issues

- 1 Degree to which registered appraisals used in source selections
 - Education/awareness/motivation

- 1 FAR implications for competitions
 - If not all offerors in acquisition have cooperative appraisal results available/registered

- 1 Near term staffing drain on government agencies to get initial cooperative appraisals registered
 - Rely on FFRDCs and CAAS/SETA





Summary

- 1 Age-old question: Does sponsorship and appraisal team composition affect outcome/results of appraisal?
- 1 Age-old constraints:
 - Staffing/resource constraints for implementing OSD policy
 - Impact of Government Class A appraisals on acquisition schedules
- 1 Solution sets:
 - Other than SCAMPI Class A Appraisals
 - SCAMPI Class B Appraisal Evaluation Method (*to be defined early 03*)
 - System / Software Risk Evaluations
 - Process Benchmarking Evaluations
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 - Cooperative Government/Industry Appraisals with Registered Results

