



CMMI Institute

INS AND OUTS OF APPRAISAL TEAM COMPOSITION

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WHO AM I? WHY SHOULD YOU CARE?



- President of AEGIS.net, Inc. based here in the DC Metro area.
 - IV&V, software testing, agile development
 - Federal government, commercial industry
 - Healthcare, homeland security, regulatory, transportation sectors
 - Special focus on health information exchange interoperability testing
 - CMMI ML 3 in DEV and SVC+SSD
- Sponsor of AEGIS' SCAMPI appraisals (three since 2009)
- Winner of inaugural CMMI Institute Capability Challenge in 2016
- Judge for this year's competition
- CMU '94



WHY ARE WE HERE?



- As with other aspects of an appraisal, you have options when it comes to building your appraisal team
- What are some of those options?
- What are the pros and cons of each one? How to decide?
- What has AEGIS' experience been?
- What have your experiences been?
- If we have time, we'll also talk about aligning organizational appraisals/audits...



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REQUIREMENTS FOR A SCAMPI APPRAISAL TEAM MEMBER (ATM)



- Complete valid version of a licensed Introduction to CMMI course
 - If the ATM took a previous version of the course, s/he needs to take the upgrade to the current version
- If the appraisal is using a different CMMI model than that of the prospective ATM's base Intro course, then the individual will also need to take the respective Supplement courses
- Each ATM must have previously completed a licensed offering of the most recent version of the designated introductory course or upgrade training relating to each and every reference model (e.g., CMMI constellation, or People CMM) that is included in the scope of the appraisal



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ROLE OF THE LEAD APPRAISER

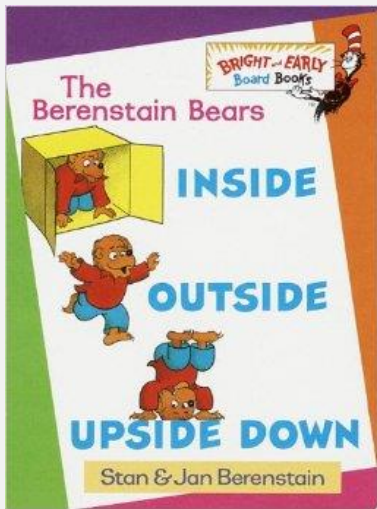


- Generally, the Lead Appraiser has final say in the ATMs participating in the appraisal
- So start this discussion early – like, before you finalize your LA selection as they likely have strong opinions on the make up of the team. Their credibility and credential is at stake every time they run an appraisal!
- That said, you might be able to make a persuasive enough case with your LA to change his/her mind



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DEFINING TERMS: KINDS OF ATMS



- **External** – people who are outside the organization, its parent organization, etc. i.e., true outsiders.
 - Sources: Other appraised companies; CMMI consultants and those who want to be
- **Semi-External** – people who are outside the organization on which the appraisal is focused, but who work for a different organization within the same company or parent.
- **Internal** – people who work within the organization subject to the appraisal.



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EXTERNAL ATMS

- Pros:
 - Lowest risk of bias
 - Bring outside perspectives
 - Bring no predispositions (probably)
 - Not necessarily motivated to see the appraisal reach a certain outcome
- Cons:
 - Will need to come up to speed with respect to understanding your organization (could impact efficiency of the appraisal)
 - Not necessarily motivated to see the appraisal reach a certain outcome



INTERNAL ATMS

- Pros:
 - Come to the table knowing some things about the organization. Why can that be helpful? Potential for audit to go “deeper”; efficiency through familiarity...
 - Knowledge of how the organization’s history and culture have shaped its implementation of the model.
 - Motivated to see the appraisal reach a certain outcome.
- Cons:
 - High risk of bias.
 - Need to control for risks associated with chain of command. Leadership ‘cover’ is a must.
 - Costs associated with getting the required training.
 - Motivated to see the appraisal reach a certain outcome.



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SEMI-EXTERNAL ATMS



- Pros and cons are a blend of those for fully external and fully internal ATMs
- Can anyone from a large organization that used this approach speak to it?



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FOR FUN: EXAMPLES OF ATM COMPOSITIONS APPLIED HERE IN DC

- **External:** Government Accountability Office (GAO). Investigates other agencies.
- **Semi-External:** Department's Inspector General (IG) office. "Independent" office which investigates its own agency.
- **Internal:** The Trump White House - "All in the family!"
- None of these examples should suggest one approach or the other is bad or good; instead they should show that *goals and missions of the organization influence how it approaches appraisals.*



FOR FUN: EXAMPLES OF ATM COMPOSITIONS APPLIED TO SPORTS TEAMS

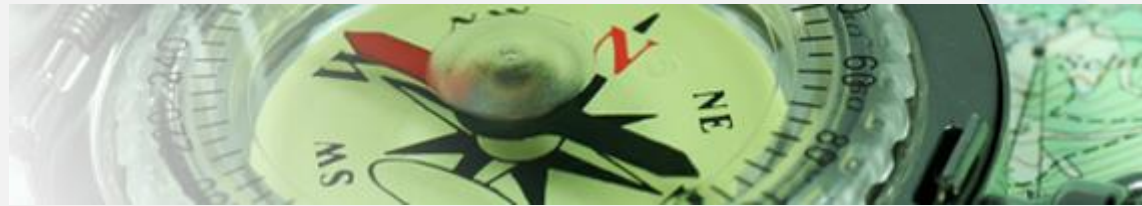
- **External:** Free agent market
- **Semi-External:** Pull up from the farm system
- **Internal:** Call players off the bench



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HOW DOES AEGIS DO IT?

- Blend
 - External Lead Appraiser
 - Internal ATMs
- Why?
 - External lead provides top-level independence and final say.
 - Cultural benefits of including internal ATMs. Helps org-wide buy-in to CMMI.
 - We think it makes the appraisal more efficient because internal ATMs know where evidence can be found, who within the org can elaborate on each topic, etc.
 - Helps us align with other reviews (ISO audits, security audits). We'll discuss this some more in a minute...



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HOW DO YOU DO IT?

- What made you choose your appraisal team composition?
- Can you use internal ATMs and still have objectivity?
- Can you use external ATMs without harming your org's morale?
- Ground rules:
 - Looking for good open debate, unlike Congress
 - No Parliamentary Procedure
 - Will call Sgt. At Arms if things get out of hand!



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ALIGNING APPRAISALS (TIME PERMITTING)



- How do you handle multiple organizational appraisals/audits/reviews?
- Isn't it a pain?
- Isn't it expensive?
- How can we do this more effectively especially given the ever-rising importance of cost controls, and *most* especially among small businesses?



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THANK YOU!

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