Lessons Learned
on
Cooperative
Government/Industry Appraisals
aka Registered Appraisals

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Cooperative Appraisals

l **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

- 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
- Discomfort/unwillingness to rely solely on corporate appraisals for understanding corporate capabilities & process maturity
- 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

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Collaborative or Registered Appraisals

- Appraisers representing government offices participate on corporate assessments as equal member of appraisal team
  - Trained/qualified appraisers supplied and sponsored by government office

- 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

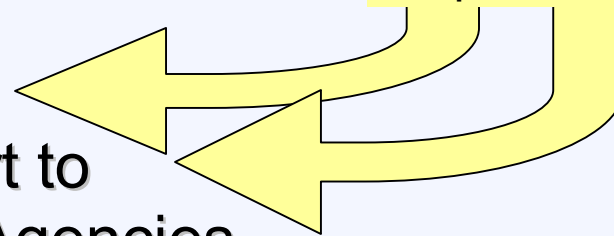# Who can be a "Government" Member of Cooperative Appraisal Team?

- **Government employee**
  - Program office member
  - DCAA rep
  - DCMA rep
  - Other
- **FFRDC**
- **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**

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Role of Government Representatives on Appraisal Team

- Understand corporate objectives for appraisal
- Bring experience / appraisal knowledge/ model knowledge as full-fledged member of appraisal team
- 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
- 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

- **First cooperative appraisal conducted Summer 02**
  - Appraisal Method: SCAMPI V 1.1
  - Reference Model: CMMI SE/SW, Staged, Level 5
- **Scope of appraisal, Lockheed Martin, M&DS**
- **Size of team: 6**
  - 3 of the 6 were SEI-authorized lead appraisers
  - 2 of the 6 were SCAMPI lead assessors

- **"On Site" Window:**
  - 3 days team training/readiness review
  - 10 days of on-site appraisal activities

Factors Affecting Effectiveness of Cooperative Appraisal

l Early identification and involvement of Government appraisal team members

l Planning

l Qualifications of team members

l Composition/Responsibilities of mini teams

l Interpersonal dynamics of appraisal team members

l Readiness of the appraised organization

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

[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

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Lessons Learned [3]

- Qualifications of Government Team Members[1]
  - 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]

- 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…
        - Not just counting types/pieces of objective evidence
      - "Red-teaming" project characterizations across mini-teams in preparation for team consensus…

Lessons Learned [4] (continued)

- 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

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

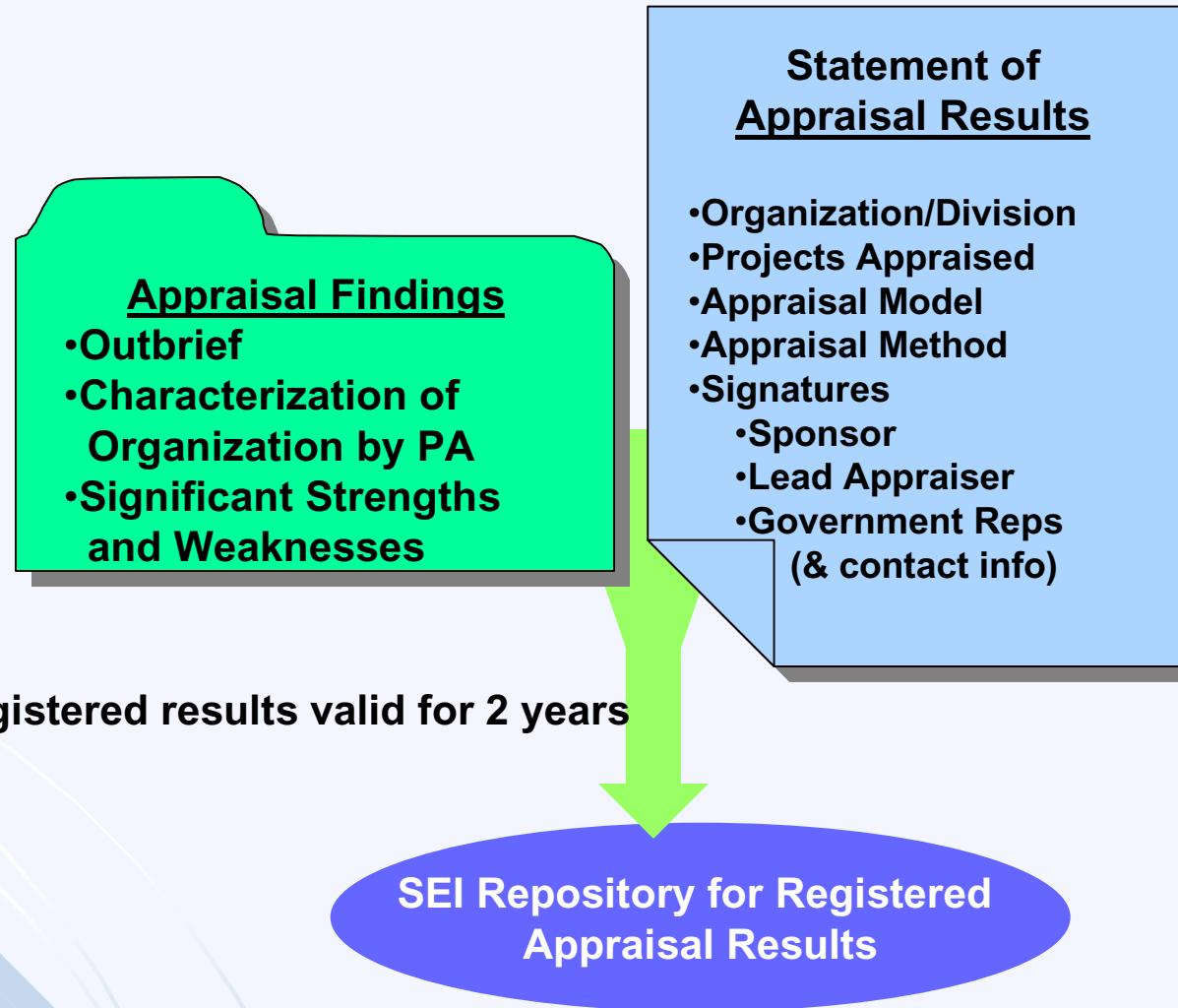**Carnegie Mellon**
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1. ## Readiness/Maturity of the Appraised Organization

   – 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*

**Statement of
Appraisal Results**

- Organization/Division
- Projects Appraised
- Appraisal Model
- Appraisal Method
- Signatures
  - Sponsor
  - Lead Appraiser
  - Government Reps
    (& contact info)

Appraisal Findings
- Outbrief
- Characterization of
  Organization by PA
- Significant Strengths
  and Weaknesses

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

l **Degree to which registered appraisals used in source selections**

   – Education/awareness/motivation

l **FAR implications for competitions**

   – If not all offerors in acquisition have cooperative appraisal results available/registered

l **Near term staffing drain on government agencies to get initial cooperative appraisals registered**

   – Rely on FFRDCs and CAAS/SETA

Summary

- Age-old question: Does sponsorship and appraisal team composition affect outcome/results of appraisal?
- Age-old constraints:
  – Staffing/resource constraints for implementing OSD policy
  – Impact of Government Class A appraisals on acquisition schedules
- 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
    - ……
  – Cooperative Government/Industry Appraisals with Registered Results

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