МУК 2022/2023:
Модели за управление на качеството на софтуера и ИТ услуги
(Увод в подобряване на процесите - PI, CMMI)

Quality Management Models:
Intro to Process Improvement (PI)

PART 3: Maturity Level 2+

Dr. George Sharkov, Christina Todorova, Krassimir Baylov

ESI Center Eastern Europe

gesha@esicenter.bg

www.esicenter.bg

Информация, източници:

ESI Center Eastern Europe - Resources:
https://esicenter.bg/resources
Education > Resources > (Software) Quality Management - CMMI
(+ the links: - model in pdf ver 1.3)

Links to CMMI models (from the new source – CMMI Institute, spin-off of Carnegie Mellon/SEI):
https://cmmiinstitute.com/resource-files/public/cmmi-v2-0-development-model (paid!!!)
[free] ver 2.0 Practices mapping (to ver 1.3)
https://cmmiinstitute.com/resource-files/public/v2-0-materials/cmmi-v2-0-to-v1-3-practice-mapping

> Access V 1.3 to download CMMI –DEV v 1.3 model *(free, upon registration)*

old SEI repository – VALID for FREE DOWNLOAD:
https://resources.sei.cmu.edu/asset_files/TechnicalReport/2010_005_001_15287.pdf

https://en.wikipedia.org/wiki/Capability_Maturity_Model_Integration

General sources (Software Engineering, Quality)

www.sei.cmu.edu
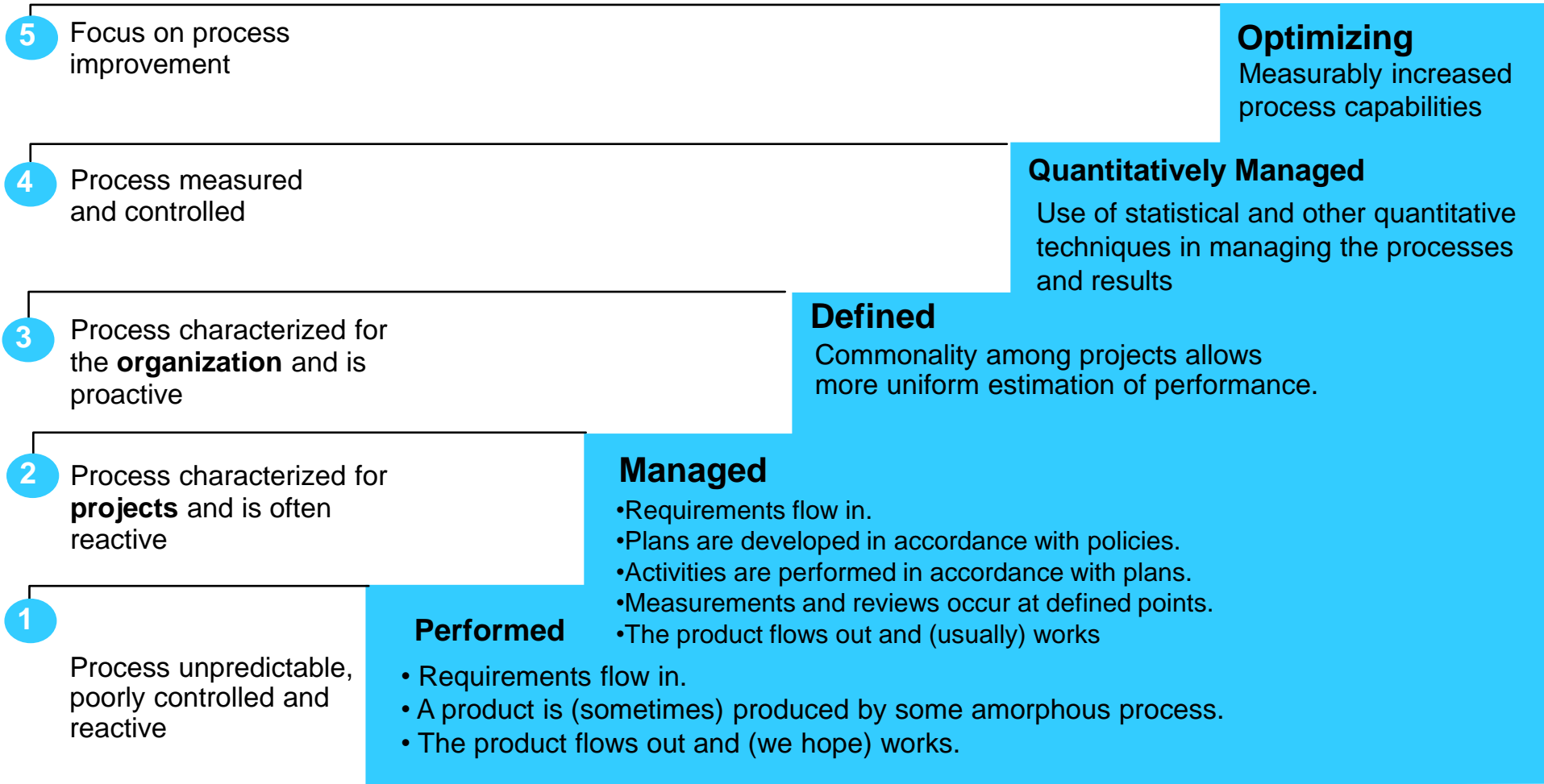http://resources.sei.cmu.edu/library/
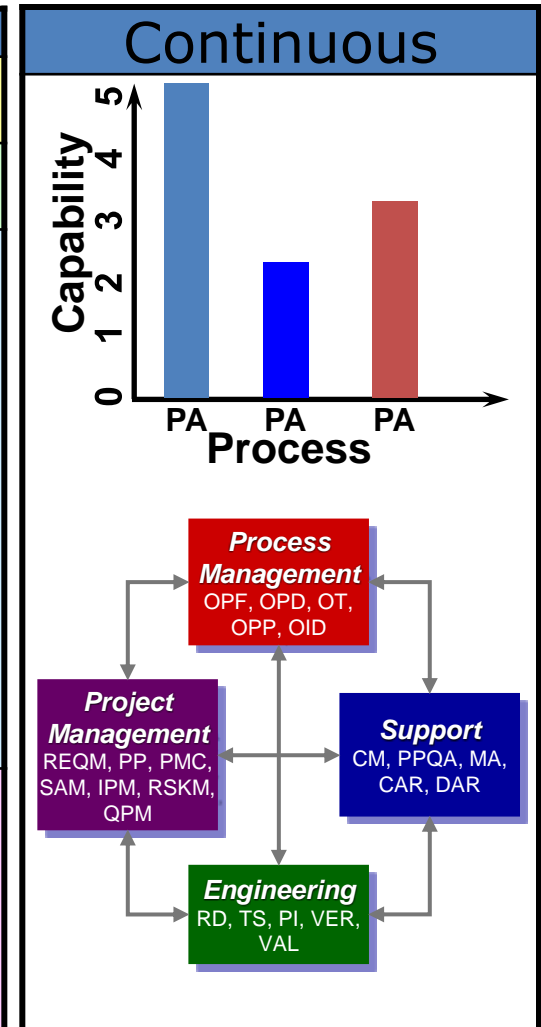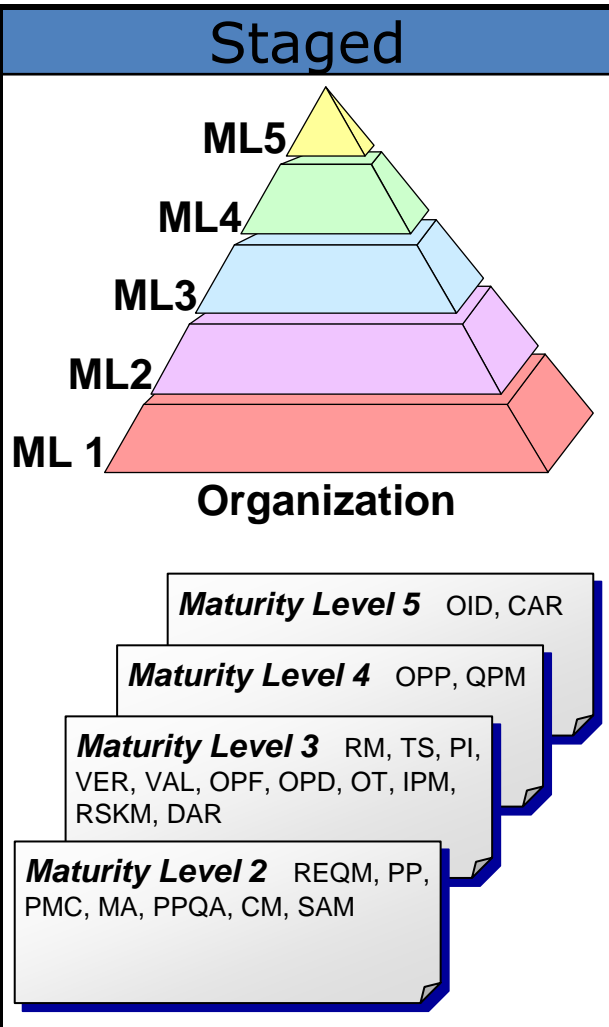www.cmmiinstitute.com

Къде сме?

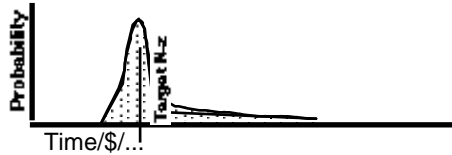|	
1	Увод в управление на качеството. Компоненти и цена на качеството. Процеси. Преглед на моделите за управление на качеството и подобряване на процесите. Методи за оценка на зрелостта на ИТ-интензивни и софтуерни организации. Стратегически карти/Балансирана система от показатели (balanced ScoreCards).
2	Модел CMMI (ver 1.3). История, внедряващи организации. Обща структура. Процесни области. Генерични и специфични цели и практики. Презентации – Maturity/Capability нива на Continuous и Staged representations. Категории процесни области: Process Management, Project Management, Engineering, Support.
3	**Процесни области от ниво 2 на CMMI. Детайлно представяне на:** **REQM – Requirements Management** **PP – Project Planning** **MA – Measurement and Analysis** **PPQA – Process and Product Quality Assurance** **CM – Configuration Management** **PMC – Project Monitoring and Control** **Преглед на:SAM-Supplier Agreement Management**
4	Процесни области от ниво 3 на CMMI. Детайлно представяне на: **RD – Requirements Development** VAL - Validation VER - Verification RSKM - Risk Management TS - Technical Solution Преглед на: DAR - Decision Analysis and Resolution , IPM - Integrated Project Management , OPD - Organizational Process Definition , OPF - Organizational Process Focus, OT - Organizational Training , PI - Product Integration Преглед на Maturity Level 4 и 5. **Обобщение на връзките между процесните области: Tying all together**
5	Внедряване на програма за подобряване на процесите на база CMMI. Адаптирани подходи – Agile CMMI, CMMI/ISO. Нови модели CMMI – CMMI for Services, CMMI for Acquisition. Оценка (SCAMPI), роли.
6	Подобряване на процесите в малки фирми – IT Mark. Компненти на зрелостта – бизнес, организация/процеси, информационна сигурност. Оценка на нивото и план за подобрения.

CMMI (SEI/CMU, CMMI Institute/ISACA) reference model & de facto industrial standard

5 Focus on process improvement

Optimizing
Measurably increased process capabilities

4 Process measured and controlled

Quantitatively Managed
Use of statistical and other quantitative techniques in managing the processes and results

3 Process characterized for the **organization** and is proactive

Defined
Commonality among projects allows more uniform estimation of performance.

2 Process characterized for **projects** and is often reactive

Managed
•Requirements flow in.
•Plans are developed in accordance with policies.
•Activities are performed in accordance with plans.
•Measurements and reviews occur at defined points.
•The product flows out and (usually) works

1 Process unpredictable, poorly controlled and reactive

Performed
• Requirements flow in.
• A product is (sometimes) produced by some amorphous process.
• The product flows out and (we hope) works.

Remember: CMMI Representations

Staged

ML5
ML4
ML3
ML2
ML 1

Organization

Maturity Level 5 OID, CAR

Maturity Level 4 OPP, QPM

Maturity Level 3 RM, TS, PI, VER, VAL, OPF, OPD, OT, IPM, RSKM, DAR

Maturity Level 2 REQM, PP, PMC, MA, PPQA, CM, SAM

Process Areas

Organizational Innovation & Deployment (OID)
Causal Analysis and Resolution (CAR)

Organizational Process Performance (OPP)
Quantitative Project Management (QPM)

Requirements Development (RD)
Technical Solution (TS)
Product Integration (PI)
Verification (VER)
Validation (VAL)
Organizational Process Focus (OPF)
Organizational Process Definition (OPD) + IPPD
Organizational Training (OT)
Integrated Project Management (IPM) + IPPD
Risk Management (RSKM)
Decision Analysis and Resolution (DAR)

Requirements Management (REQM)
Project Planning (PP)
Project Monitoring and Control (PMC)
Supplier Agreement Management (SAM)
Measurement and Analysis (MA)
Process and Product Quality Assurance (PPQA)
Configuration Management (CM)

Continuous

Process Management
OPF, OPD, OT, OPP, OID

Project Management
REQM, PP, PMC, SAM, IPM, RSKM, QPM

Support
CM, PPQA, MA, CAR, DAR

Engineering
RD, TS, PI, VER, VAL

ESI European Software Institute

Remember: Evolution of Process Capability

Level	Process Characteristics	Predicted Performance
5 Optimising	Process improvement is institutionalised	
4 Quantitatively Managed	Product and process are quantitatively controlled	
3 Defined	Software engineering and management processes are defined and integrated	
2 Managed	Project management system is in place; performance is repeatable	
1 Initial	Process is informal and unpredictable	

ESI European Software Institute

Structure of the CMMI
Staged Representation
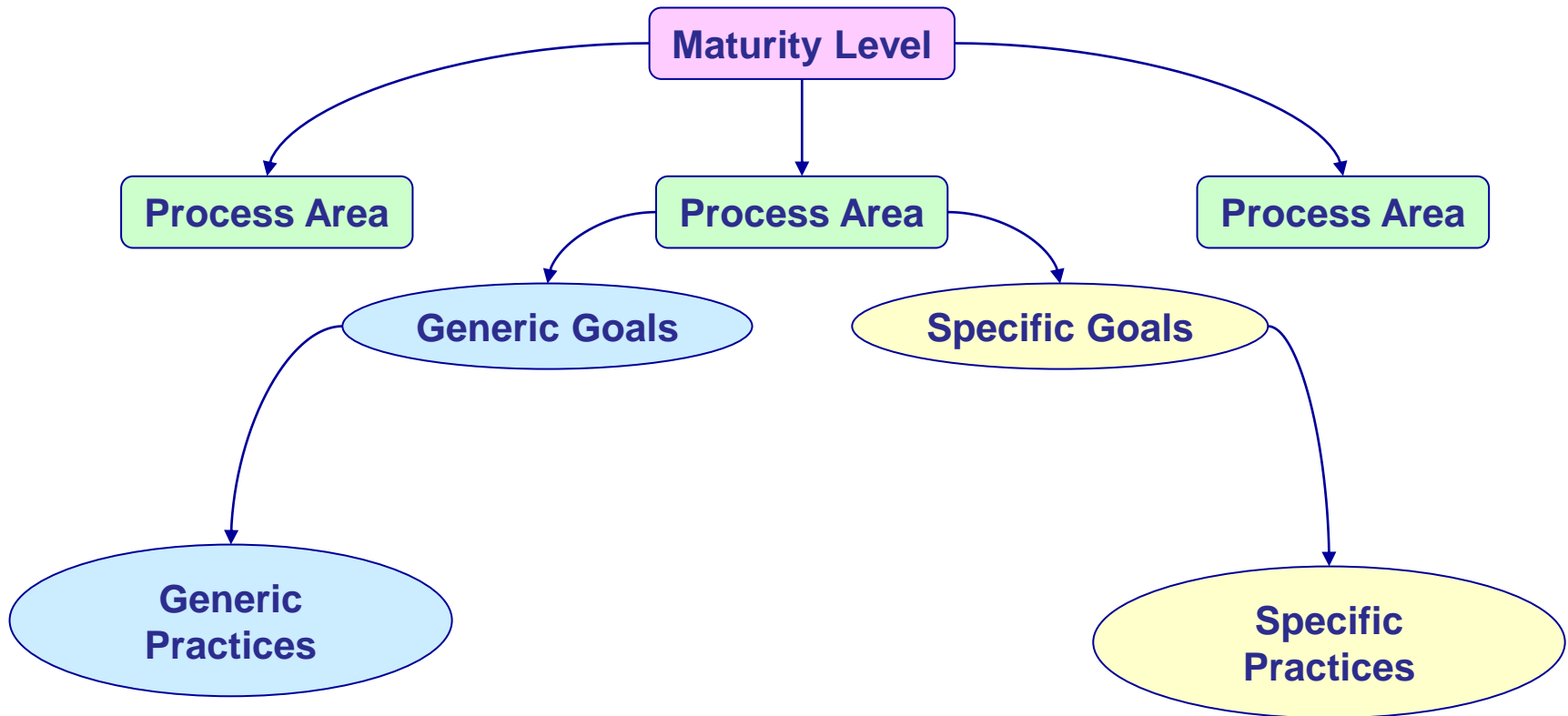
What's in the model & book: Process Area Components

*www.**sei**.cmu.edu/reports/10tr033.pdf*

Process Area (PA)

Required

Specific Goals (SG)

Generic Goals (GG)

Expected

Specific Practices (SP)

Generic Practices (GP)

Informative

Example Work Products

Subpractices

Subpractices

Generic Practice Elaborations

Purpose Statement

Introductory Notes

Related Process Areas
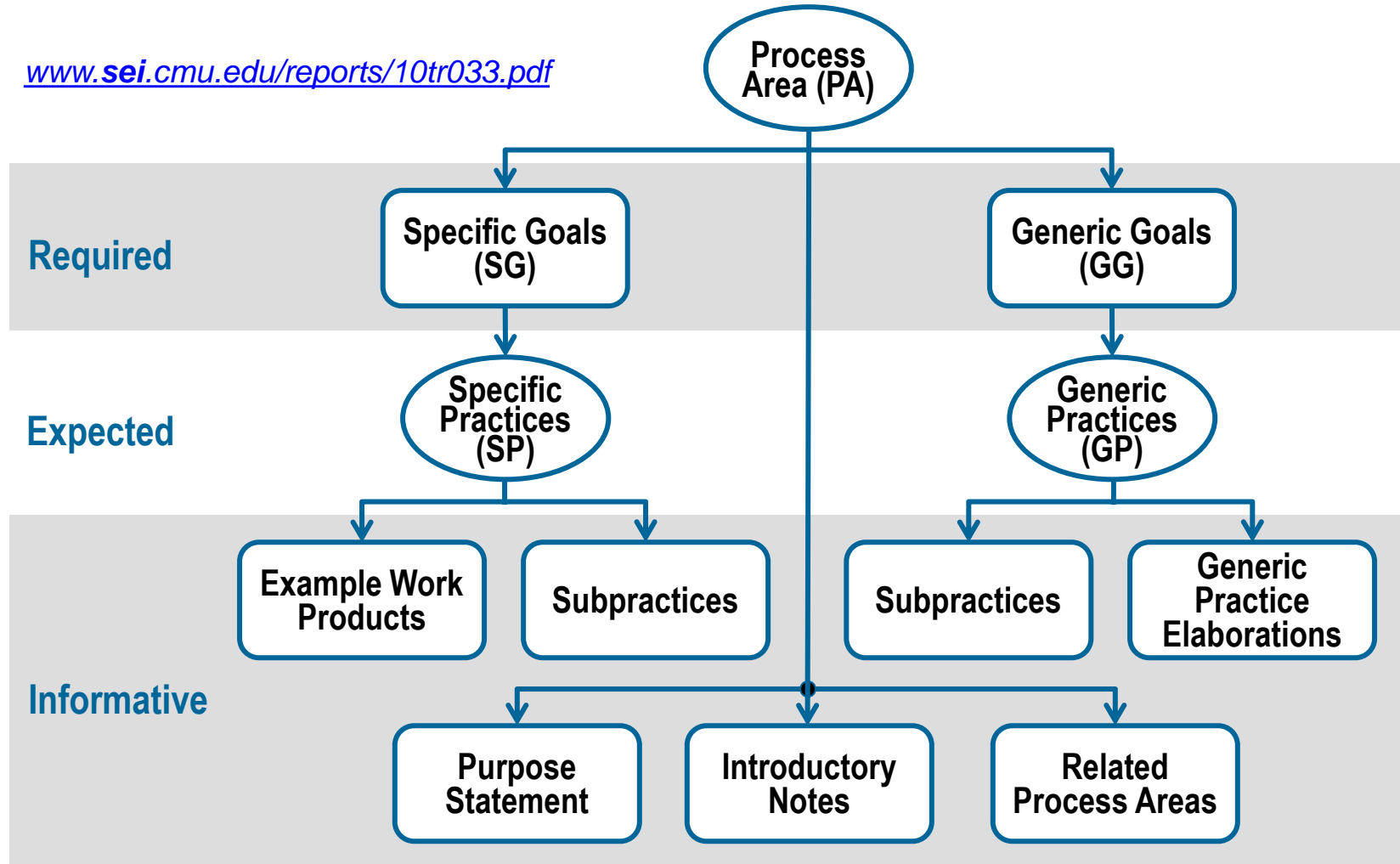
Remember:
Maturity Levels Cannot Be Skipped

A level provides a necessary foundation for effective implementation of processes at the next level.

- Higher level processes are easily sacrificed without the discipline provided by lower levels.
- The effect of innovation is obscured in a noisy process.

Higher maturity level processes may be performed by organisations at lower maturity levels, with risk of not being consistently applied in a crisis.

About Generic Goals and Institutionalization

The degree of institutionalization is embodied in the generic goals and expressed in the names of the processes associated with each goal as indicated below.

Generic Goal and Title	Progression of Processes
GG 3 Institutionalize a Defined Process	**Defined Process**
GG 2 Institutionalize a Managed Process	**Managed Process**
GG 1 Achieve Specific Goals*	Performed Process

* This generic goal is only used in the continuous representation.
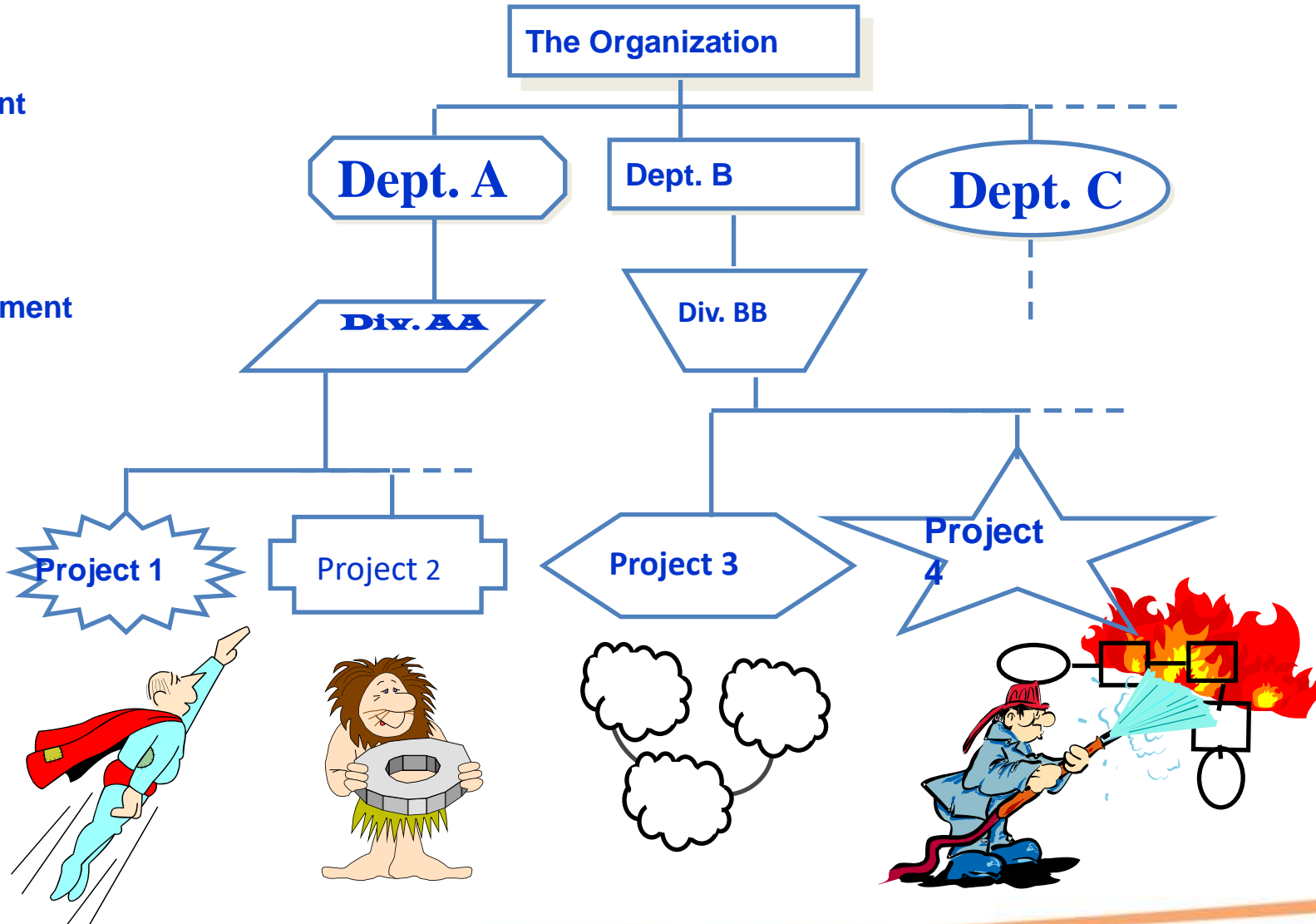
Sample Level 1 Organization
few processes in place
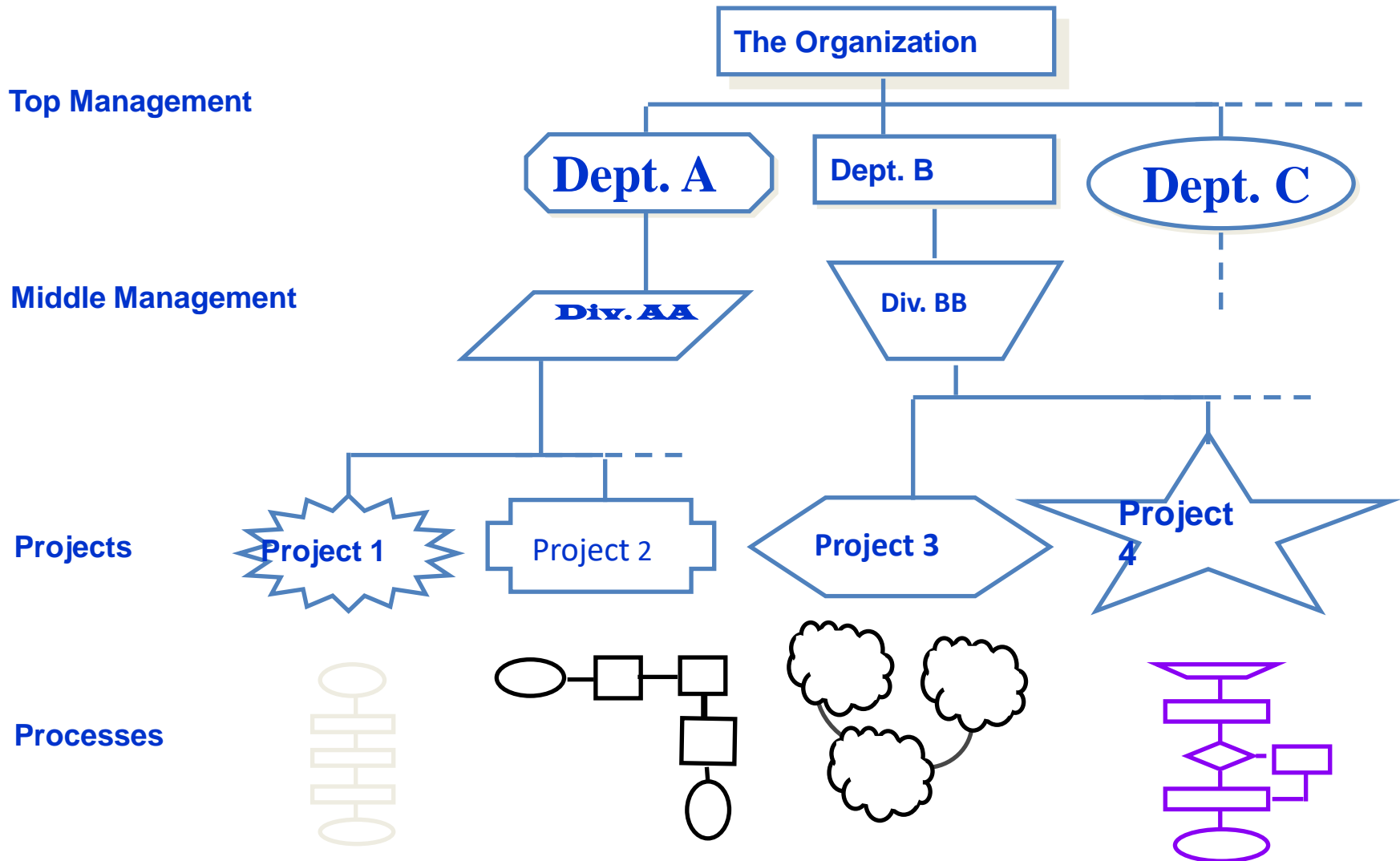
Top Management

Middle Management

Projects

Processes

The Organization

Dept. A

Dept. B

Dept. C

Div. AA

Div. BB

Project 1

Project 2

Project 3

Project 4

Sample Level 2 Organization

many processes in place; but they are project-specific

The Organization

Top Management

Dept. A

Dept. B

Dept. C

Middle Management

Div. AA

Div. BB

Projects

Project 1

Project 2

Project 3

Project 4

Processes

ESI | European Software Institute Center Eastern Europe

Sample Level 3 Organization
processes based on organization's Process Asset Library (PAL)

The Organization

Process Asset Library
- **Approved life cycles**
- **Standard processes**
- **Tailoring guidelines**
- **Process database**
- **Related documents**

SEPO

Dept. A

Dept. B

Dept. C

Div. AA

Div. BB

Project 1

Project 2

Project 3

Project 4

Projects
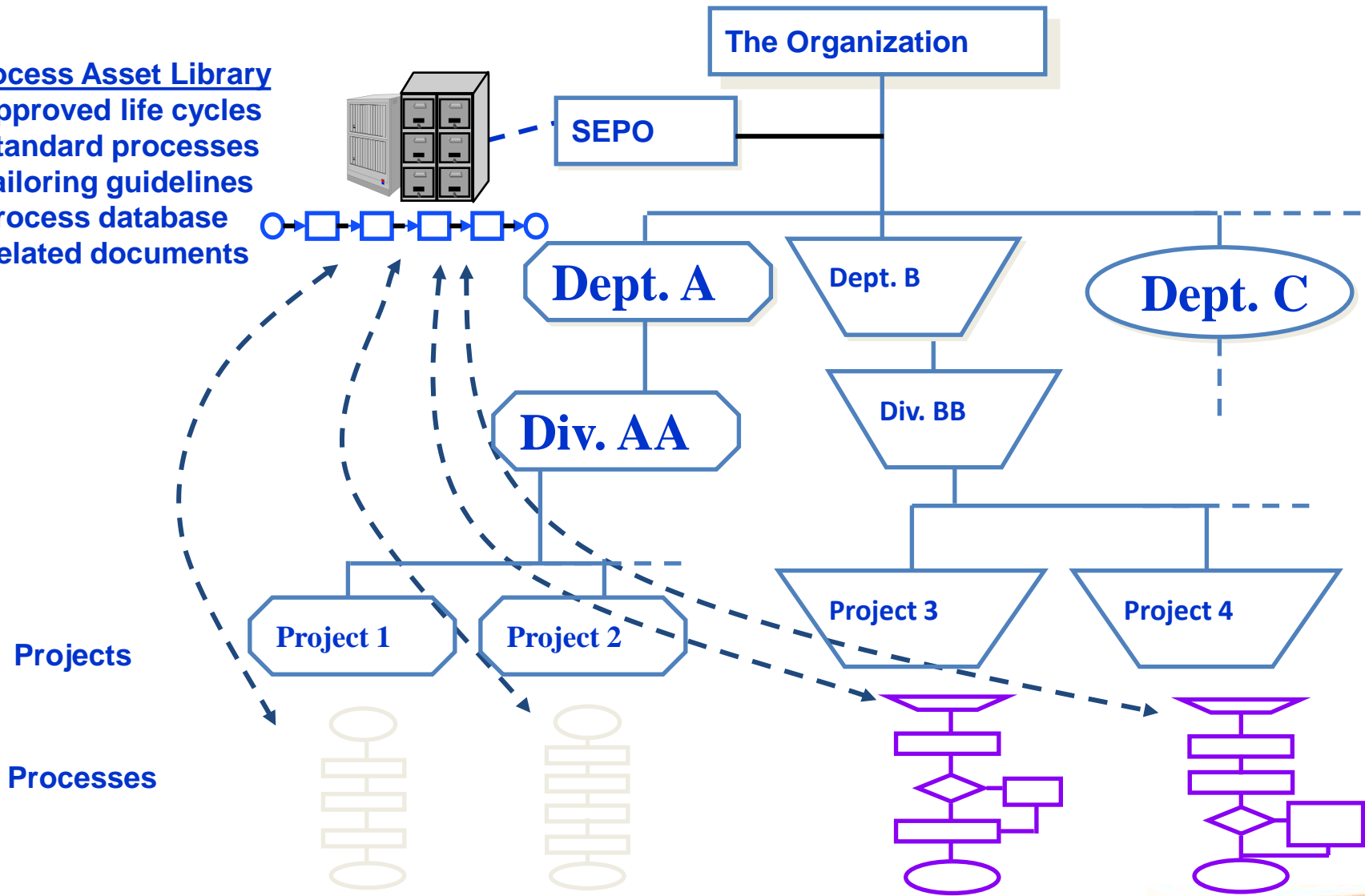
Processes

ML2 GG&GPs

GG2: Institutionalize a Managed Process

What should be applied to all PAs (from ML2 and up):

GP2.1: Establish an Organizational Policy

GP2.2: Plan the Process

GP2.3: Provide Resources

GP2.4: Assign Responsibility

GP2.5: Train People

GP2.6: Control Work Products

GP2.7: Identify and Involve Relevant Stakeholders

GP2.8: Monitor and Control the Process

GP2.9: Objectively Evaluate Adherence

GP2.10: Review Status with Higher Level Management

Maturity Levels & GPs

Maturity Level 2

- Requirements management
- Project planning
- Project monitoring and control
- Supplier agreement management
- Measurement and analysis
- Process and product quality assurance
- Configuration management

Maturity Level 3

- Requirements development
- Technical solution
- Product integration
- Verification
- Validation
- Organizational process focus
- Organizational process definition + IPPD
- Organizational training
- Integrated project management + IPPD
- Risk management
- Decision analysis and resolution

GP 2.1 Establish organizational policy
GP 2.2 Plan the process
GP 2.3 Provide resources
GP 2.4 Assign responsibility
GP 2.5 Train people
GP 2.6 Control Work Products (Manage configuration)
GP 2.7 Identify and involve relevant stakeholders
GP 2.8 Monitor and control the process
GP 2.9 Objectively evaluate adherence
GP 2.10 Review status with higher level management

GP 3.1 Establish a defined process
GP 3.2 Collect improvement information

How PAs relate to Generic Practices?

Example: Plan the plan (plan the process of project planning)

Establish an Organizational Policy

Plan the Process

| Provide Resources |
| Assign Responsibility |
| Train People |
| Control Work Products |
| Identify and Involve Relevant Stakeholders |

Review Status with higher level management

| Monitor & Control the Process | Objectively Evaluate Adherence |
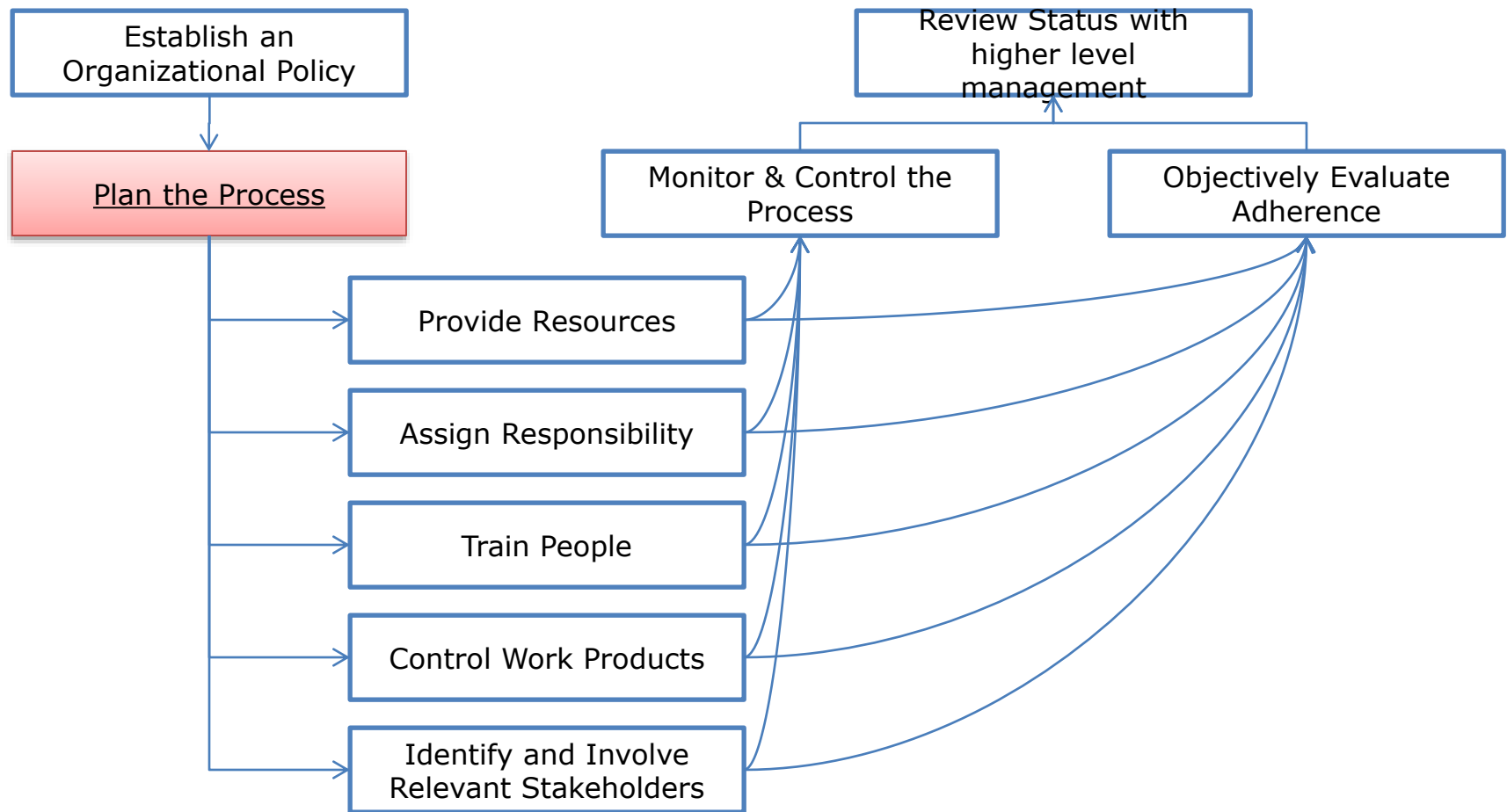
Source: Kiril Karaatanasov, ESI Center Bulgaria

Note

The CMMI model is **not a process!**

The CMMI model describes the **characteristics of effective processes** and "**WHAT TO DO-s**"
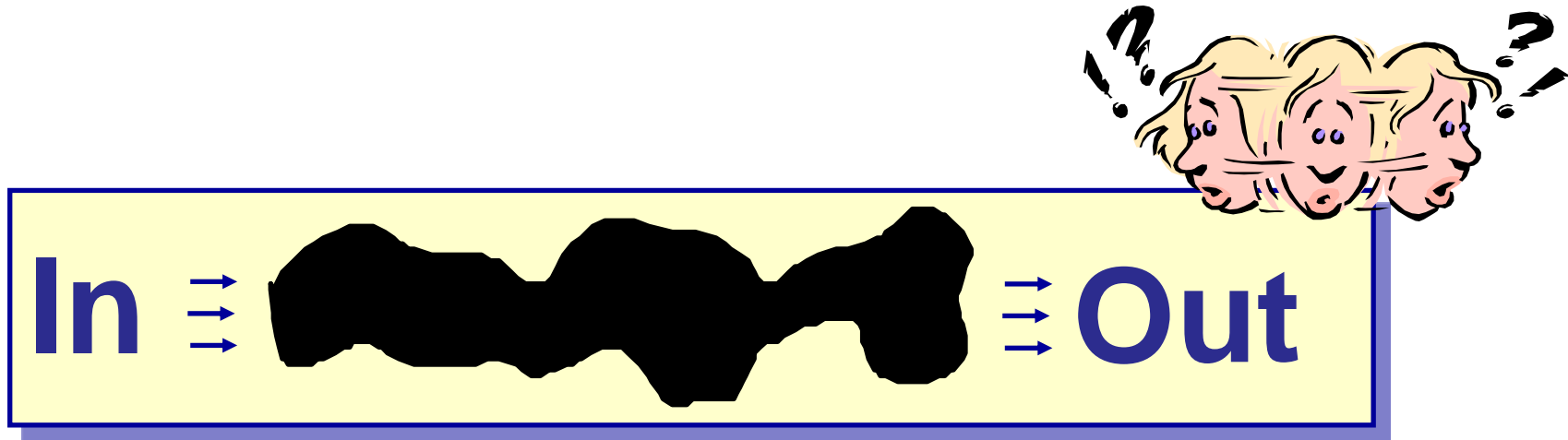
"**All models are wrong, but some are useful.**"
George Box
(Quality and Statistics Engineer)

ESI | European Software Institute
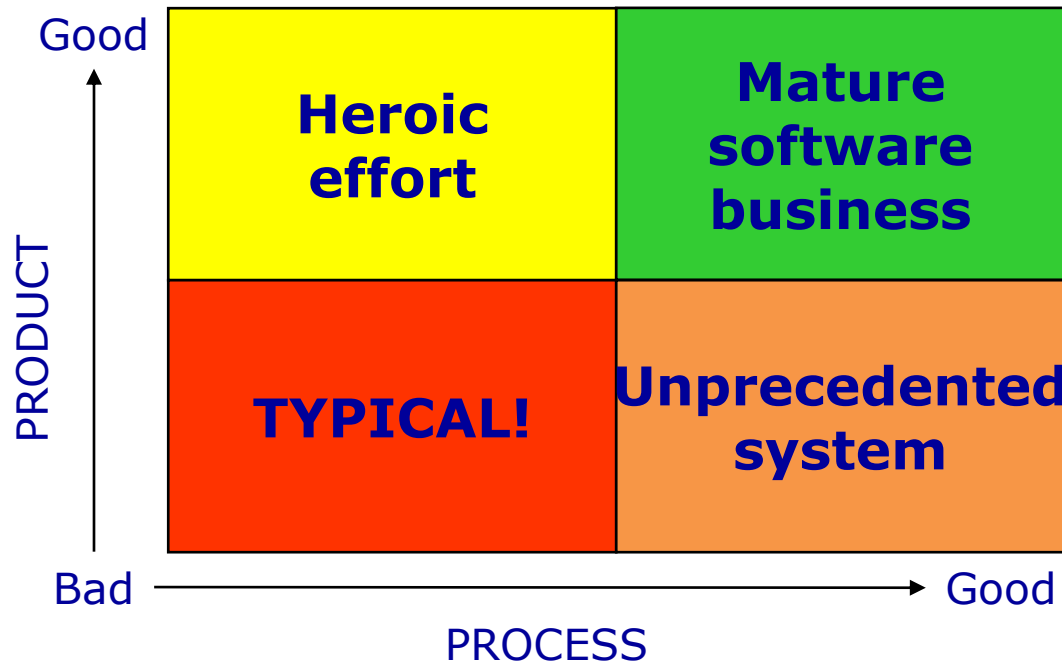
Remember:
ML1: Performance Is Unpredictable

In ⇉ ⬛⬛⬛ ⇉ **Out**

Requirements flow in.

A product is (sometimes) produced by some amorphous process.

The product flows out and (we hope) works.

ESI | European Software Institute | Center Eastern Europe

Corporate excellence – INTERNAL

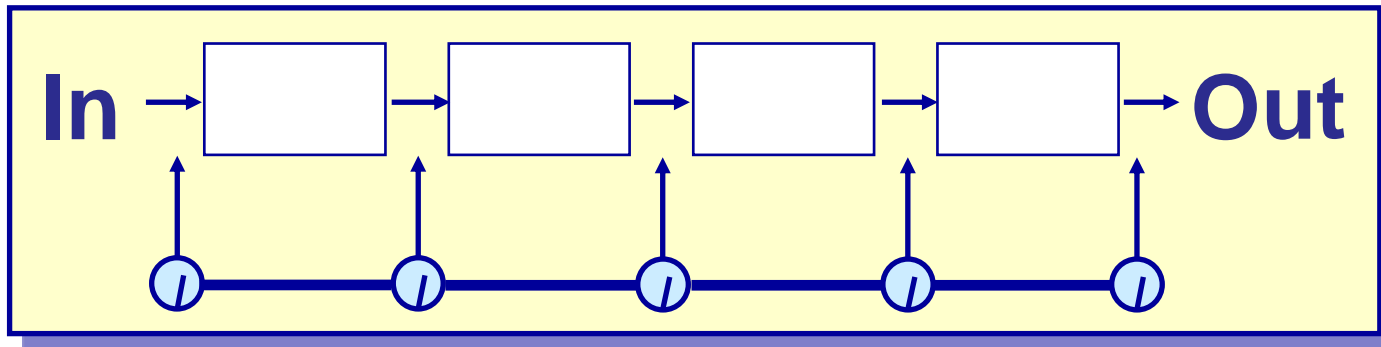## The corporate excellence is BASED on good internal processes

"The quality of a product is largely determined by the quality of the process that is used to develop and maintain it."

Based on TQM principles as taught by Shewhart, Juran, Deming and Humphrey.

Remember:
ML2: Processes are "Managed"

Processes characterized for **PROJECTS** and often reactive

Requirements flow in.

Plans are developed in accordance with policies.

Activities are performed in accordance with plans.

Measurements and reviews occur at defined points.

The product flows out and **(usually) works**.

ML2: Managing the Project Involves

Understand and commit to the requirements

Estimating the scope and work that needs to be performed

Developing mechanisms to acquire identified products

Developing a project plan

Getting commitments to the plan

Working with suppliers to acquire identified products

Monitoring progress against the plan

Identifying and analyzing risks

Taking action to address significant deviations from the plan

Taking action to appropriately mitigate risks

Project Management PAs (overview)

Requirements management (REQM)
- o **SG1: Manage requirements**

ML3: Requirements Development
- o **SG 1 Develop Customer Requirements**
- o **SG 2 Develop Product Requirements**
- o **SG 3 Analyze and Validate Requirements**

Project Planning (PP)
- o SG1: Establish Estimates
- o SG2: Develop a project plan
- o SG3: Obtain Commitment to the plan

Project Monitoring and Control (PMC)
- o SG1: Monitor Project Against Plan
- o SG2: Manage Corrective action to closure

ESI   European Software Institute

Think about:
What Product/SW Development Needs?

Establishing and maintaining sets of requirements

- o customer requirements
- o product requirements
- o product component requirements
- o But also, managing the requirements as the product evolves

ESI Europan Software Institute

ML3: Requirements Development

*The purpose of Requirements Development (RD) is to produce and analyze **customer, product**, and product **component** requirements.*

SG 1 Develop Customer Requirements
Stakeholder needs, expectations, constraints, and interfaces are collected and translated into customer requirements.

SG 2 Develop Product Requirements
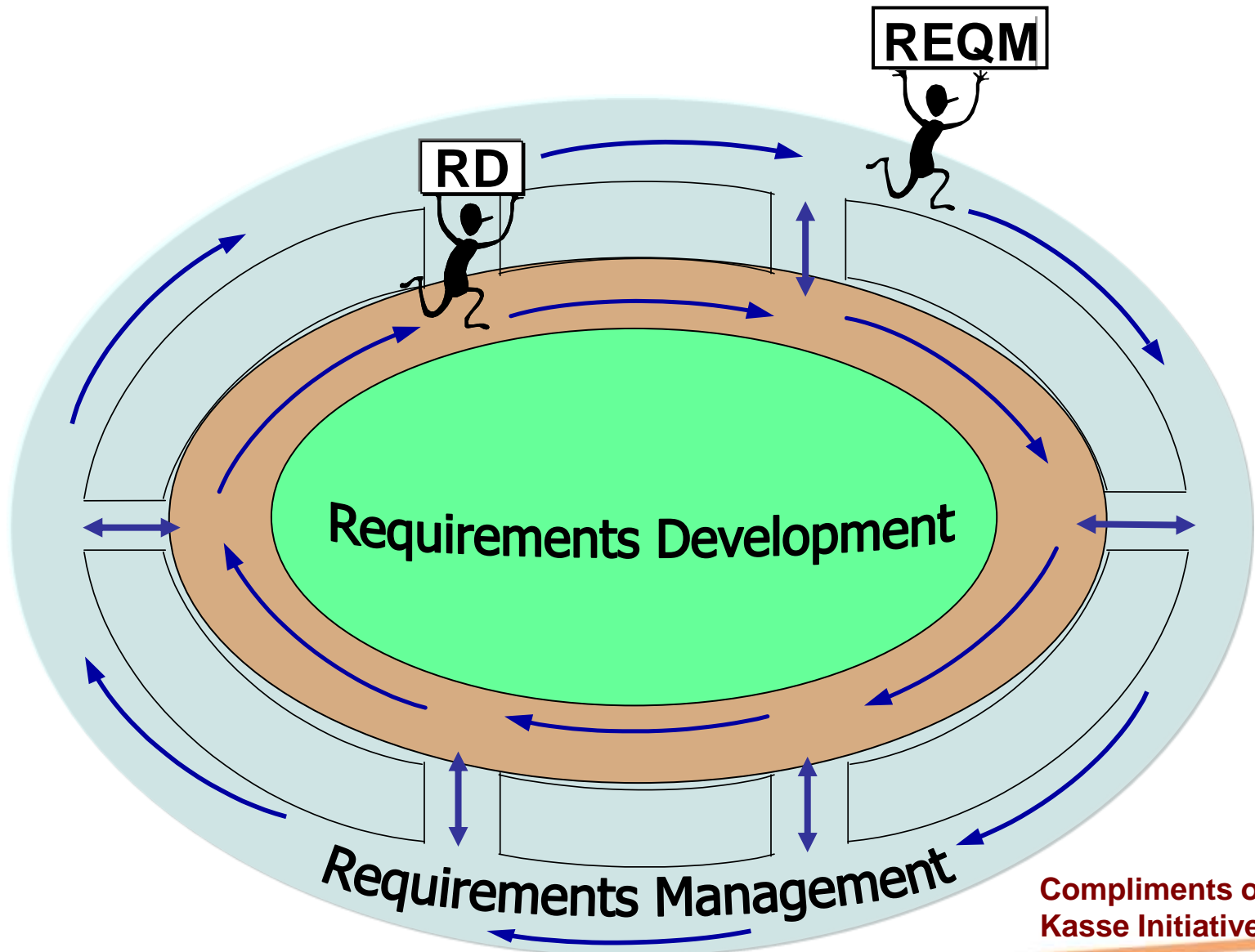*Customer requirements are refined and elaborated to develop product and product component requirements.*

SG 3 Analyze and Validate Requirements
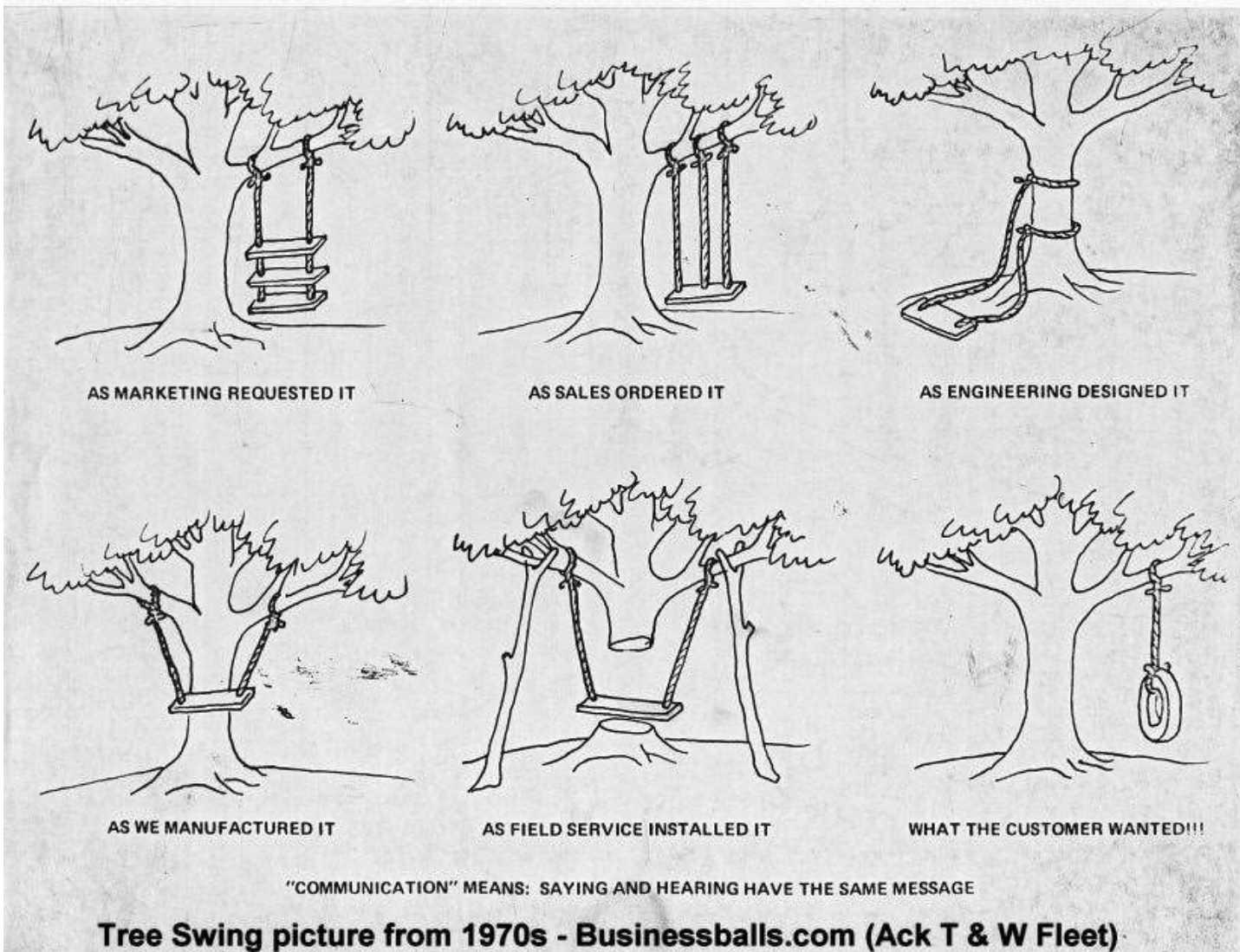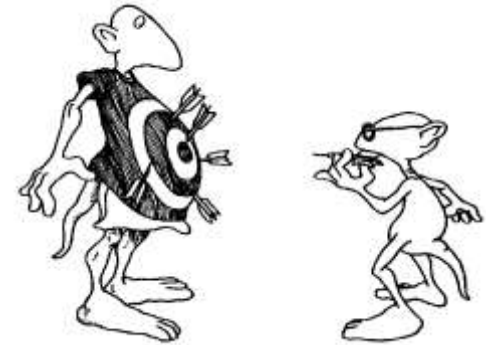*The requirements are analyzed and validated, and a definition of required functionality is developed.*

Requirements Management and Requirements Development

Remember: We want to avoid this!

AS MARKETING REQUESTED IT

AS SALES ORDERED IT

AS ENGINEERING DESIGNED IT

AS WE MANUFACTURED IT

AS FIELD SERVICE INSTALLED IT

WHAT THE CUSTOMER WANTED!!!

"COMMUNICATION" MEANS: SAYING AND HEARING HAVE THE SAME MESSAGE

Tree Swing picture from 1970s - Businessballs.com (Ack T & W Fleet)

SG 1 Develop Customer Requirements

Stakeholder needs, expectations, constraints, and interfaces are collected and translated into customer requirements.

SG 2 Develop Product Requirements

Customer requirements are refined and elaborated to develop product and product component requirements.

SG 3 Analyze and Validate Requirements

The requirements are analyzed and validated, and a definition of required functionality is developed.

Importance of Requirements Development

Present complete **clear validated** requirements **understood by all parties**

Establish solid **foundation** for downstream activities

Benefits of Proper Requirements Development

Development team and customer share the same vision of what is to be developed, tested and supported

Requirements are easily traceable to/from downstream work products

Acceptance by customer of downstream products is easy & swift

Low risk of increased costs to meet customer needs and expectations

Terminology

Allocated Requirement - Requirement that levies all or part of the performance and functionality of a higher level requirement on a lower level architectural element or design component.

Derived Requirement - Requirements that are not explicitly stated in the customer requirements, but are inferred (1) from contextual requirements (e.g., applicable standards, laws, policies, common practices, and management decisions), or (2) from requirements needed to specify a product component. Derived requirements can also arise during analysis and design of components of the product or system. (See also "product requirements.")

Terminology II

Customer Requirement - The result of eliciting, consolidating, and resolving conflicts among the needs, expectations, constraints, and interfaces of the product's relevant stakeholders in a way that is acceptable to the customer. (See also "customer.")

Product Requirement - A refinement of the customer requirements into the developers' language, making implicit requirements into explicit derived requirements. (See also "derived requirements" and "product component requirements.") The developer uses the product requirements to guide the design and building of the product.

Product Component Requirements - A complete specification of a product component, including fit, form, function, performance, and any other requirement.

ESI European Software Institute

SG 1 Develop Customer Requirements

SP 1.1 Elicit Needs

Elicit stakeholder needs, expectations, constraints, and interfaces for all phases of the product lifecycle.

SP 1.2 Transform Stakeholder Needs into Customer Requirements

Transform stakeholder needs, expectations, constraints, and interfaces into customer requirements.

Stakeholders

Elicit Needs

Transform Stakeholder Needs into Customer Requirements

Customer Requirements

ESI European Software Institute
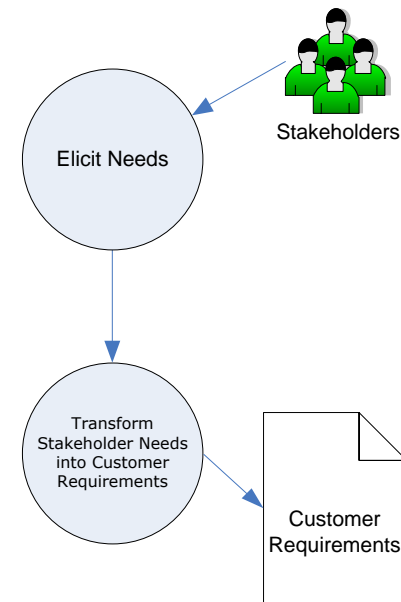
SG 2 Develop Product Requirements

## SP 2.1 Establish Product and Product Component Requirements

Establish and maintain product and product component requirements, which are based on the customer requirements.

SP 2.2 Allocate Product Component Requirements

Allocate the requirements for each product component.

SP 2.3 Identify Interface Requirements

Identify interface requirements.

Customer Requirements

Establish Product & Product Component Requirements

Allocate Product Component Requirements

Identify Interface Requirements

Alternative solutions

Technical Solution

Product, Product Component & Interface Requirements
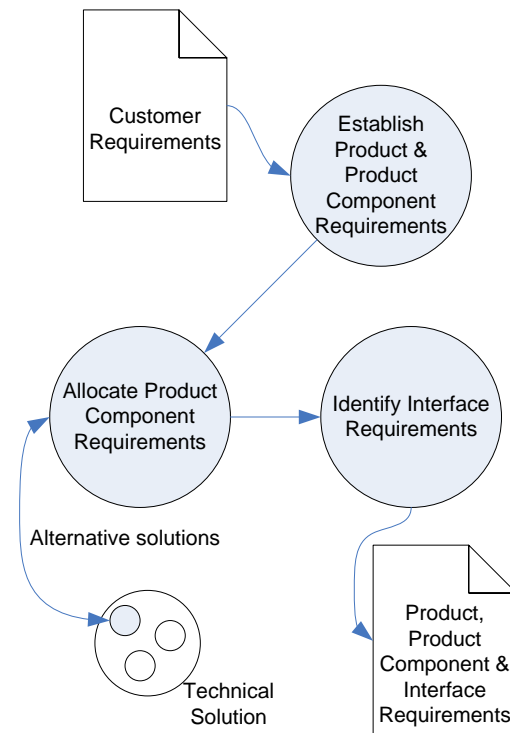
SG 3 Analyze and Validate Requirements

SP 3.1 Establish Operational Concepts and Scenarios

Establish and maintain operational concepts and associated scenarios.

SP 3.2 Establish a Definition of Required Functionality

Establish and maintain a definition of required functionality.

SP 3.3 Analyze Requirements

Analyze requirements to ensure that they are necessary and sufficient.

SP 3.4 Analyze Requirements to Achieve Balance

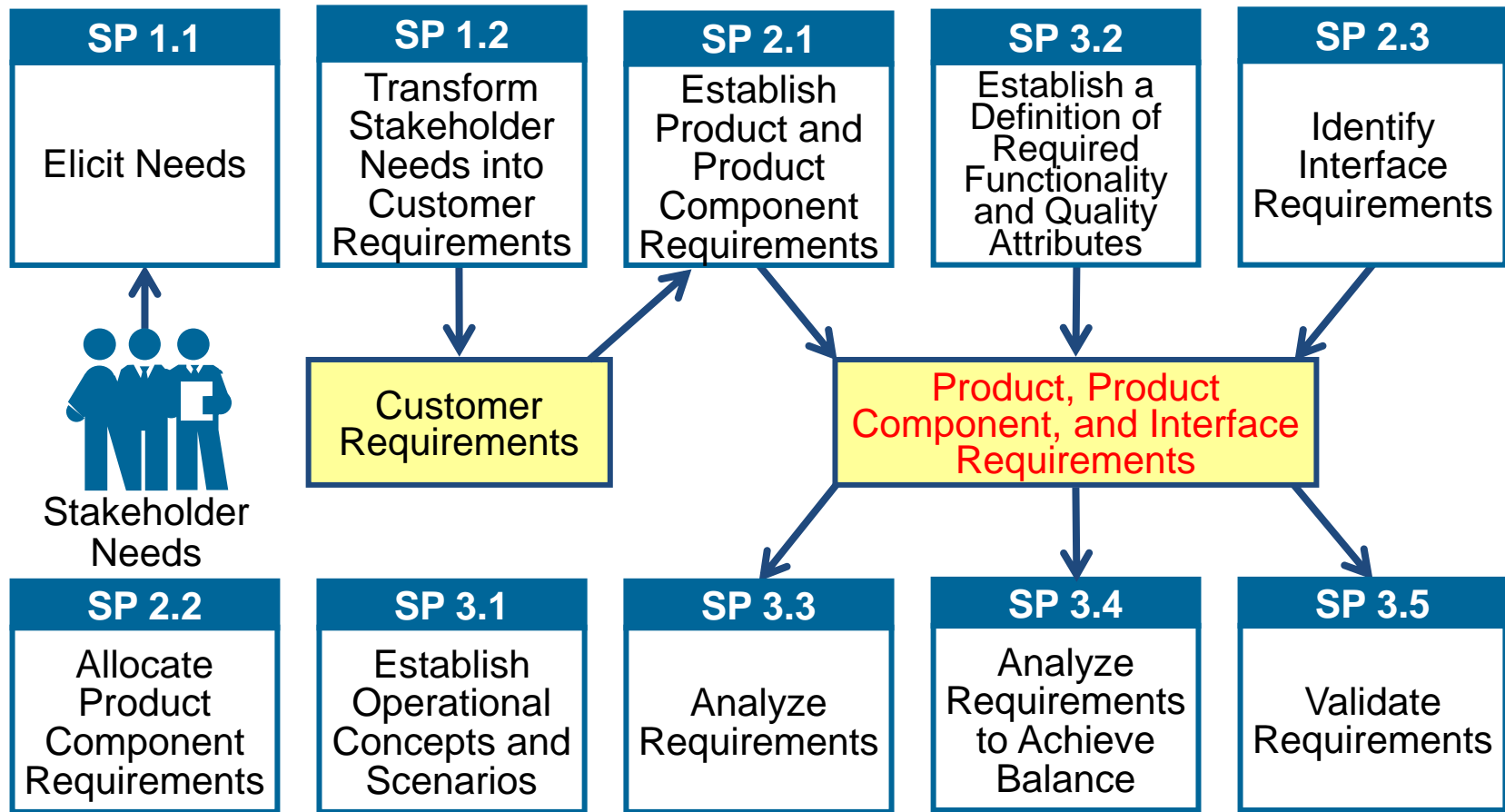*Analyze requirements to balance stakeholder needs and constraints.*

SP 3.5 Validate Requirements

Validate requirements to ensure the resulting product will perform as intended in the user's environment.

Product, Product Component & Interface Requirements

Establish Operational Concepts and Scenarios

Establish a Definition of Required Functionality

Analyze Requirements

Validate Requirements

Analyze Requirements to Achieve Balance

Validated Requirements
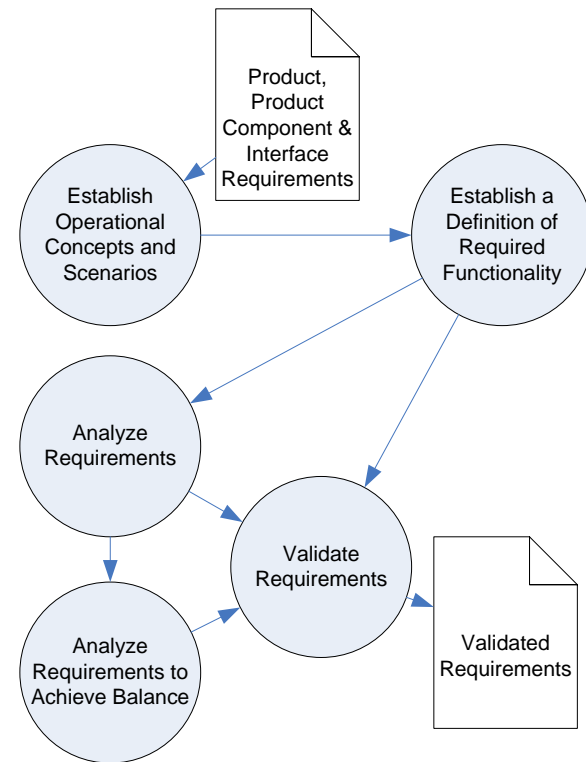
Requirements Development:
What other Work Products we need (in addition to the "Customer Requirements")

SP 1.1 — Elicit Needs

SP 1.2 — Transform Stakeholder Needs into Customer Requirements

SP 2.1 — Establish Product and Product Component Requirements

SP 3.2 — Establish a Definition of Required Functionality and Quality Attributes

SP 2.3 — Identify Interface Requirements

Stakeholder Needs

Customer Requirements

Product, Product Component, and Interface Requirements

SP 2.2 — Allocate Product Component Requirements

SP 3.1 — Establish Operational Concepts and Scenarios

SP 3.3 — Analyze Requirements

SP 3.4 — Analyze Requirements to Achieve Balance

SP 3.5 — Validate Requirements

How Requirements Development interacts with other Process Areas

Who does RD depend upon?
- o Requirements Management (ML2:REQM) for managing requirements
- o Technical Solution (ML3:TS) for development of alternative solutions and identification of product components
- o Risk Management (ML3:RSKM) for identification and management of requirements risks

Who depends on RD?
- o Requirements Management (ML2:REQM) takes requirements from RD
- o Product Integration (ML3:PI) takes interface requirements
- o Verification & Validation (ML3: VER & VAL)

🚩 **ReqView**   Download   Free Trial   Pricing   Blog   Roadmap   Documentation   Support   Contact ✉

ISO/IEC/IEEE 29148 Requirements Specification Templates

Search

GET STARTED

Contents

Installation

Quick Start

Requirements
Projects

Review Documents

Edit Documents

Keyboard Shortcuts

Templates

Example Project

Example
Documents

IMPORT

Import from MS
Word

Import from MS
Excel

Import ReqIF from
DOORS

ISO/IEC/IEEE 29148:2018 — *ISO/IEC/IEEE International Standard — Systems and software engineering — Life cycle processes — Requirements engineering* is the latest international standard describing requirements engineering processes for development of software and hardware products.

It obsoletes the well known standard for software requirements specifications: IEEE 830-1998 — *IEEE Recommended Practice for Software Requirements Specifications*.

Requirements Specifications

You can reuse Document Templates for the following standard requirements specifications:

- **Business Requirements Specification (BRS)** describing business or mission requirements,
- **System Operational Concept (OpsCon)** describing stakeholder needs,
- **Stakeholder Requirements Specification (StRS)** describing stakeholder requirements,
- **System Requirements Specification (SyRS)** describing system requirements,
- **Software Requirements Specification (SRS)** describing software requirements.

These Document Templates preserve structure of sections provided in the standard and define requirements attributes supporting the requirements process described in the standard.

Template Instructions

The standard provides detailed information about the requirements engineering process for software and system products and we strongly recommend it as the primary source of information for using the Document Templates in your projects.

If you create a new document from one of the templates above (see Requirements Projects > Set up Projects > Create Documents) then the application displays detailed guidance from the standard in the *Instructions* pane:

The Requirements Management (REQM, ML2) and Requirements Development (RD, ML3) Partnership

REQM

RD

Requirements Development
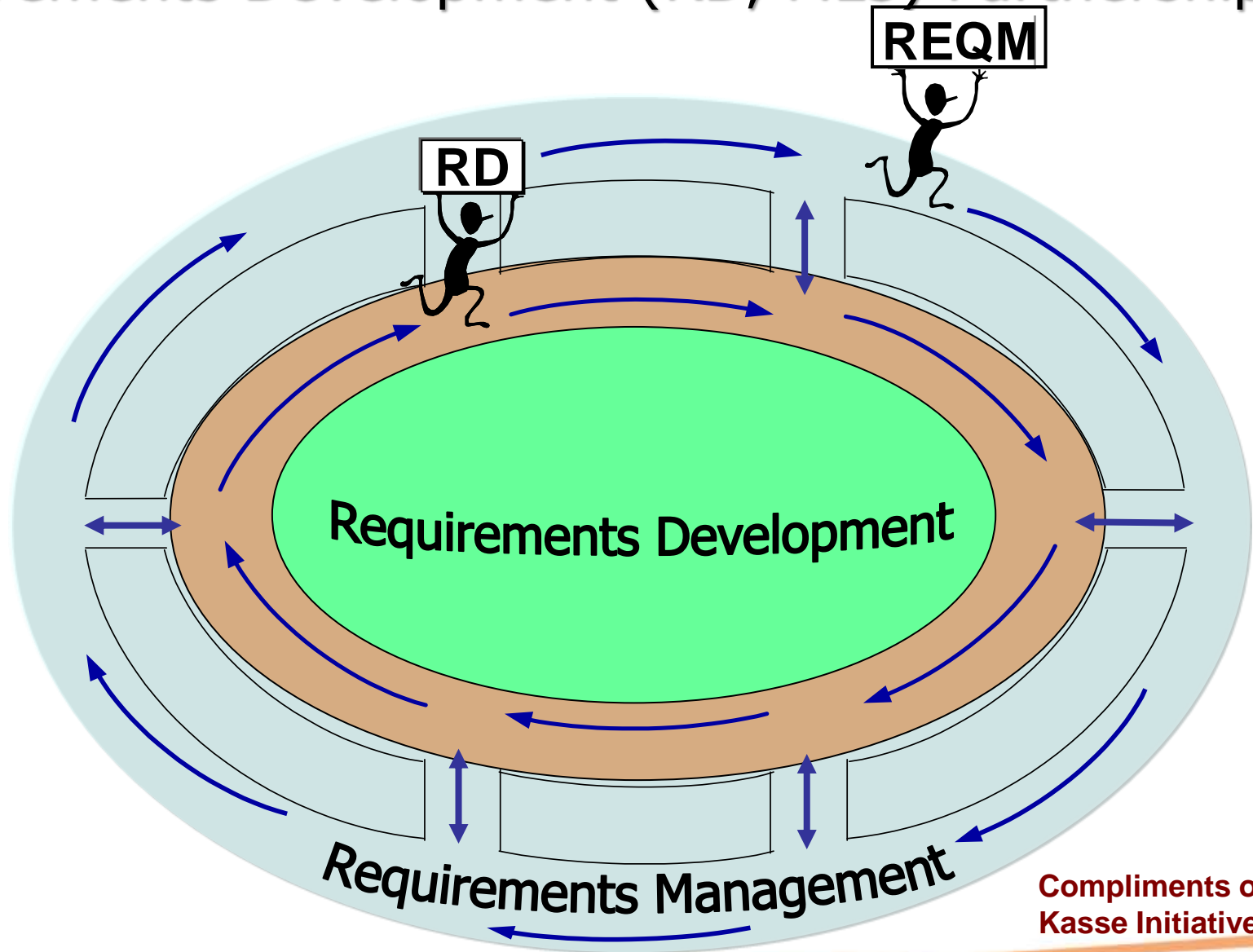
Requirements Management

Requirements Management (REQM)

*The purpose of Requirements Management (REQM) is to **manage the requirements** of the project's products and product components and to identify inconsistencies between those requirements and the project's plans and work products.*

GOALS

SG1: Manage Requirements
Requirements are managed and inconsistencies with project plans and work products are identified.

The process area also has generic goals to support institutionalization.

When Requirements Management Is Not Done Well…

Requirements are accepted by staff from **any source** they deem to be authoritative.

The project experiences a high level of **requirements changes**.

There are high levels **of rework** throughout the project.

There is an inability to prove that the **product meets the approved requirements**.

Lack of requirements traceability often results **in incomplete or incorrect testing** of the product.

ESI European Software Institute

Relevant Terminology

Requirements traceability

A discernable association between requirements and related requirements, implementations, and verifications.

Bidirectional traceability

An association among two or more logical entities that is discernable in either direction (i.e., to and from an entity).

ESI European Software Institute Center Eastern Europe

Requirements Management (REQM) Specific Practices

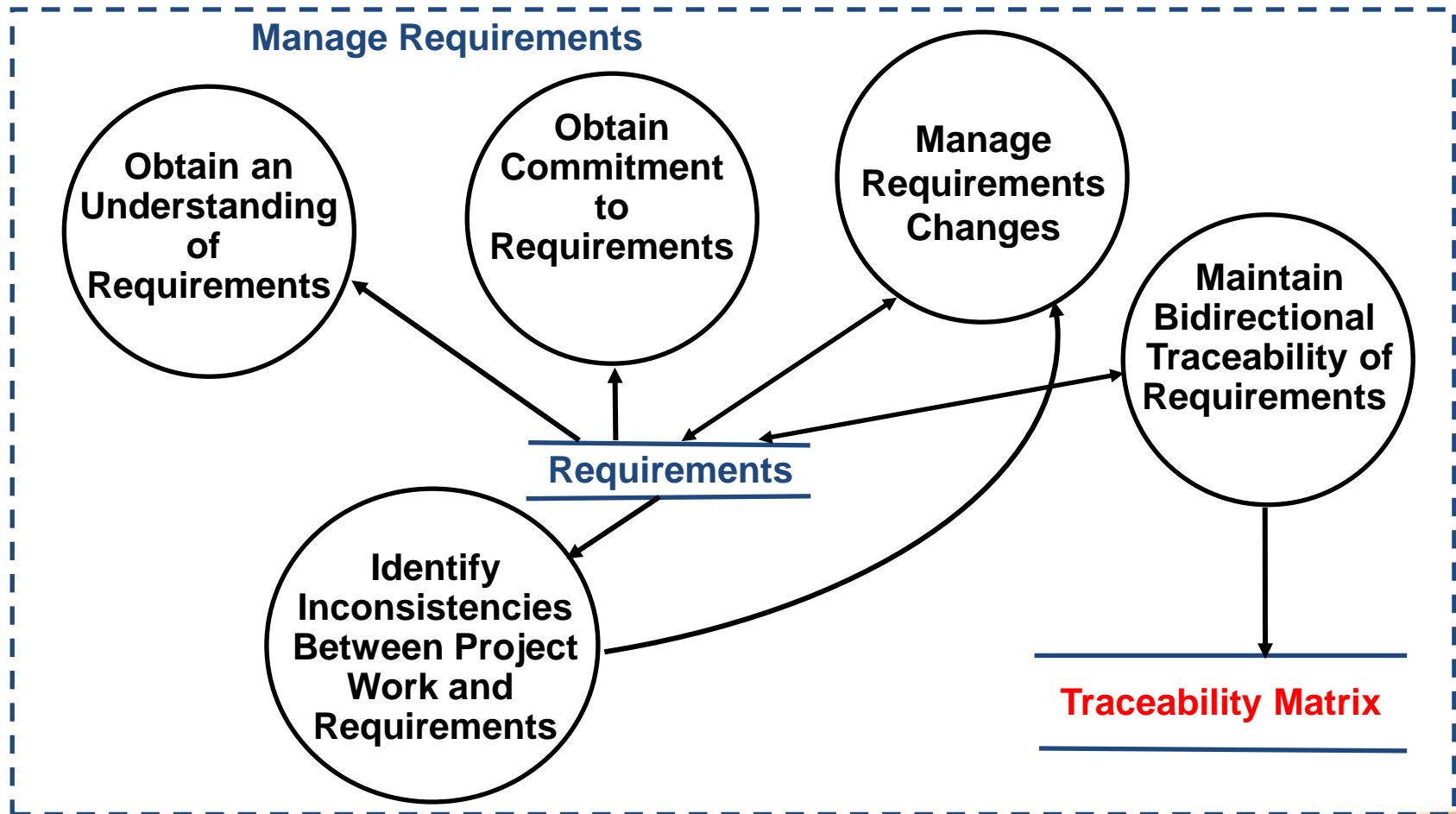SP 1.1 Obtain an **Understanding** of Requirements

SP 1.2 Obtain **Commitment** to Requirements

SP 1.3 Manage Requirements **Changes**

SP 1.4 Maintain **Bidirectional Traceability** of Requirements

SP 1.5 **Identify Inconsistencies** between project work and requirements
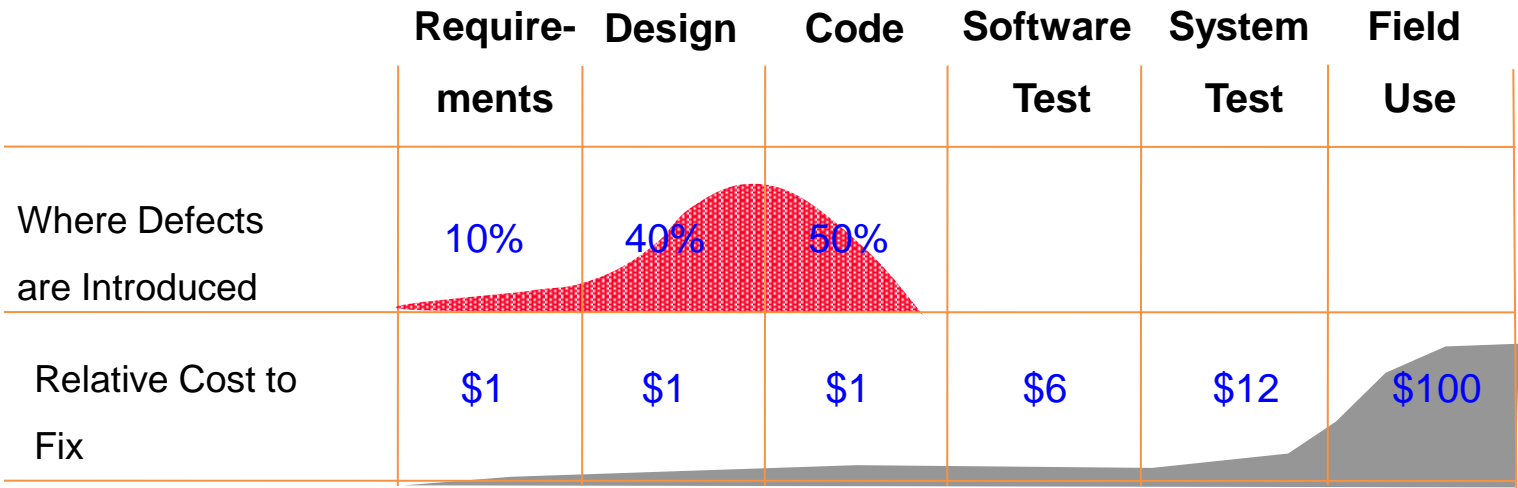
Requirements Management Context

REQM Practices implementation:

- Acceptance criteria in place?

- Requirements comply to criteria?

- Is understanding reached and is it documented? How?

- Who are the relevant stakeholders?

- Did they agree to requirements?

- Is the commitment documented? How?

- All requirements and their changes documented?

- Requirements change history and rationale documented?

- Are changes evaluated by affected stake holders?

- Bi-directional traceability among the requirements and the project plans and work products maintained?

- Are the project plan/activities/work products reviewed to assess the consistency with the (changed) requirements?

- If inconsistencies have been are corrective actions initiated to solve them?

ESI | European Software Institute Center Eastern Europe

Remember:

Defects - Insertion Pattern & Cost of Removal

	Require-ments	Design	Code	Software Test	System Test	Field Use
Where Defects are Introduced	10%	40%	50%			
Relative Cost to Fix	$1	$1	$1	$6	$12	$100

Source: SEPG Asia Pacific 2009
presented by Ravindra Nath, KUGLER MAAG CIE GmbH

ESI European Software Institute Center Eastern Europe

Sampling the Generic Practices

GP 2.3: Provide resources
Provide adequate resources for performing the requirements management process, developing the work products, and providing the services of the process.

Elaboration for Requirements Management

Examples of resources provided include the following tools:
• **Requirements tracking tools**
• **Traceability tools**

Sampling the Generic Practices

GP 2.5: Train People
Train the people performing or supporting the requirements management process as needed.

Elaboration for Requirements Management

Examples of training topics include the following:
• Application domain
• Requirements definition, analysis, review, and management
• Requirements management tools
• Configuration management
• Negotiation and conflict resolution

Sampling the Generic Practices

GP 2.6: Manage Work Products (Configurations)
Place designated work products of the requirements management process under appropriate levels of control.

Elaboration for Requirements Management

Examples of work products placed under control include the following:
• Requirements
• **Requirements traceability matrix**
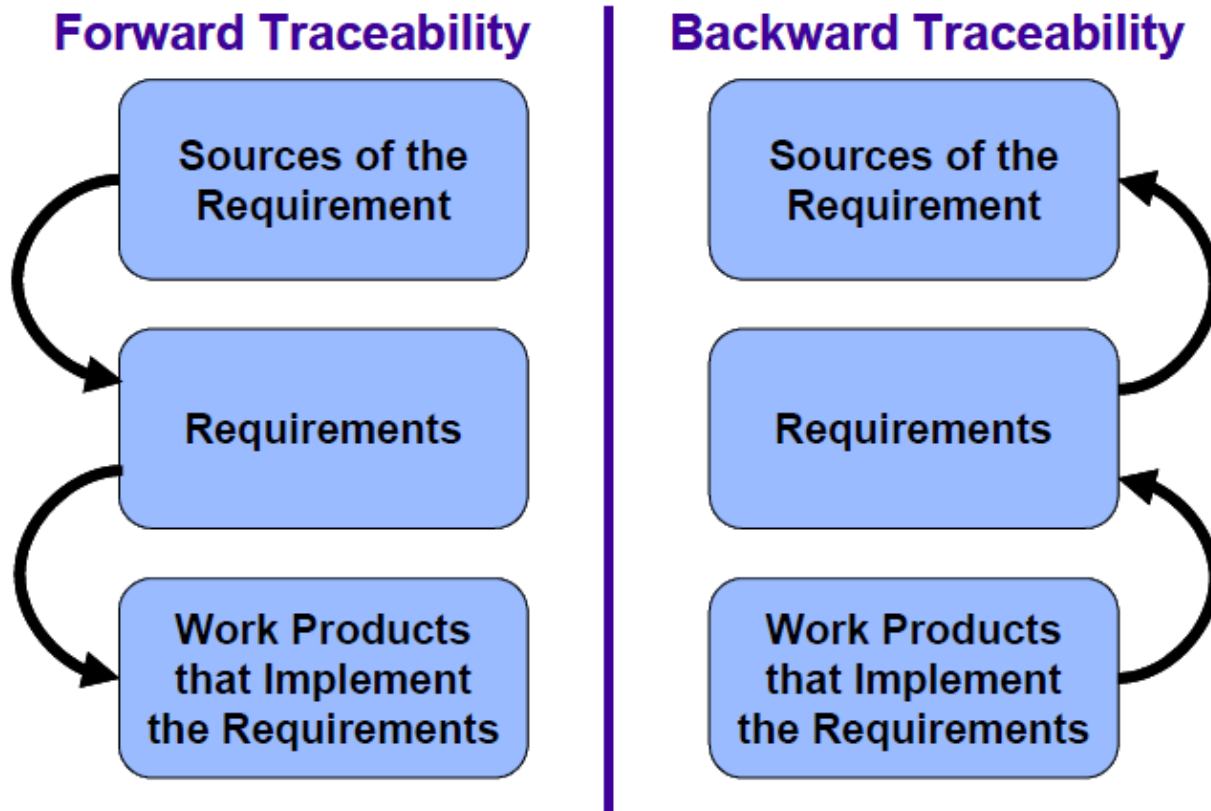
Remember:
Why do we need bidirectional traceability???

Forward Traceability

Sources of the Requirement

Requirements

Work Products that Implement the Requirements

Backward Traceability

Sources of the Requirement

Requirements

Work Products that Implement the Requirements

Figure 1: Bidirectional (Forward & Backward) Traceability

Benefits:

Analyze the impact of a change
- All **work products affected** by a changed requirement
- All **requirements affected** by a change or defect in a work product

Assess current status of the requirements and the project
- Identify **missing** requirements
- Identify **gold plating** (overdoing)

Sampling the Generic Practices

GP 2.7: Identify and Involve relevant Stakeholders
Identify and involve the relevant stakeholders of the requirements management process as planned.

Elaboration for Requirements Management
Select relevant stakeholders from customers, end users, developers, producers, testers, suppliers, marketers, maintainers, disposal personnel, and others who **may be affected by, or may affect**, the product as well as the process.
Examples of activities for **stakeholder involvement** include the following:
• **Resolving issues on the understanding of the requirements**
• **Assessing the impact of requirements changes**
• **Communicating the bidirectional traceability**
• **Identifying inconsistencies among project plans, work products, and requirements**

Sampling the Generic Practices
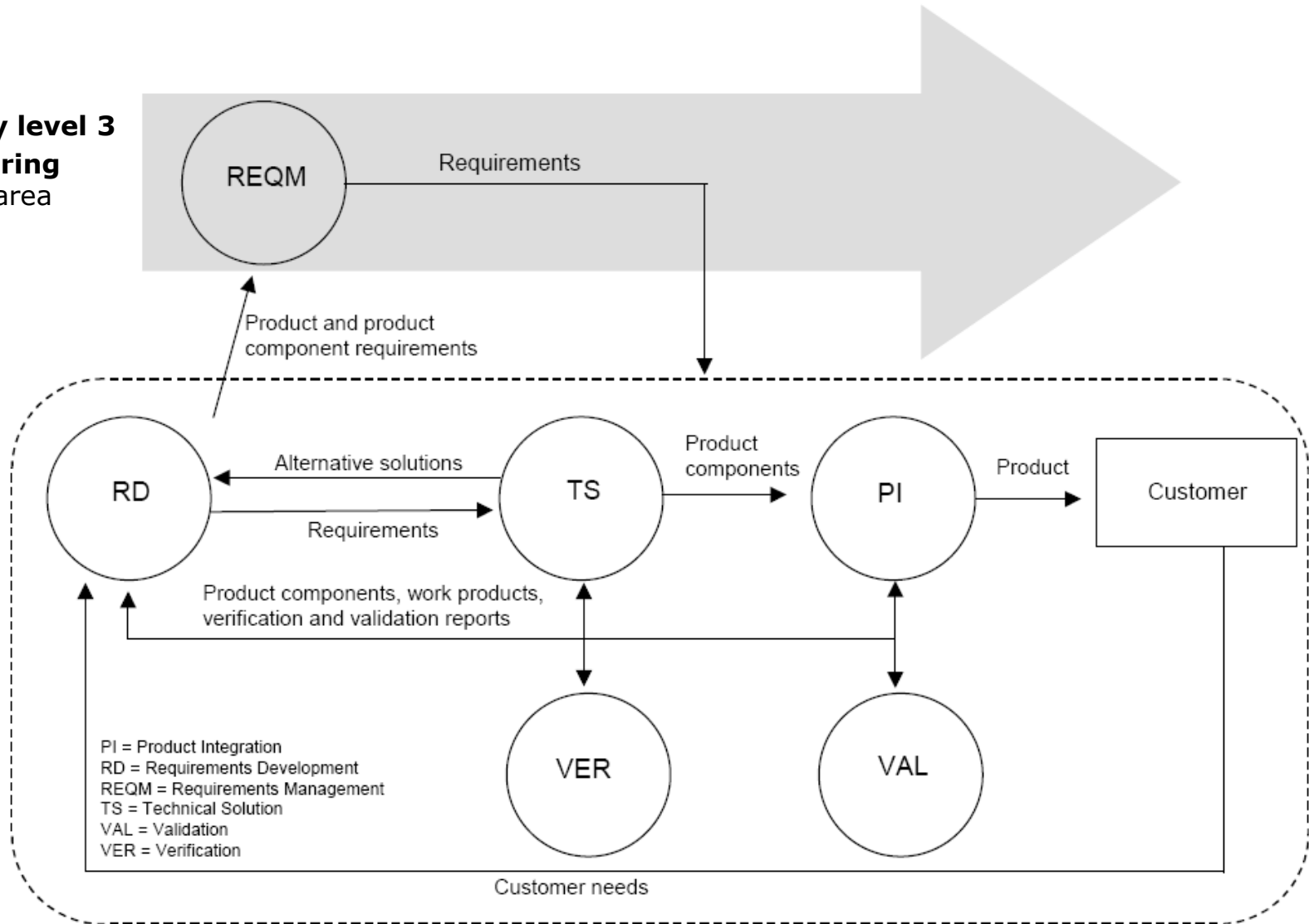
GP 2.10: Review Status with Higher Level Management
Review the activities, status, and results of the requirements management process with higher level management and resolve issues.

Elaboration for Requirements Management
Proposed changes to **commitments to be made external to the organization** are reviewed with higher level management to ensure that all commitments **can be accomplished**.

Where Requirements Development stands in the model?

- **Maturity level 3**
- **Engineering** process area

Product and product component requirements

REQM — Requirements

RD — Alternative solutions — TS — Product components — PI — Product — Customer

Requirements (RD → TS)

Product components, work products, verification and validation reports

VER

VAL

PI = Product Integration
RD = Requirements Development
REQM = Requirements Management
TS = Technical Solution
VAL = Validation
VER = Verification

Customer needs

CMMI V2.0 [Next Generation CMMI]

REQUIREMENTS DEVELOPMENT AND MANAGEMENT (RDM)

- Combined REQM (ML2) and RD (ML3)
- New approach to ML and indicators
- Adapted to Agile organizations
- Process areas >>> **Practice** areas

CMMI V2.0 REQUIREMENTS DEVELOPMENT AND MANAGEMENT (RDM)

NEW

Level 1

• RDM 1.1 Record requirements

Level 2

• RDM 2.1 Elicit stakeholder needs, expectations, constraints, and interfaces or connections. (RD SP 1.1)

• RDM 2.2 Transform stakeholder needs, expectations, constraints, and interfaces or connections into prioritized customer requirements. (RD SP 1,1, 3.2)

• RDM 2.3 Develop an understanding with the requirements providers on the meaning of the requirements. (REQM SP 1.1.)

• RDM 2.4 Obtain commitment from project participants that they can implement the requirements. (REQM SP 1.2)

• RDM 2.5 Develop, record, and maintain bidirectional traceability among requirements and activities or work products. (REQM SP 1.4)

• RDM 2.6 Ensure that plans and activities or work products remain consistent with requirements. (REQM SP 1.4)

Level 3

• RDM 3.1 Develop and keep requirements updated for the solution and its components. (RD SP 2.1)

• RDM 3.2 Develop operational concepts and scenarios. (RD SP 3.1, 3.2)

• RDM 3.3 Allocate the requirements to be implemented. (RD SP2.2)

• RDM 3.4 Identify, develop, and keep updated interface or connection requirements. (RD SP 2.3)

• RDM 3.5 Ensure that requirements are necessary and sufficient. (RD SP 3.3)

• RDM 3.6 Balance stakeholder needs and constraints. (RD SP 3.4)

• RDM 3.7 Validate requirements to ensure the resulting solution will perform as intended in the target environment. (RD SP 3.5)

Project Management PAs (overview)

Requirements management (REQM)
- o SG1: Manage requirements

ML3: Requirements Development
- o SG 1 Develop Customer Requirements
- o SG 2 Develop Product Requirements
- o SG 3 Analyze and Validate Requirements

Project Planning (PP)
- o **SG1: Establish Estimates**
- o **SG2: Develop a project plan**
- o **SG3: Obtain Commitment to the plan**

Project Monitoring and Control (PMC)
- o SG1: Monitor Project Against Plan
- o SG2: Manage Corrective action to closure

ESI | European Software Institute Center Eastern Europe

Think about:
What a typical Project Plan includes?

- Resources
- Budget
- Schedule (Milestones)
- Stakeholders
- Commitments – dependencies, deliverables
- Data Plan
- Knowledge and skills - Training
- Risks

PP: Project Planning

*The purpose of Project Planning (PP) is to **establish and maintain plans** that define project activities.*

G🎯ALS

SG1: Establish Estimates
Estimates of project planning parameters are established and maintained.

SG2: Develop a Project Plan
A project plan is established and maintained as the basis for managing the project.

SG3: Obtain Commitment to the Plan
Commitments to the project plan are established and maintained.

When Project Planning Is Not Done Well…

Estimates of project attributes are inaccurate.

It is difficult to **identify deviations** from poorly documented plans.

Resources are not available/applied when needed.

Future projects cannot learn from completed projects because there are **no lessons learned**.

Relevant Terminology

Project

A managed set of interrelated resources which delivers one or more products to a customer or end user. A project has a definite beginning (i.e., project startup) and typically operates according to a plan. Such a plan is frequently documented and specifies what is to be delivered or implemented, the resources and funds to be used, the work to be done, and a schedule for doing the work. A project can be composed of projects.

Program

(1) A project. (2) A collection of related projects and the infrastructure that supports them, including objectives, methods, activities, plans, and success measures.

WBS

Work breakdown structure (WBS)
An arrangement of work elements and their relationship to each other and to the end product.
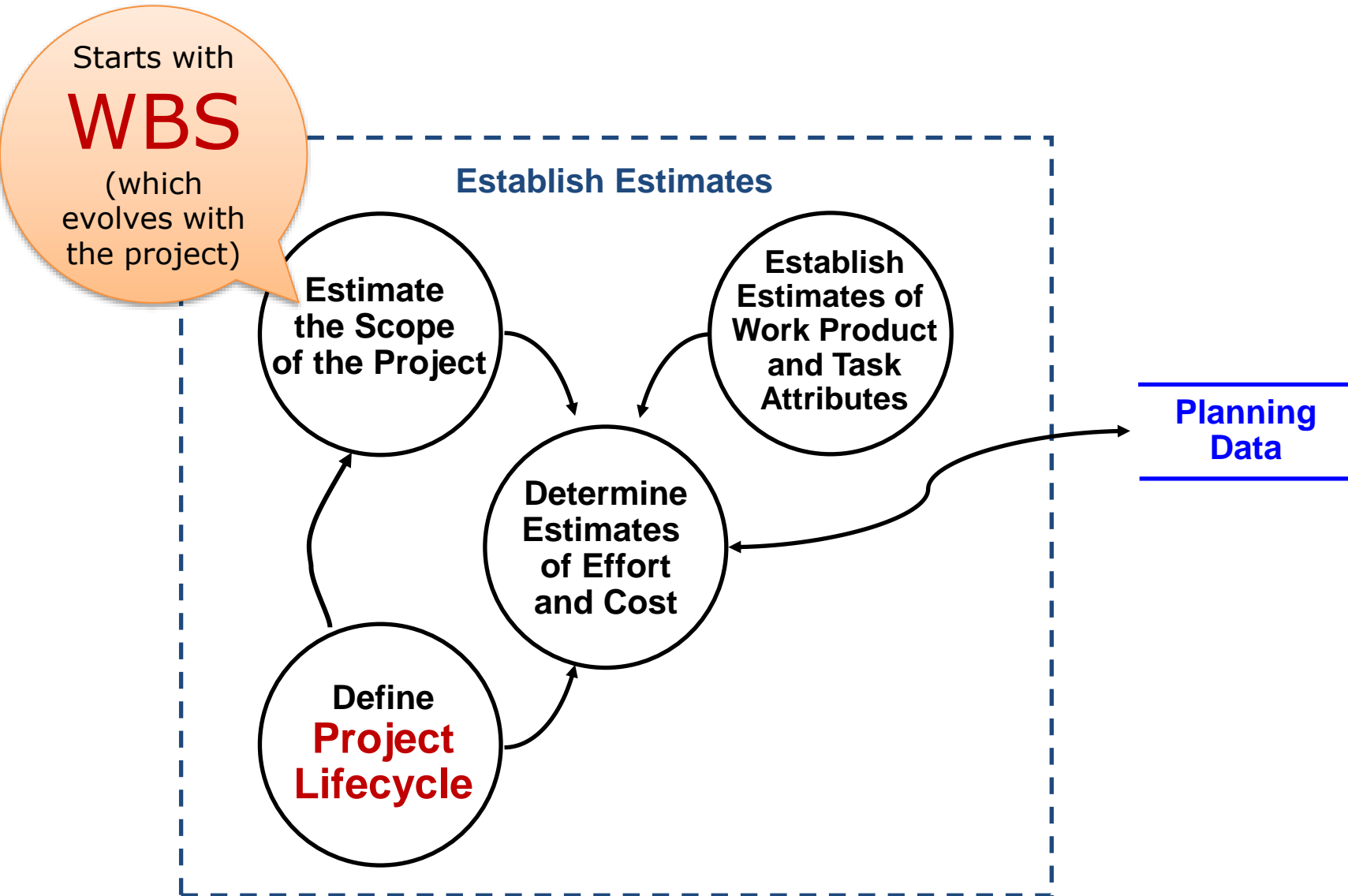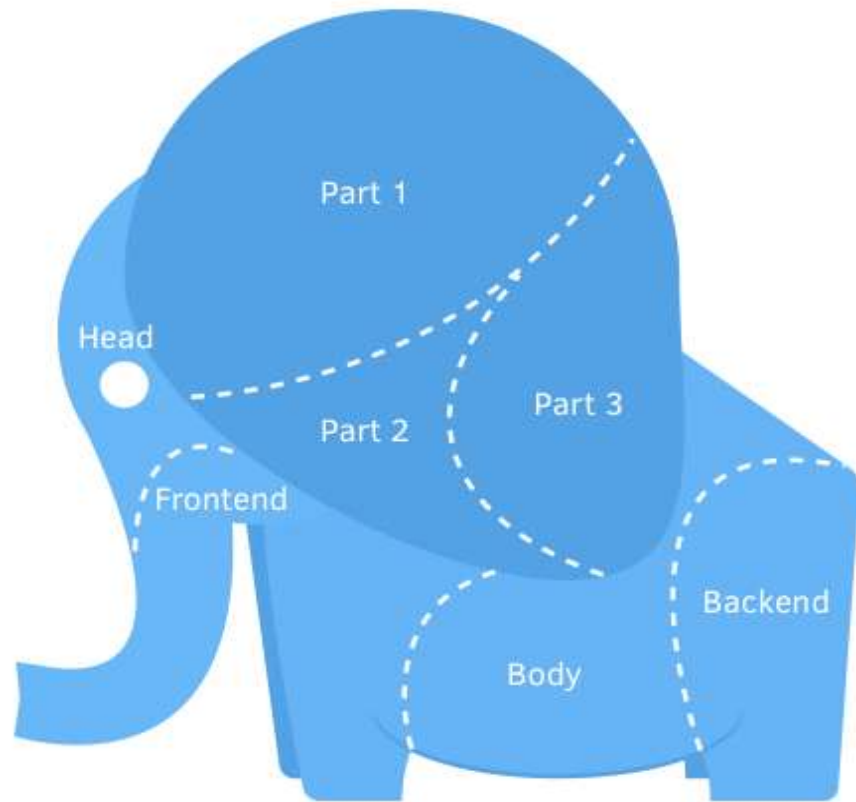
Project Planning Context -1
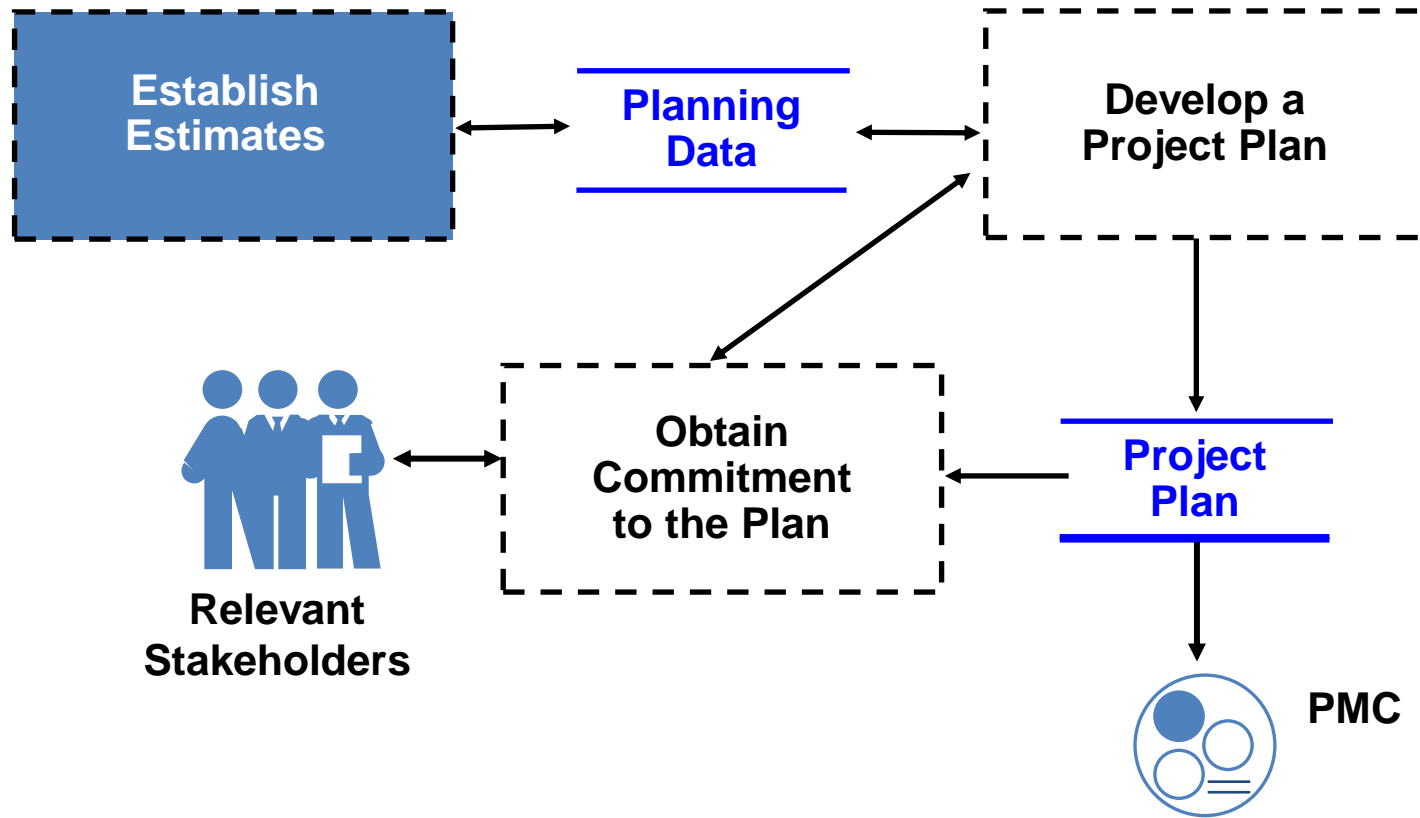
Project Planning Context -2

PP example 1:
Work Breakdown: Planning the "What"

How do you eat an elephant?

What is in WBS - example

Research

Survey users
  - create questionnaire
  - find users
  - analyze results

Competition research
  - make the list
  - analyze
  - document key points

Gather requirements
  - interview marketing department
  - interview sales department
  - get content

Design

Information architecture
  - Create interaction map
  - Create sitemap
  - Plan content
  - Copywriting
  - Discussion and review

Visual design
  - Choose color palette
  - Decide on typography
  - Create comps
  - Asset production

Development

Front-end
  - Set layout
  - Write HTML
  - Write CSS
  - Responsiveness
  - Header
  - Footer

Back-end
  - Set integrations
  - Create admin area
  - Log-in
  - Cookies
  - Security

Review

Test
  - A/B tests
  - Usability
  - Test back-end

Present to the client
  - Arrange a meeting
  - Prepare documentation
  - Present
  - Gather feedback
  - Evaluate next steps

ADAM SAVAGE'S WORKSHOP

Step One: Make a List

If you think any detail is too small to write down in your initial project plan, you're going to get it wrong.

I love lists. Always have. When I was 14, I wrote down every dirty word I knew on file cards and placed them in alphabetical order. I have a thing about collections, and a list is a collection with purpose.

Lists are how I parse and manage the world. I make lists for fun (I have more than 17,000 palindromes) and to relax (I can eliminate distractions and focus on what's important). But mostly I make lists for projects. This can be daunting. Breaking something big into its constituent parts will help you organize your thoughts, but it can also force you to confront the depth of your ignorance and the hugeness of the task.

That's OK. The project may be the lion, but the list is your whip.

The first thing I write down is whatever I hope to end up with—a Maltese Falcon, a Hellboy hand, or a map of all of Middle-earth (at the end of the Third Age, of course). That used to be the header in a notebook. Now it's generally the name of a folder on my computer, and the list of tasks will be a series of subfolders and sub-subfolders.

When I want to build something, I'll start collecting images, drawings, and information in the main folder. After a few weeks or months, I'll parcel this raw info into subfolders. If I'm building a spacesuit, I'll make separate subfolders for the helmet, gloves, boots, front control module, backpack, and so on. Unforeseen challenges—the checklists on the wrists of NASA's Apollo-era suits, for instance—will get even more subfolders.

Eventually I'll create a folder called Adam's Progress. As I chug along, I take photos with my phone and drop them into this folder for a quick reference of how far I've come. These images provide inspiration and momentum. A list

of what I've already done makes the list of what's left to do a bit more manageable. And when I'm finished, this folder will be my diary of the project. It's something I'll keep forever.
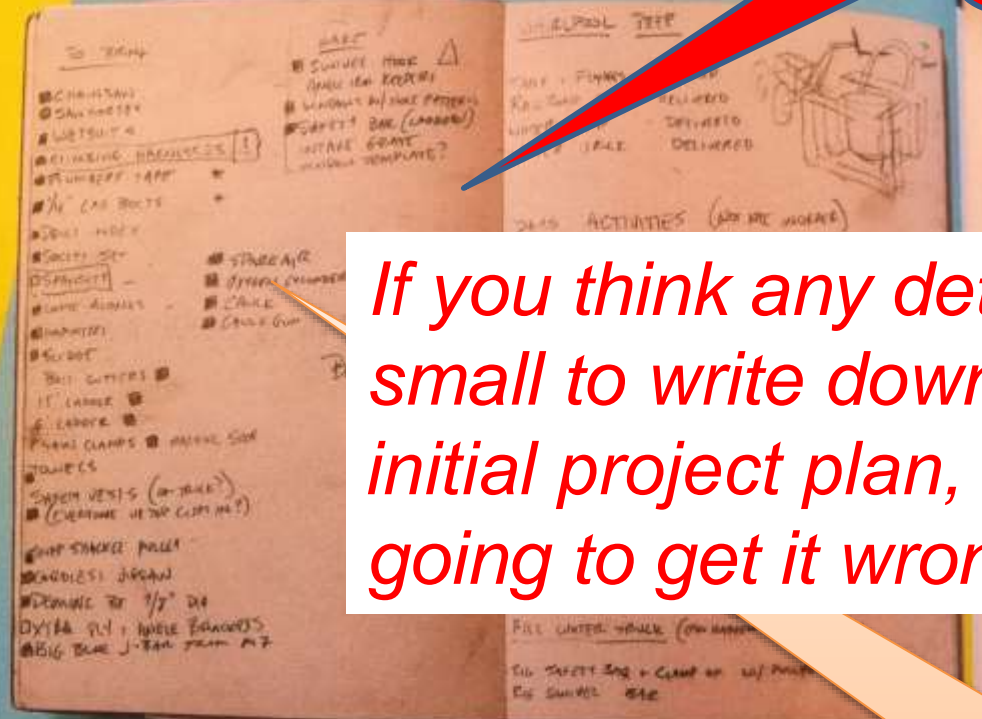
Just like that collection of dirty words.

ADAM SAVAGE (adamsavage.com) is a sculptor, special-effects fabricator, and cohost of Discovery Channel's MythBusters.
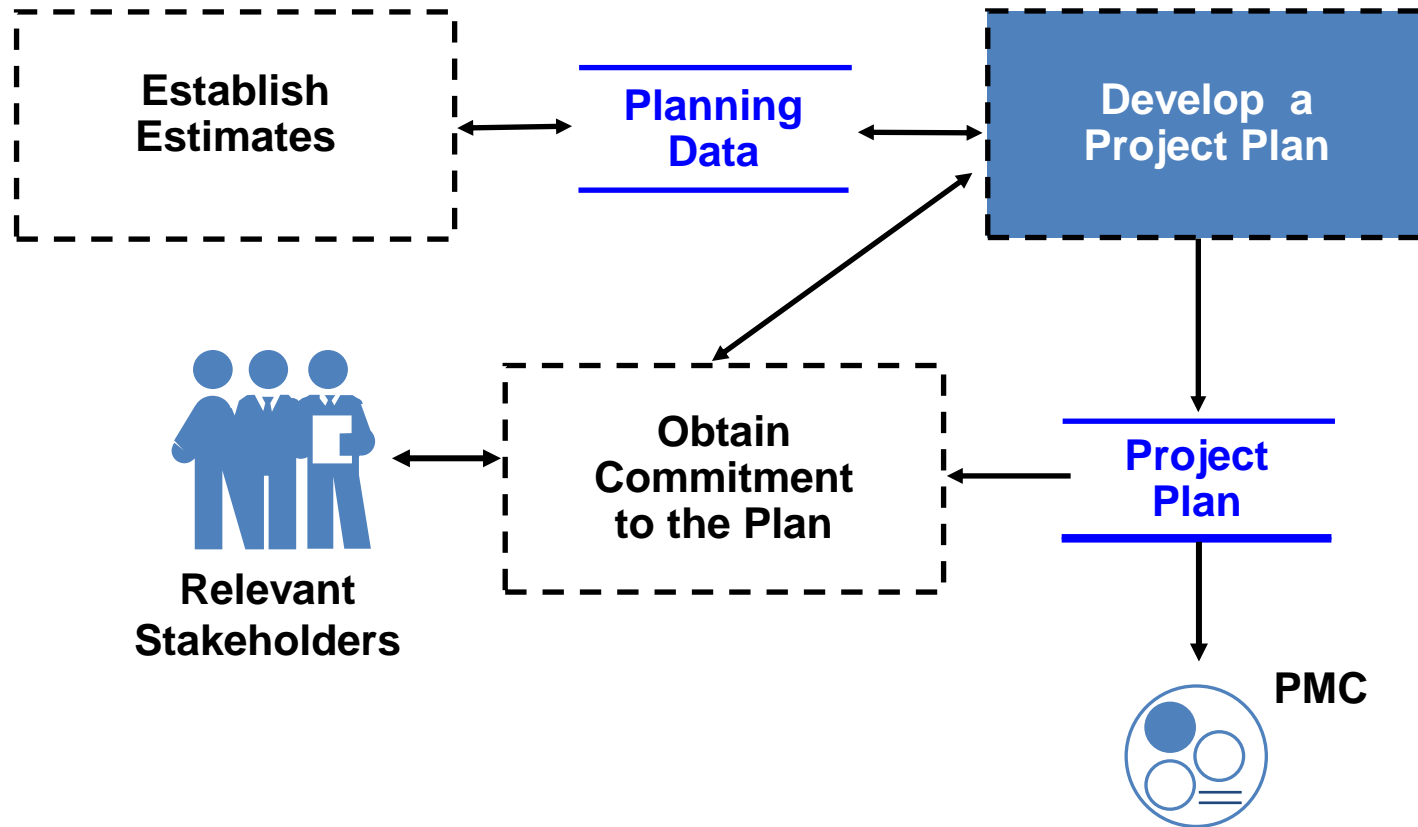
What is this?

If you think any detail is too small to write down in your initial project plan, you're going to get it wrong.
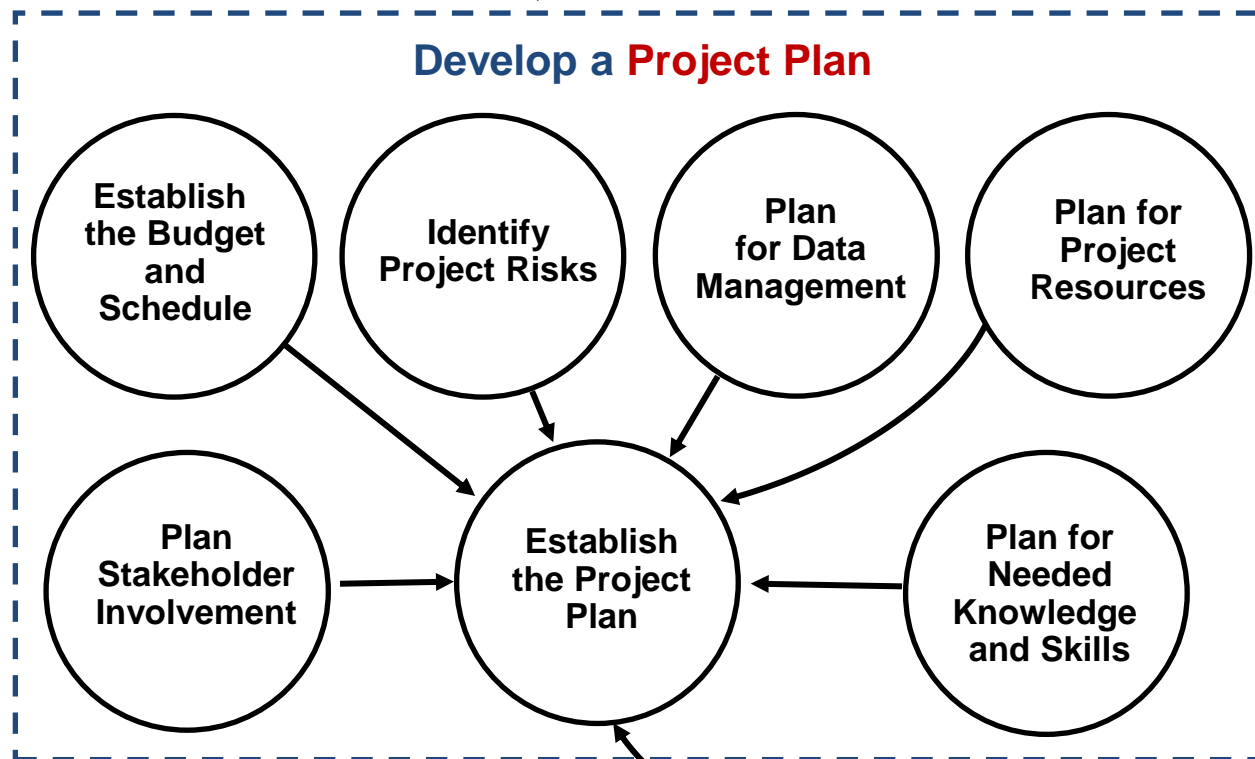
WBS ?

Project Planning Context -3

Establish Estimates

Planning Data

Develop a Project Plan

Obtain Commitment to the Plan

Relevant Stakeholders

Project Plan

PMC

Project Planning Context -4

Planning Data

Develop a Project Plan

- Establish the Budget and Schedule
- Identify Project Risks
- Plan for Data Management
- Plan for Project Resources
- Plan Stakeholder Involvement
- Establish the Project Plan
- Plan for Needed Knowledge and Skills

Project Plan

PMC

ESI European Software Institute Center Eastern Europe

PP example 2:
Project Timeline: Planning the "When"

- **deadline-driven planning**
- **quality-driven planning**

Task Assignment: Planning the "Who"

Responsibility Assignment Matrix (RACI).

RACI matrix defines four roles a person can have on a task:

- **Responsible** - owns the task, works on it, and their duty is to see it gets completed

- **Accountable** - must approve the work and sign-off before it can be completed

- **Consulted** - has the necessary information without which a task can't be completed

- **Informed** - needs to know the final outcome, but doesn't need to be consulted

PP example 4:
Automate Planning

Recurring tasks

common tasks that you create often, like every day, week, or month
define them once, set how often they should be created

Here are some tasks you can put on auto-pilot:

- Daily standup meeting
- Monthly progress meeting
- Client meeting
- Review contracts with lawyer
- Check team performance every week
- Create a projects report every Monday
- Perform backup each week
- Check unpaid invoices
- Pay office bills
- Invoice work at the end of the month
- Contact an old client to keep in touch

Project Planning Context -5

Project Planning Context -6

Obtain Commitment to the Plan

Review Plans that Affect the Project

Reconcile Work and Resource Levels

Project Plans

Obtain Plan Commitment

Relevant Stakeholders

ESI European Software Institute
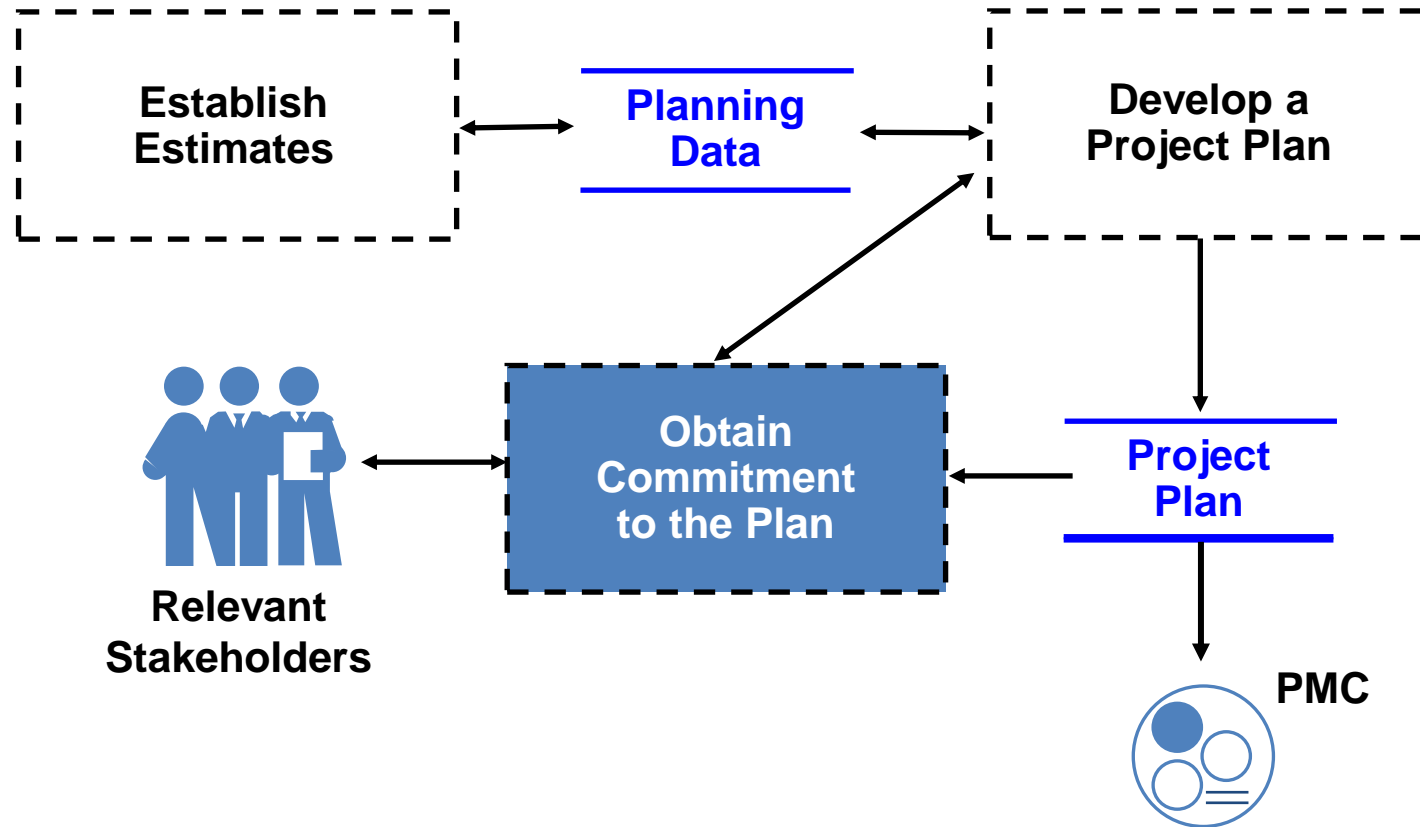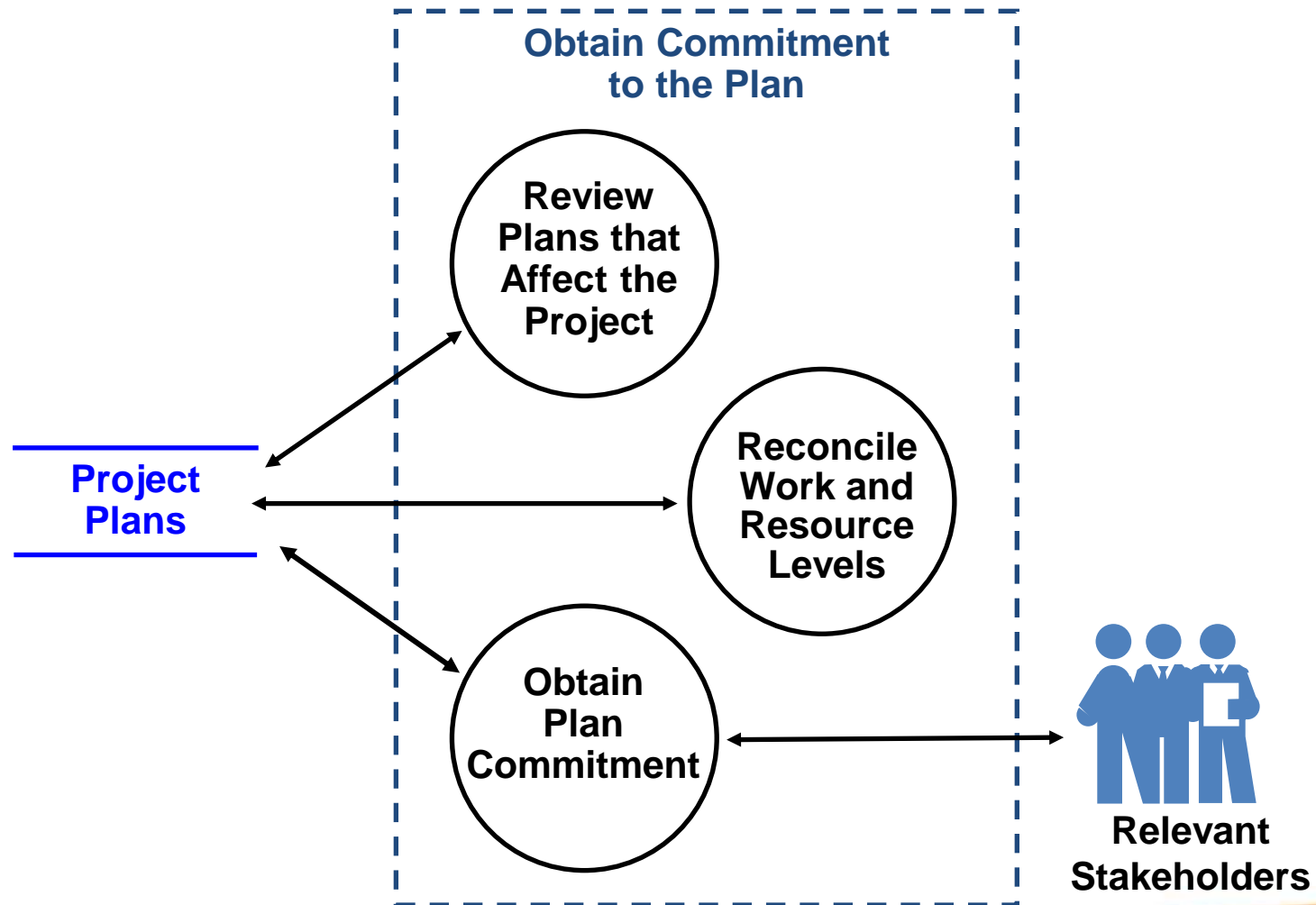
Project Planning "takeaways":

- The Project Planning involves:
  - Developing the project plan
  - Getting commitment to the plan
  - Maintaining the plan
- Planning begins with requirements that define the product/project.
- Planning includes:
  - Estimating the attributes of the work products/tasks
  - Determining the resources needed
  - Negotiating commitments
  - Producing a schedule
  - Identifying and analyzing project risks
- The project plan will usually need to be revised to address:
  - changes in requirements/commitments
  - inaccurate estimates
  - corrective actions
  - process changes
- "Project plan" - the overall plan for controlling the project.

Project Planning actions:

- Is there **WBS/Project work packages** based on project's workproducts?

- Work products to be externally acquired/reused identified?

- Technical approach of work products determined?
  (Development strategy – client-server/distributed, technologies)

- Duration, people, knowledge, inputs, outputs, infrastructure, etc. for the project determined and how (what methods)?

- Resources required estimated?

- Project life cycle/phases determined?

- Project schedule and budget established?

- Risks that can affect to the project identified, documented and revised?

- Project data management issues addressed?

- Knowledge and skills requirements identified and addressed?

- Stakeholders identified, and project tasks related to them according their expertise?

- Project plan established and commitments to it identified and documented?

- Is the project plan reviewed and actualized?

Sampling the Generic Practices

GP 2.2: Plan the Process

Establish and maintain the plan for performing the project planning process.

Or …. PLAN THE PLAN !!!

Elaboration for Project Planning
Refer to Table 6.2 in Generic Goals and Practices in Part Two for more information about the relationship between generic practice 2.2 and the Project Planning process area.

How PP relates to Generic Practices?
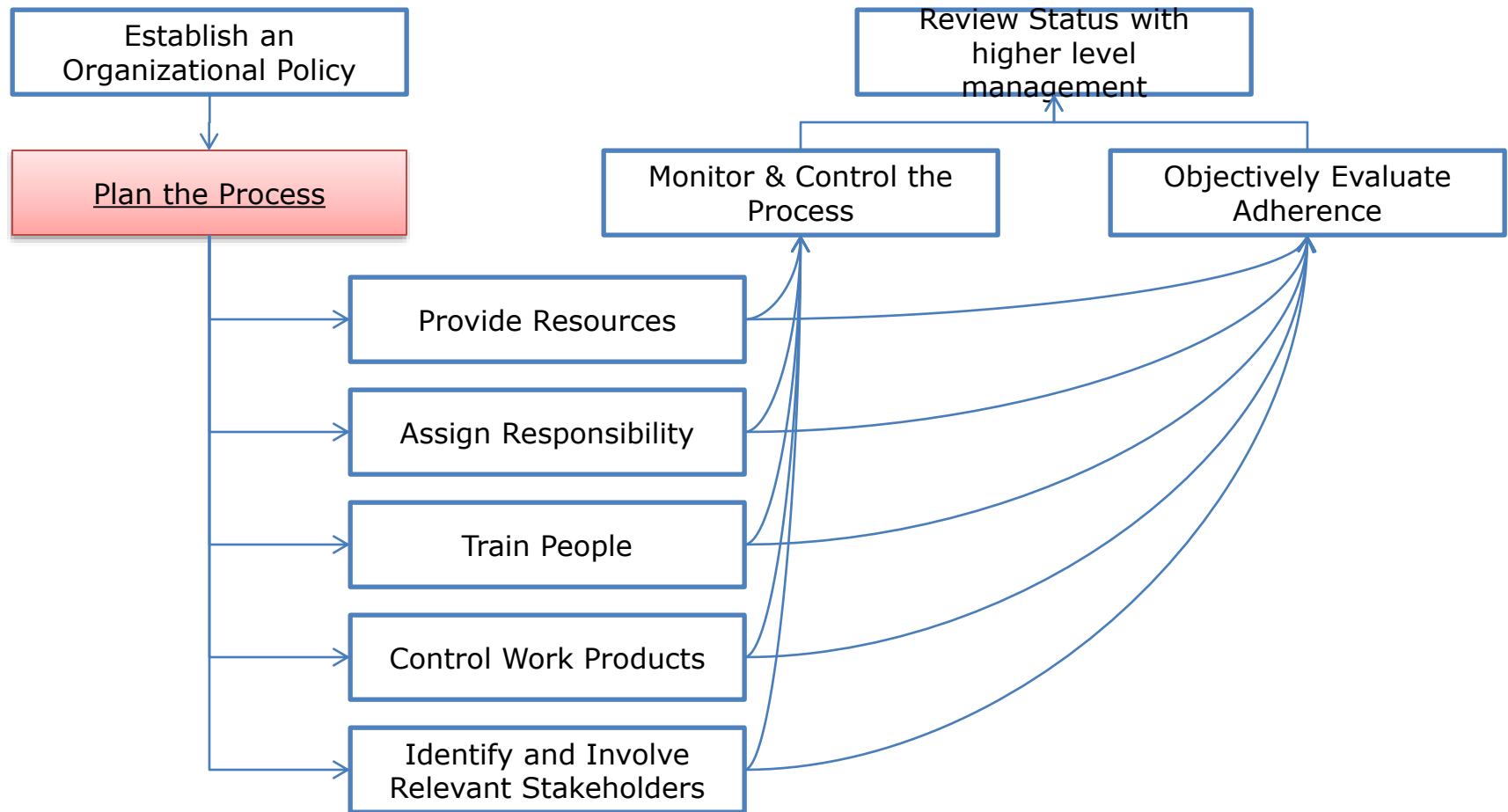
Source: Kiril Karaatanasov, ESI Center Bulgaria

Planning example:

sampling Gantt Charts

Critical Path Analysis – CPA

PERT - Program Evaluation and Review Technique:
   shortest, most likely, longest
   (optimistic, realistic, pessimistic)

SW Project Plan – example - 1

Figure 1. Gantt Chart Example: Planning a custom-written computer project

Task	Earliest start	Length	Type	Dependent on...
A. High level analysis	Week 0	1 week	Sequential	
B. Selection of hardware platform	Week 1	1 day	Sequential	A
C. Installation and commissioning of hardware	Week 1.2	2 weeks	Parallel	B
D. Detailed analysis of core modules	Week 1	2 weeks	Sequential	A
E. Detailed analysis of supporting modules	Week 3	2 weeks	Sequential	D
F. Programming of core modules	Week 3	2 weeks	Sequential	D
G. Programming of supporting modules	Week 5	3 weeks	Sequential	E
H. Quality assurance of core modules	Week 5	1 week	Sequential	F
I. Quality assurance of supporting modules	Week 8	1 week	Sequential	G
J. Core module training	Week 6	1 day	Parallel	C,H
K. Development and QA of accounting reporting	Week 5	1 week	Parallel	E
L. Development and QA of management reporting	Week 5	1 week	Parallel	E
M. Development of Management	Week 6	1 week	Sequential	I

Step 1. List all activities in the plan

Sequential and parallel activities

Courtesy to www.mindtools.com

🌐 Internet | Protected M

ESI European Software Institute Center Eastern Europe

SW Project Plan – example - 2
Gantt Chart

Figure 3: Critical Path Analysis: Activities Scheduled on a Gantt Chart
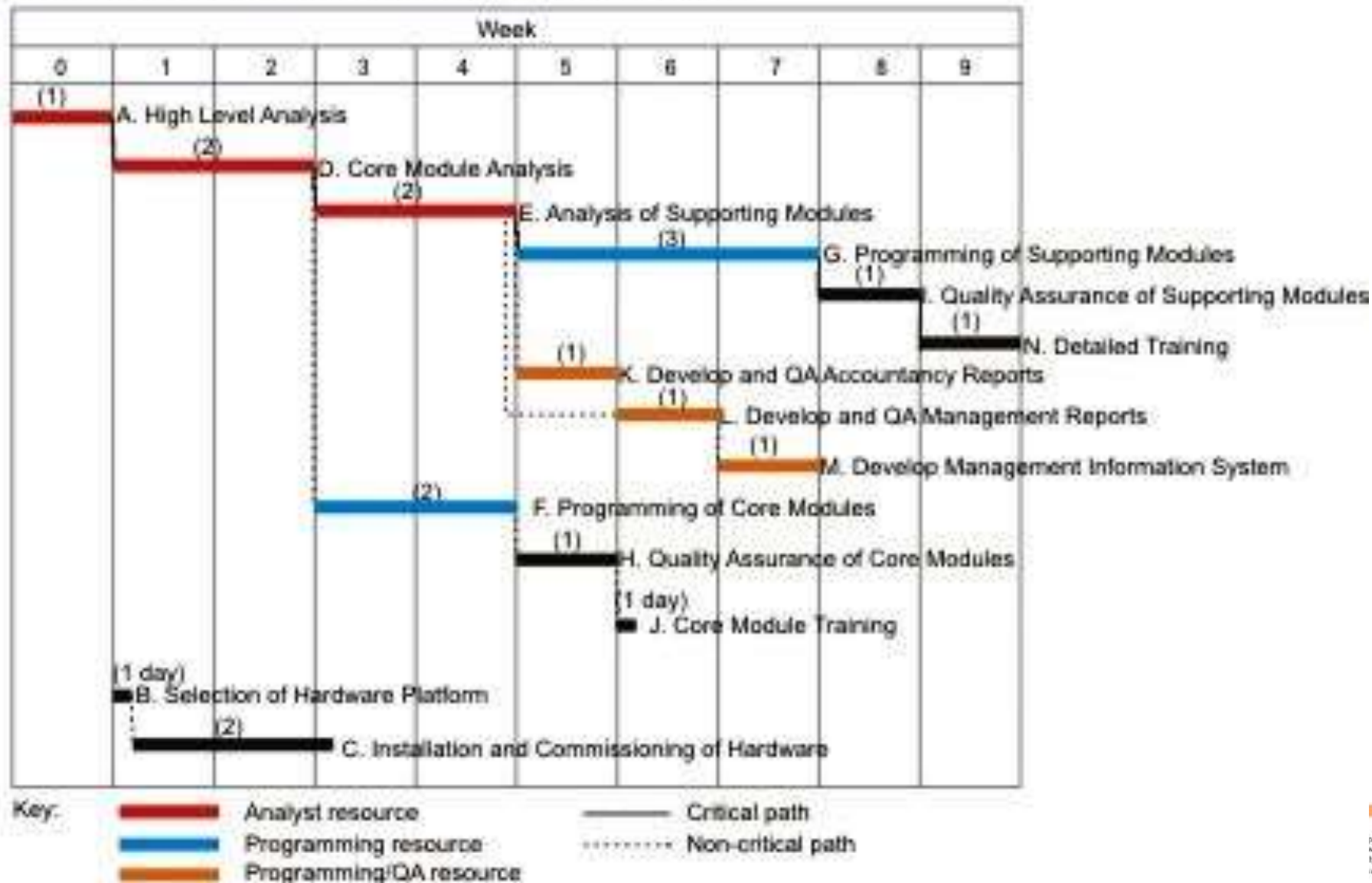
SW Project Plan – example - 3
Critical Path

By drawing this example Gantt Chart, you can see that:

If all goes well, the project can be completed in 10 weeks.

If you want to complete the task as rapidly as possible, you need:

> 1 analyst for the first 5 weeks.
>
> 1 programmer for 5 weeks starting week 4.
>
> 1 programmer/QA expert for 3 weeks starting week 6. Note: Activities L and M have been moved back a week. This does not affect the critical path, but it does mean that a single programming/QA resource can carry out all three of activities K, L and M.

Analysis, development and testing of supporting modules are essential activities that must be completed on time.

Hardware installation and commissioning is not time-critical as long as it is completed before the Core Module Training starts.

Courtesy to www.mindtools.com

SW Project Plan – example - 4
Critical Path Analysis

Figure 5: Critical Path Analysis for Example Computer Project

SW Project Plan – example - 5
CPA and PERT

Critical Path Analysis (CPA) - method of assessing:

- What tasks must be carried out.
- Where parallel activity can be performed.
- The shortest time in which you can complete a project.
- Resources needed to execute a project.
- The sequence of activities, scheduling and timings involved.
- Task priorities.
- The most efficient way of shortening time on urgent projects.

PERT (Program Evaluation and Review Technique) is a variant of Critical Path Analysis that takes a more skeptical view of the time needed to complete each project stage:

shortest, most likely, longest

or   *optimistic, realistic, pessimistic*

Courtesy to www.mindtools.com

MoSCoW method: Must, Should, Could, Would

Mo

1. Non-negotiable
2. Minimum viable product
3. Unable to deliver the end product without this
4. Not legal with it
5. Unsafe without it
6. Without this project is not viable

S

1. Important but not vital
2. Maybe painful to leave out but the solution is still viable
3. May need some kind of workaround

Co

1. Desirable but not as important as Should Have
2. Only do if there is extra time and budget

W

1. Won't have this time around at all
2. Out of budget
3. Nice to have but has no real impact

ESI | European Software Institute Center Eastern Europe

Project Management PAs (overview)

Requirements management (REQM)
- o SG1: Manage requirements

Project Planning (PP)
- o SG1: Establish Estimates
- o SG2: Develop a project plan
- o SG3: Obtain Commitment to the plan

Project Monitoring and Control (PMC)
- o **SG1: Monitor Project Against Plan**
- o **SG2: Manage Corrective action to closure**

PMC: Project Monitoring and Control

*The purpose of Project Monitoring and Control (PMC) is to provide an understanding of the **project's progress** so that appropriate **corrective actions** can be taken when the project's performance deviates significantly from the plan.*

G⊙ALS

SG 1: Monitor Project Against Plan
Actual performance and progress of the project are monitored against the project plan.

SG 2: Manage Corrective Action to Closure
Corrective actions are managed to closure when the project's performance or results deviate significantly from the plan.

When Project Monitoring and Control Is Not Done Well…

Too much time is spent trying to determine **project status**.

Data needed for management decisions are **not available** when needed.

Corrective action is not taken early when it is least expensive.

Lack of management insight makes project **results highly unpredictable**.

The **customer does not have confidence** in the project status reporting.

Project Monitoring and Control Context
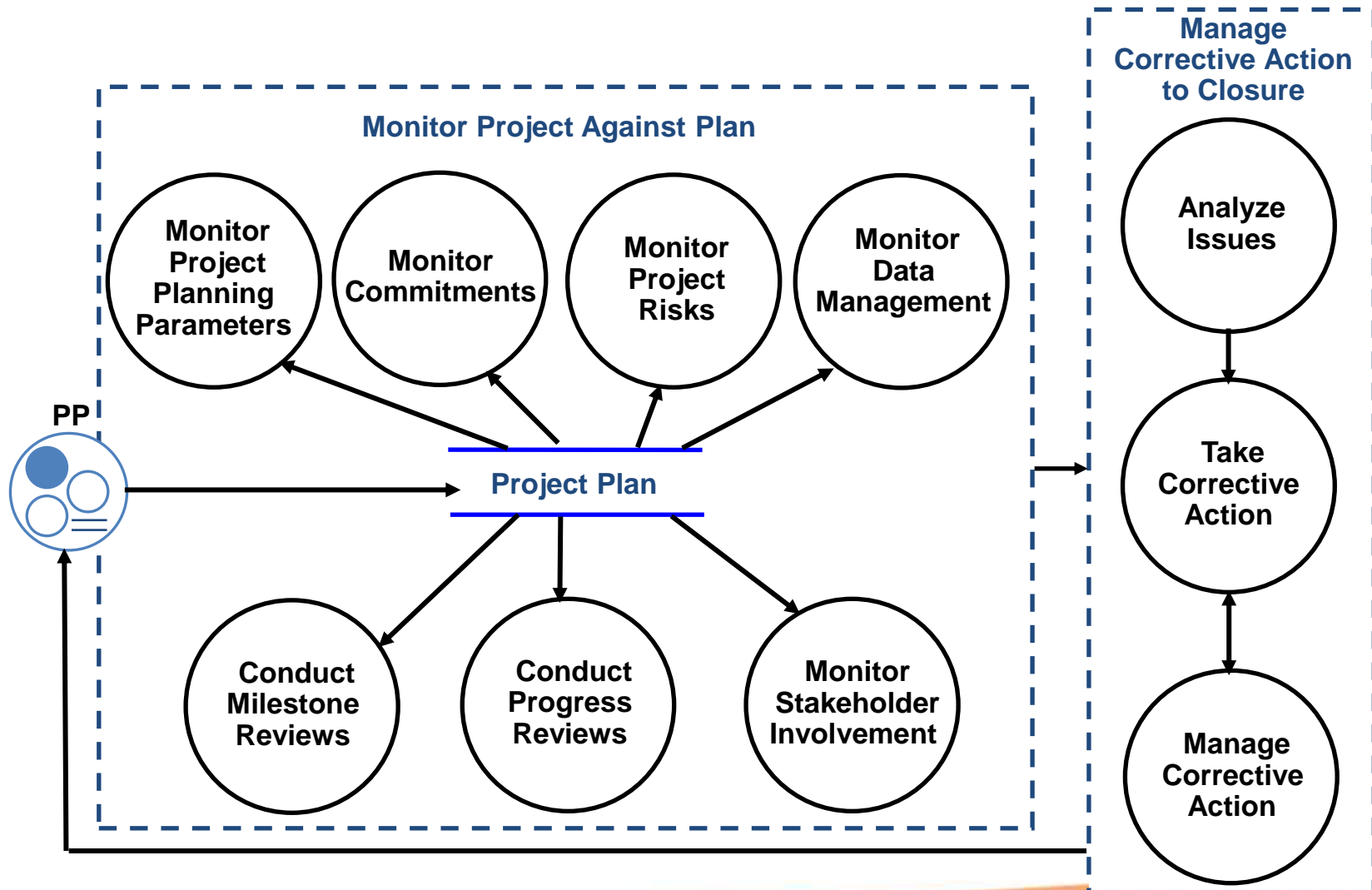
SG 1: Monitor Project Against Plan

SP 1.1 "Monitor Project Planning Parameters" – This practice monitors progress against the parameters established in the project plan (e.g., schedule, cost, expended effort, and resources).

SP 1.2 "Monitor Commitments" - Monitoring emphasizes identifying commitments that have not been satisfied or are at significant risk of not being satisfied and evaluating the impacts of these unsatisfied commitments.

SP 1.3 "Monitor Project Risks" - Monitoring project risks involves periodically reviewing the project's documented risks in light of the current status and circumstances.

SP 1.4 "Monitor Data Management" - Monitoring data management involves periodically reviewing data management activities against their description in the project plan.

SP 1.5 "Monitor Stakeholder Involvement" - Monitoring stakeholder involvement includes periodically reviewing the status of stakeholder involvement and identifying and documenting significant issues and their impacts.

SP 1.6 "Conduct Progress Reviews" - This specific practice is distinct from conduct milestone reviews, which focuses on reviews at major project milestones and phase boundaries. Conducting progress reviews involves regularly communicating status on assigned activities and work products to relevant stakeholders and reviewing the results of collecting and analyzing measures for controlling the project.

SP 1.7 "Conduct Milestone Reviews" - Milestone reviews are conducted at meaningful points in the project's schedule and include reviewing the commitments, plan, status, and risks of the project.

SG 2: Manage Corrective Action to Closure

SP 2.1 "Analyze Issues" - Analyzing issues involves gathering issues for analysis and analyzing them to determine the need for corrective action. Corrective action criteria are established in project planning.

SP 2.2 "Take Corrective Action" - Corrective actions are taken as necessary when issues are identified or when progress differs significantly from what was planned.

SP 2.3 "Manage Corrective Action" - Managing corrective action includes monitoring corrective actions for completion, analyzing the results of corrective actions to determine the effectiveness of the corrective action, and determining and documenting appropriate actions to correct deviations from planned results of corrective actions.

The essence of PMC

- PMC:
  - monitoring activities
  - communicating status
  - taking corrective action

- Progress – at prescribed milestones (WBS/Schedule) comparing to the planned:
  - Actual work product and task attributes
  - Effort, cost, and schedule

- When actual status deviates significantly – corrective actions

- Corrective actions may include re-planning (PP)

PMC Actions

- Monitored:
  - Progress against the schedule
  - Cost, expended effort, staffing and training
  - Actual resources usage
- Deviations documented?
- Internal and external commitments regularly reviewed?
- Risks status regularly reviewed/communicated to relevant stakeholder?
- Data management tasks regularly reviewed?
- Progress reviews:
  - Task status communicated?
  - Results documented?
- Milestone reviews conducted?
- Manage corrective actions to closure
  - Issues analyzed and documented?
  - Corrective actions tracked to closure?
  - Results analyzed?

1. Earned Value Analysis - 1

Objective:

- To **measure the progress** of an activity, deliverable and/or project by comparing the actual value to planned value, thereby indicating the **probability of meeting the scope, time & cost budget** of the activity, deliverable and/or project, and **need for any corrective actions**.

- To **analyze the project performance**, calculate the variance for schedule and cost and indicates where the project stands in comparison to the estimates calculated earlier for this point in time.

1. Earned Value Analysis - 2
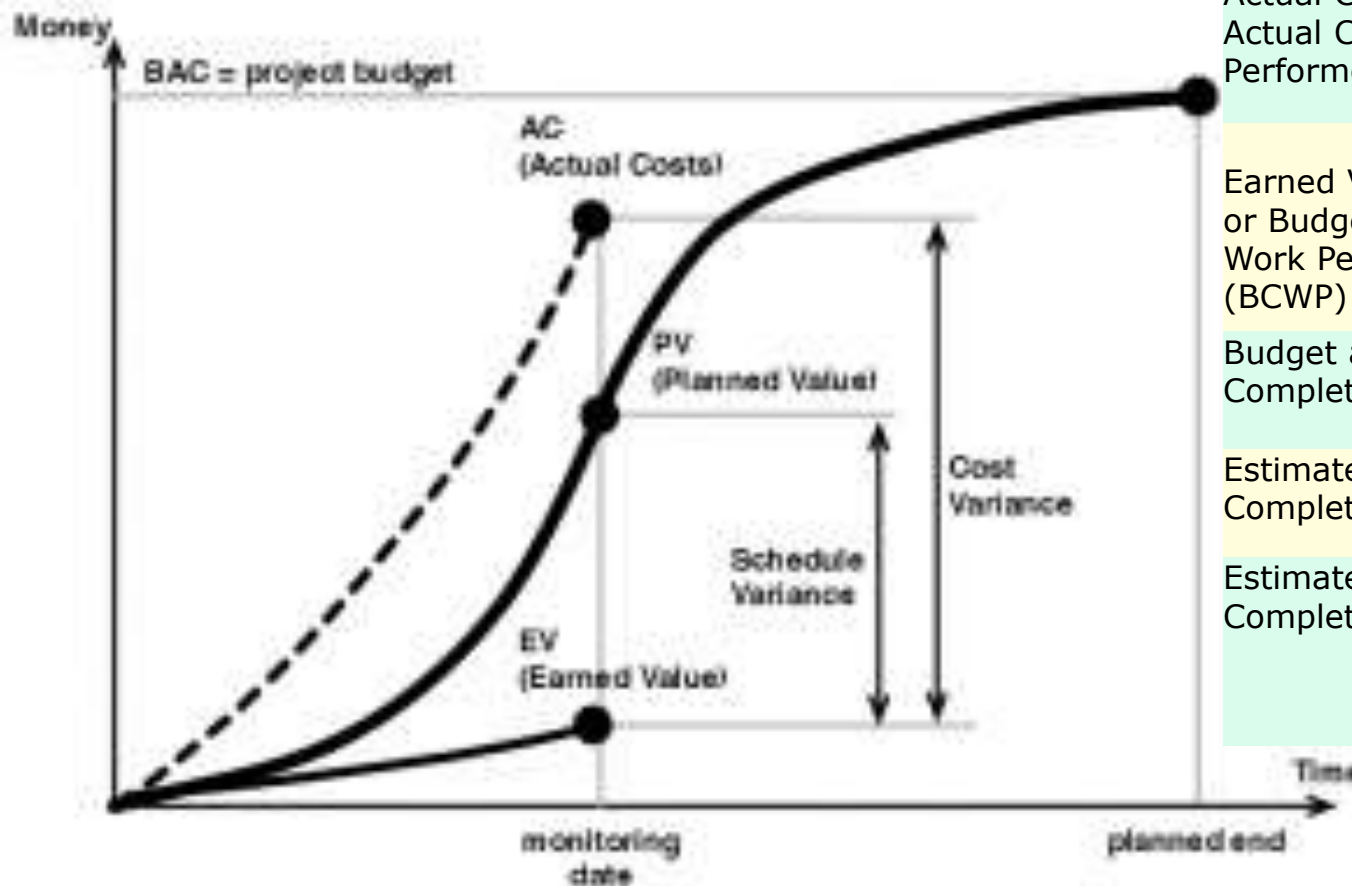
Planned Value (PV) or Budgeted Cost of Work Scheduled (BCWS)	Originally planned cost of the work that should have been done by this time
Actual Cost (AC) or Actual Cost of Work Performed (ACWP)	Actual cost expenses on this project upto this time
Earned Value (EV) or Budgeted cost of Work Performed (BCWP)	Estimated cost of budgeted work completed
Budget at Completion (BAC)	Total budget for the project
Estimate At Completion (EAC)	Estimated final cost of the project
Estimate To Completion (ETC)	Estimated cost of the remaining work of the project

http://www.spmbook.com/downloads/slides/pdf/c03.08-09-executionmonitoringcontrol.key.pdf

1. Earned Value Analysis - 3

Description	EVA Formulas	Result
Cost Variance (CV)	CV = EV – AC	Positive value is good. Negative value unfavourable.
Schedule Variance (SV)	SV = EV / PV	Value below 1.0 = below par performance. Value above 1.0 = above par performance The further away the ratio is from 1.0 the more urgent need to investigate
Cost Performance Indicator (CPI)	CPI = EV / AC, compares performed to actual cost	>1 means project efficient, <1 means project inefficient
Schedule Performance Indicator (SPI)	SPI = EV / PV, compares work performed to work planned	>1 means project ahead of schedule, <1 means project behind schedule
Estimate At Completion (EAC)	EAC = BAC/CPI	
Estimate To Complete (ETC)	ETC = (BAC – EV) / CPI	

http://www.spmbook.com/downloads/slides/pdf/c03.08-09-executionmonitoringcontrol.key.pdf

ESI

1. Earned Value Analysis - 4

https://www.simplilearn.com/whats-in-earned-value-management-rar84-article
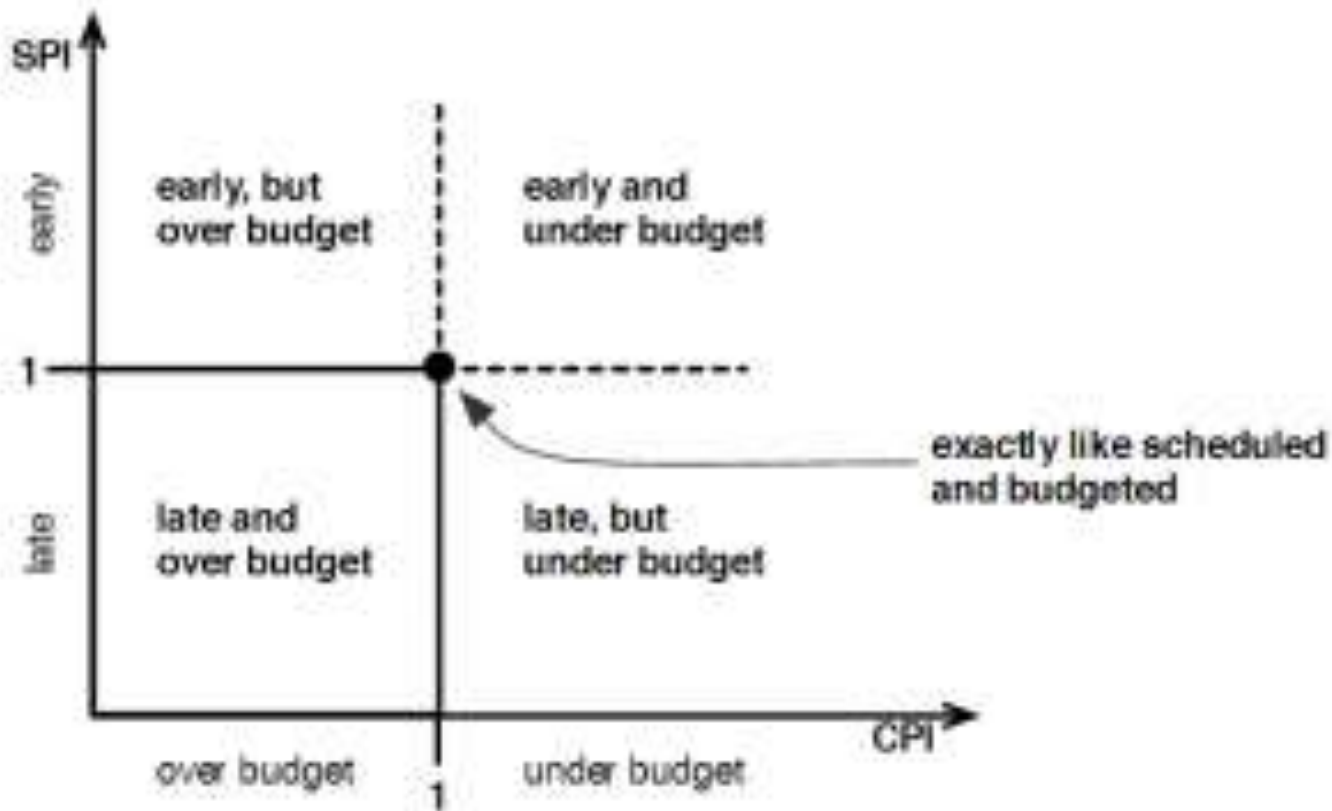
5. Review Meetings

- The most important resources in projects are people.
- The actions that project people take towards their assigned tasks leads to task completion on-time or delayed.
- In a worst case scenario, a task would not be completed.
- Project control techniques targeted at people must enable the timely completion of tasks.

Delays and incomplete tasks could lead to project delays, depending on whether the activities are in the critical path. In addition, project costs get impacted negatively. Delayed tasks translate to effort that has not been budgeted for, therefore cost of that task to completion goes up.

Simple, yet effective, project control techniques:

- **Conducting Daily Team Meetings**: As the name implies, this activity involves having a project huddle in which team members give a status update of their tasks. Daily team meetings also involve identifying dependencies and risks to the assigned tasks.

- **Conducting Project Health Meetings**: These meetings involve the larger team since many projects are broken into sub-projects, intra-project dependencies are analyzed. Various factors are used to access the project health. For example, you can use earned value analysis, team motivation, and client satisfaction.

VIA 9GAG.COM

Example: How PP and PMC work in SCRUM

What is Scrum?

Scrum (n): A **framework** within which people can address complex adaptive problems, while productively and creatively delivering products of the highest possible value.

- Developers like it
- It's fast, easy, and fun

"Go Fast! Make your mistakes quickly so you can discover problems and fix them quickly."

History of Scrum for SW Development

In rugby football, a scrum refers to a tight-packed formation of players with their heads down who attempt to gain possession of the ball.

Jeff Sutherland and Ken Schwaber codified Scrum in 1995 in order to present it at the Oopsla conference in Austin, Texas (US) and published the paper "SCRUM Software Development Process".

Manifesto for Agile Software Development

We are uncovering better ways of developing
software by doing it and helping others do it.
Through this work we have come to value:

Individuals and interactions over processes and tools

Working software over comprehensive documentation

Customer collaboration over contract negotiation

Responding to change over following a plan

That is, while there is value in the items on
the right, we value the items on the left more.

Kent Beck	James Grenning	Robert C. Martin
Mike Beedle	Jim Highsmith	Steve Mellor
Arie van Bennekum	Andrew Hunt	Ken Schwaber
Alistair Cockburn	Ron Jeffries	Jeff Sutherland
Ward Cunningham	Jon Kern	Dave Thomas
Martin Fowler	Brian Marick	

February 11-13, 2001, at the Lodge at Snowbird ski resort in the Wasatch mountains of Utah, USA

ESI
European
Software
Institute

Event	Inspection	Adaptation
Sprint Planning	• Product Backlog • (Commitments Retrospective) • (Definition of Done)	• Sprint Goal • Forecast • Sprint Backlog
Daily Scrum	• Progress toward Sprint Goal	• Sprint Backlog • Daily Plan
Sprint Review	• Product Increment • Product Backlog (Release) • Market-business conditions	• Product Backlog
Sprint Retrospective	• Team & collaboration • Technology & engineering • Definition of Done	• Actionable improvements

Adapted from Dr ian mitchell - Own work, CC BY-SA 4.0, https://commons.wikimedia.org/w/index.php?curid=44894952
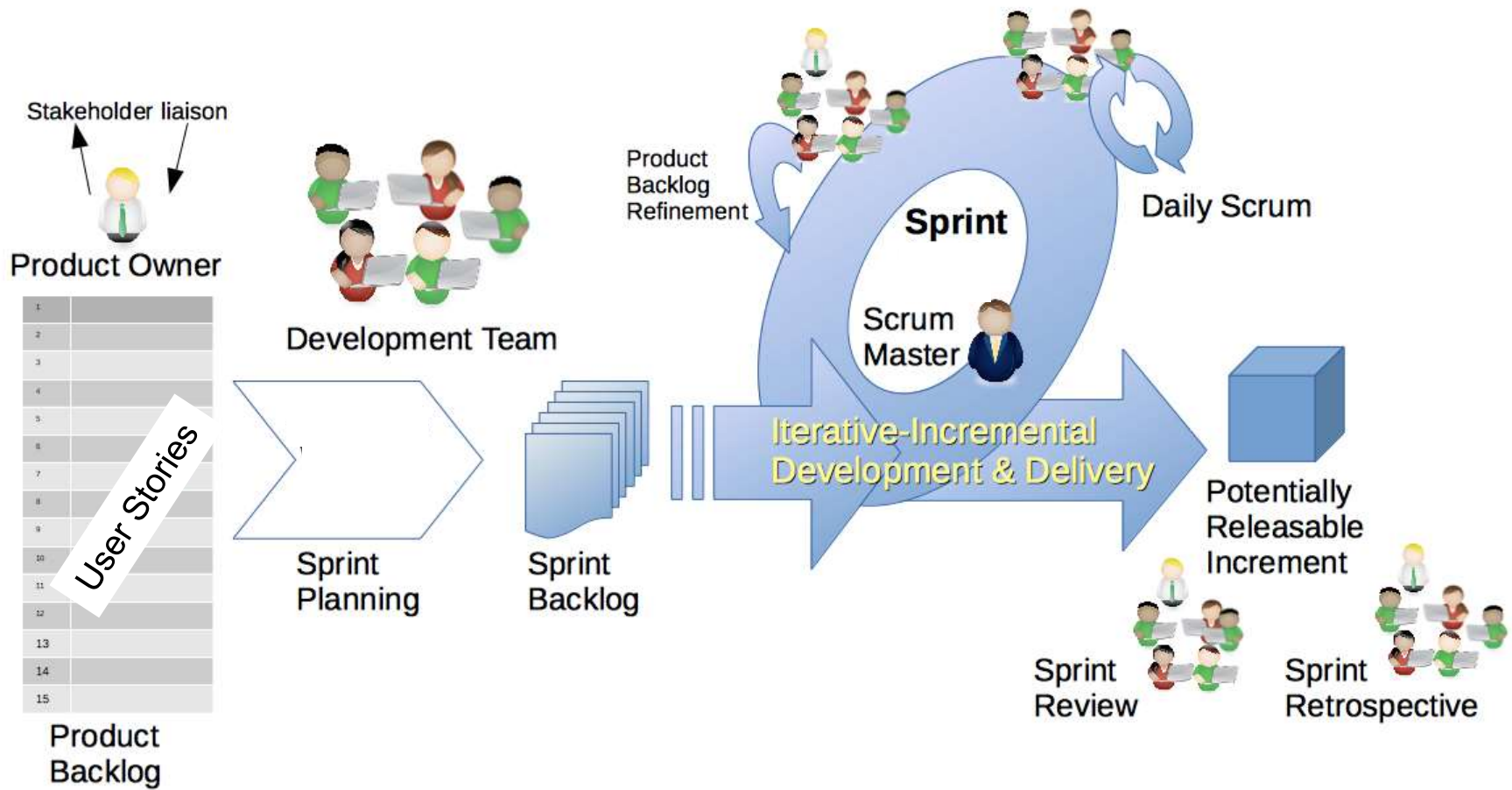
SCRUM Events (all time-boxed)

Stakeholder liaison

Product Owner

Development Team

Product Backlog Refinement

Sprint (max 1 month)

Scrum Master

Daily Scrum

fifteen (15) minutes. It does not change with the length of a Sprint

User Stories

Product Backlog

Sprint Planning

Sprint Backlog

Iterative-Incremental Development & Delivery

Potentially Releasable Increment

eight (8) hours for a one-month Sprint or less for shorter Sprints

Sprint Review

four (4) hours for one-month Sprint or less for shorter Sprints

Sprint Retrospective

three (3) hours for one-month Sprint or less for shorter Sprints

Adapted from Dr ian mitchell - Own work, CC BY-SA 4.0, https://commons.wikimedia.org/w/index.php?curid=44894952

Daily Scrum

The Daily Scrum is held at the same time and place each day to reduce complexity.
The Scrum Master ensures/teaches how the Development Team conducts the meeting in 15 min. Development Team is responsible for conducting the Daily Scrum.

What did I do yesterday that helped the Development Team meet the Sprint Goal?

What will I do today to help the Development Team meet the Sprint Goal?

Do I see any impediment that prevents me or the Development Team from meeting the Sprint Goal?

The Development Team or team members often meet immediately after the Daily Scrum for detailed discussions.

Remember - Generic practices ML2?

GP2.1: Establish an Organizational Policy

GP2.2: Plan the Process

GP2.3: Provide Resources

GP2.4: Assign Responsibility

GP2.5: Train People

GP2.6: Manage Work Products

GP2.7: Identify and Involve Relevant Stakeholders

GP2.8: **Monitor and Control the Process**

GP2.9: Objectively Evaluate Adherence

GP2.10: Review Status with Higher Level Management

Sampling the Generic Practices

GP 2.8: Monitor and Control the Process

Monitor and control the project monitoring and control process against the plan for performing the process and take appropriate corrective action.

Elaboration for Project Monitoring and Control
Examples of measures and work products used in monitoring and controlling include the following:

- o number of open and closed corrective actions
- o schedule with status for monthly financial data collection, analysis, and reporting
- o number and types of reviews performed
- o review schedule (planned versus actual and slipped target dates)
- o schedule for collection and analysis of monitoring data

How PMC relates to Generic Practices?

Establish an Organizational Policy	Review Status with higher level management	
Plan the Process	Monitor & Control the Process	Objectively Evaluate Adherence
Provide Resources		
Assign Responsibility		
Train People		
Control Work Products		
Identify and Involve Relevant Stakeholders		

Source: Kiril Karaatanasov, ESI Center Bulgaria

Status, issues, and results of process and
product evaluations; measures and analyses

Corrective action

PMC

Corrective action

REQM

What to
monitor

Product and
product
component
requirements

Replan

Product and
product component
requirements

PP

What to build

Engineering and Support
process areas

What to do

Commitments

Status, issues,
and results of
reviews and
monitoring

Plans

Measurement
needs

SAM

Supplier
agreement

Product component requirements, technical
issues, completed product components, and
acceptance reviews and tests

Supplier

PMC = Project Monitoring and Control
PP = Project Planning
REQM = Requirements Management
SAM = Supplier Agreement Management

Just to mention SAM
(Supplier Agreement Management)

The purpose of Supplier Agreement Management (SAM) is to *manage the acquisition of products and services* *from suppliers.*

G⊙ALS

SG 1: Establish Supplier Agreements
Agreements with the suppliers are established and maintained.

SG 2: Satisfy Supplier Agreements
Agreements with suppliers are satisfied by both the project and the supplier.

The essence of SAM

Applies to the acquisition of:

  products/components that are delivered to the project's customer

  significant products/components not delivered to the project's customer (for example, development tools and test environments).

Does not apply when supplier is part of the team

Suppliers:

  in-house vendors

  fabrication capabilities and laboratories

  commercial vendors

The acquired product is delivered to the project from the supplier and becomes part of the products delivered to the customer

SAM Practices:

Type of acquisition (COTS, contract, in-house, from the customer) determined?

Supplier selection based on evaluation?

Criteria for evaluation established/documented?

Criteria for evaluation of proposals?

Agreement with supplier documented?

Agreement revised during project?

Criteria of evaluation of COTS?

Risk analysis performed on COTS?

Monitoring activities defined in the agreement?

Technical/management reviews with supplier performed?

Acceptance test/verification performed and results documented?

Next: Supporting PAs ML2:

o Requirements Management

o Project Planning

o Project Monitoring & Control

o **Process and Product Quality Assurance**

o **Measurement & Analysis**

o **Configuration Management**

o Supplier Agreement Management

Supporting Process Areas, ML2 (overview)

Supporting PAs (overview)

Process and Product Quality Assurance (PPQA)
- o **SG 1: Objectively Evaluate Processes and Work Products**
- o **SG 2: Provide Objective Insight**

Measurement and Analysis (MA)
- o SG 1: Align Measurement and Analysis Activities
- o SG 2: Provide Measurement Results

Configuration Management (CM)
- o SG 1: Establish Baselines
- o SG 2: Track and Control Changes
- o SG 3: Establish Integrity

Process & Product Quality Assurance (PPQA)

The purpose of Process and Product Quality Assurance (PPQA)

is to

provide **staff and management**

with objective insight into

processes and

associated **work products**.

What PPQA provides?

Management knows if **process assets** are being used

Failures to follow process that may **endanger projects become visible early on**

Problems with **process definitions** are uncovered and addressed

Process descriptions are **followed**

Terminology

Quality assurance

  o A planned and systematic means for assuring management that defined standards, practices, procedures, and methods of the process are applied.

Objectively evaluate

  o To review activities and work products against criteria that minimize subjectivity and bias by the reviewer.

Analyze that (1):

"I'd rather have it wrong than have it late. We can always fix it later."

Process and Product Quality Assurance (PPQA)

The purpose of Process and Product Quality Assurance (PPQA) is to provide staff and management with objective insight into processes and associated work products.

G⊙ALS

SG 1: Objectively Evaluate Processes and Work Products
Adherence of the performed process and associated work products to applicable process descriptions, standards, and procedures is objectively evaluated.

SG 2: Provide Objective Insight
Noncompliance issues are objectively tracked and communicated, and resolution is ensured.

ESI | European Software Institute

Process and Product Quality Assurance - Context

Objectively Evaluate Processes and Work Products

Objectively Evaluate Processes

Objectively Evaluate Work Products

Work Products

Reports and Records

Provide Objective Insight

Communicate and Resolve Non-compliance Issues

Establish Records
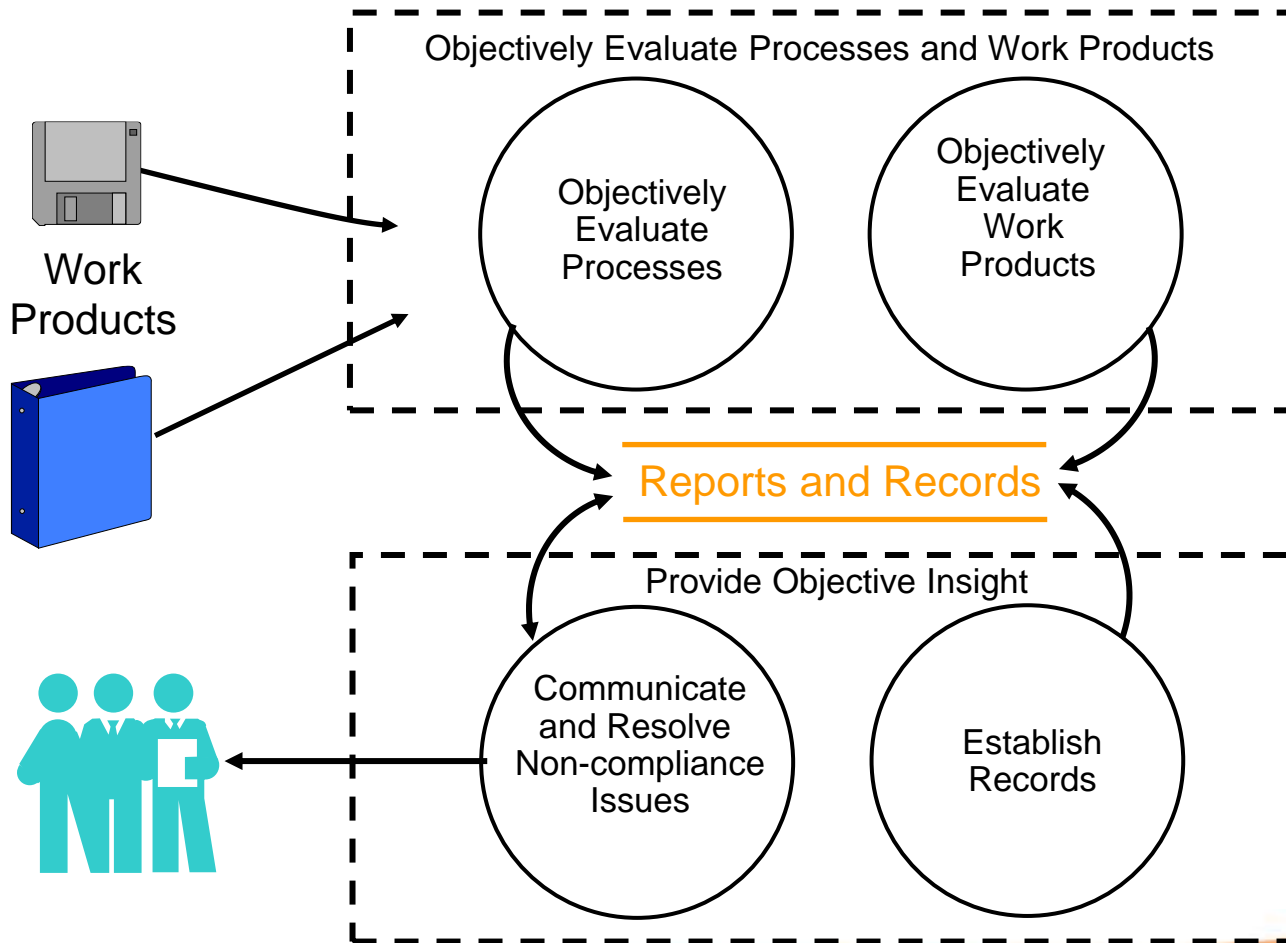
PPQA Practices translated:

- Are QA evaluations performed on processes/workproducts according to predefined criteria?

- Performed processes adhere to the standards, process descriptions and procedures?

- Non-compliance identified during the QA evaluations of processes/work products?

- Lessons learned collected?

- Non-compliances resolved within the project/escalated?

- Relevant stakeholders aware of the results of the QA evaluations?

- Management reviews on non-compliances on periodic basis?

- Non-compliances tracked until closure?

- QA activities documented in sufficient detail?

- QA status and results known?

How PPQA relates to Generic Practices?

Establish an Organizational Policy		Review Status with higher level management
Plan the Process	Monitor & Control the Process	Objectively Evaluate Adherence

- Provide Resources
- Assign Responsibility
- Train People
- Control Work Products
- Identify and Involve Relevant Stakeholders

Source: Kiril Karaatanasov, ESI Center Bulgaria

ESI | European Software Institute

ELEVATOR WORK IN PROGRESS

YES, WE KNOW, WE'VE BEEN
WORKING ON THEM SINCE 1988

WE HAVE NO IDEA
WHEN THEY WILL BE
FIXED

AND WE ALSO HAVE
NO IDEA WHAT
WE'RE DOING

PARK LANE ELEVATOR REPAIR COMPANY

Analyze that (3):

What's wrong?

PAs
SPs
GPs

..
we?

Supporting PAs (overview)

Process and Product Quality Assurance (PPQA)
- o SG 1: Objectively Evaluate Processes and Work Products
- o SG 2: Provide Objective Insight

Measurement and Analysis (MA)
- o **SG 1: Align Measurement and Analysis Activities**
- o **SG 2: Provide Measurement Results**

Configuration Management (CM)
- o SG 1: Establish Baselines
- o SG 2: Track and Control Changes
- o SG 3: Establish Integrity

Measurement & Analysis

The purpose of Measurement and Analysis (MA) is

to **develop and sustain**

a measurement capability

that is used to support

management

information needs.

ESI | European Software Institute

What does Measurement and Analysis Provide?

Insight to process performance

Means to compare different instances - past to present, project to project, team to another team etc.

Signals deviations from planned parameters

Basis for statistical management

Terminology

Base Measure

- A distinct property or characteristic of an entity and the method for quantifying it.

Derived Measure

- Data resulting from the mathematical function of two or more base measures.

Measurement and Analysis

The purpose of Measurement and Analysis (MA) is to develop and sustain a measurement capability used to support management information needs.
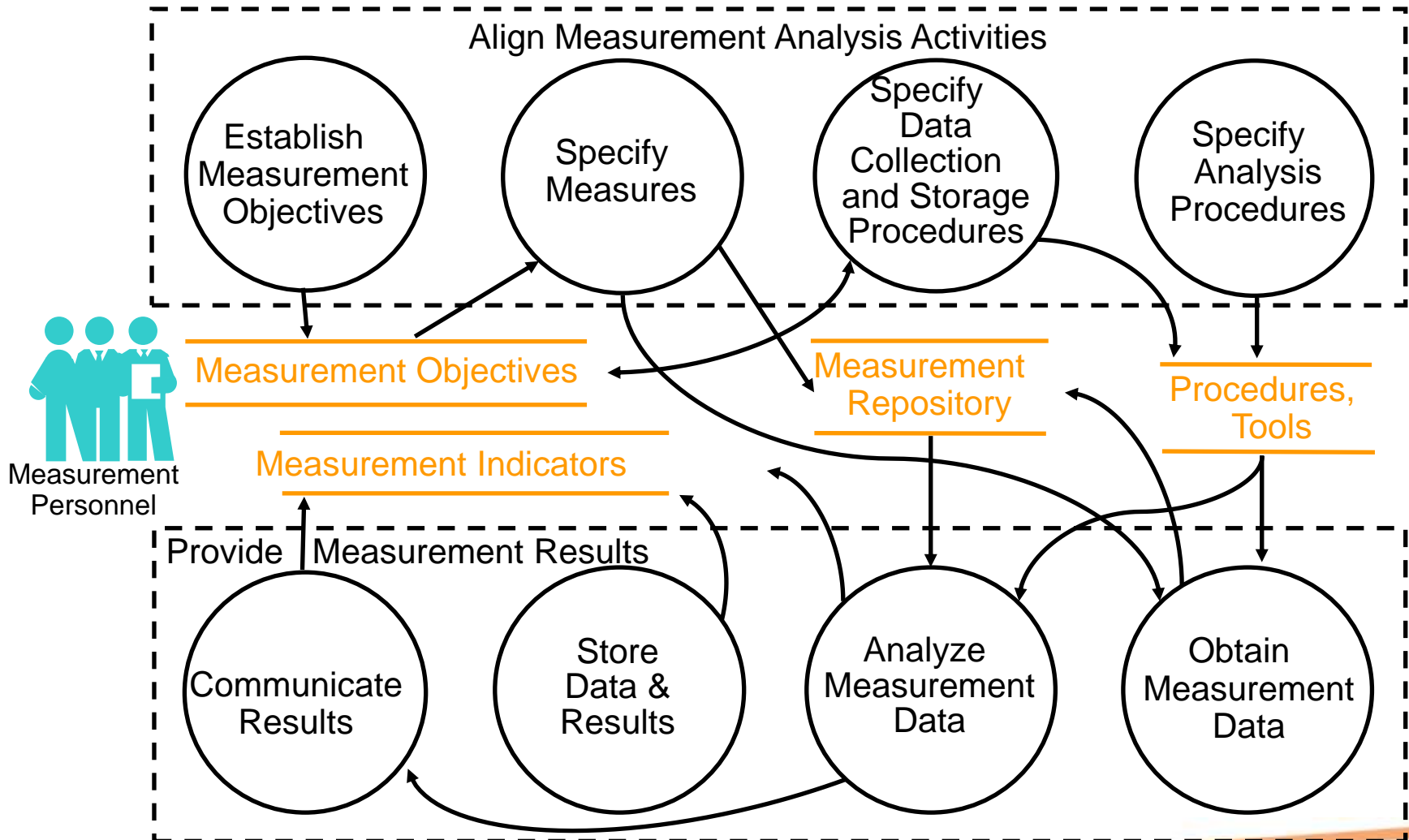
G⊙ALS

SG 1: Align Measurement and Analysis Activities
Measurement objectives and activities are aligned with identified information needs and objectives.

SG 2: Provide Measurement Results
Measurement results, which address identified information needs and objectives, are provided.

Measurement & Analysis - Context

The essence of MA

- Specifying objectives of measurement/analysis - aligned with information needs
- Specifying measures, data collection and storage mechanisms, analysis techniques, and reporting and feedback mechanisms
- Implementing the collection, storage, analysis, and reporting of the data
- Providing objective results for making informed decisions, and taking appropriate corrective actions
- Integration of measurement and analysis into the project supports:
  - Planning and estimating
  - Tracking actual performance against established plans and objectives
  - Identifying and resolving process-related issues
  - Providing a basis for incorporating measurement into additional processes in the future
- The staff - from the projects or separate organization functions (e.g., QA).
- Initial focus - at the project level, MA might be useful for organization/enterprise information needs.
- Project-specific data/results stored in a project-specific repository or organization's measurement repository.

MA – Metrics example 1

REQM (Requirements Management)

1. **Requirements volatility (percentage of requirements changes)**
2. Number of requirements by type or status (defined, reviewed, approved, and implemented)
3. Cumulative number of changes to the allocated requirements, including total number of changes proposed, open, approved, and incorporated into the system baseline
4. Number of changes requests per month, compared to the original number of requirements for the project
5. Number of time spent, effort spent, cost of implementing change requests
6. **Number and size of change requests after the Requirements phase is finished**
7. Cost of implementing a change request
8. Number of change requests versus the total number of change requests during the life of the project
9. Number of change requests accepted but not implemented
10. **Number of requirements (changes and additions to the baseline)**

MA – Metrics example 2

PP (Project Planning)

1. Completion of milestones for the project planning activities compared to the plan **(estimates versus actuals)**
2. Work completed, effort expended, and funds expended in the

   project planning activities compared to the plan
3. **Number of revisions to the project plans**
4. Cost, schedule, and effort variance per plan revision
5. Re-planning effort due to change requests
6. Effort expended over time to manage the project compared to the plan !
7. Frequency, causes, and magnitude of the re-planning effort

MA – Metrics example 3

PMC (Project Monitoring and Control)

1. Effort and other resources expended in performing monitoring and oversight activities (cost of monitoring)
2. Change activity for the project plan, which includes changes to size estimates of the work products, cost estimates, resource estimates, and schedule
3. **Number of open and closed corrective actions or action items**
4. Project milestone dates (planned versus actual)
5. **Number of project milestone dates made on time**
6. Number and types of reviews performed
7. Schedule, budget, and size variance between planned versus actual reviews
8. **Comparison of actuals versus estimates for all planning and tracking items**

MA – Metrics example 4

MA (Measurement and Analysis)

1. Number of projects using progress and performance measures
2. **Number of measurement objectives addressed**

SAM (Supplier Agreement Management)

1. Cost of the COTS (commercial off-the-shelf) products
2. Cost and effort to incorporate the COTS products into the project
3. Number of changes made to the supplier requirements
4. Cost and schedule variance per supplier agreement
5. Costs of the activities for managing the contract compared to the plan
6. Actual delivery dates for contracted products compared to the plan
7. Actual dates of prime contractor deliveries to the subcontractor compared to the plan
8. Number and severity of errors found after delivery
9. Number of on-time deliveries from the vendor, compared with the contract
10. Number of exceptions to the contract to ensure schedule adherence
11. Number of quality audits compared to the plan
12. Number of senior management reviews to ensure adherence to budget / schedule versus the plan
13. Number of contract violations by supplier or vendor

MA – Metrics example 5

Process and Product Quality Assurance (QA)

1. Completions of milestones for the QA activities compared to the plan
2. Work completed, effort expended in the QA activities compared to the plan
3. Numbers of product audits and activity reviews compared to the plan
4. Number of process audits and activities versus those planned
5. Number of defects per release or build
6. Amount of time/effort spent in rework
7. Amount of QA time/effort spent in each phase of the life cycle
8. Number of reviews and audits versus number of defects found
9. Total number of defects found in internal reviews and testing versus those found by the customer or end user after delivery
10. Number of noncompliances written versus number resolved
11. Number of defects found in each phase of the life cycle
12. Number of defects injected during each phase of the life cycle
13. Number of noncompliances elevated to senior management
14. Complexity of module or component (McCabe, McClure, and Halstead metrics)

ESI

MA – Metrics example 6

Configuration Management (CM)

1. **Number of change requests processed per unit of time**
2. Completions of milestones for the CM activities compared to the plan
3. Work completed, effort expended, and funds expended in the CM activities
4. **Number of changes to configuration items**
5. Number of configuration audits conducted
6. Number of fixes returned as "Not Yet Fixed"
7. Number of fixes returned as "Could Not Reproduce Error"
8. Number of violations of CM procedures (noncompliance found in audits)
9. Number of outstanding problem reports versus rate of repair
10. Number of times changes are overwritten by someone else (or number of times people have the wrong initial version or baseline)
11. Number of engineering change proposals proposed, approved, rejected, implemented
12. Number of changes by category to code source, and to supporting documentation
13. Number of changes by category, type, and severity
14. **Source lines of code stored in libraries placed under configuration control**

The lessons: **Analysis paralysis ?**

Michael J. Ashworth, CIO of the investment banking unit at **J.P. Morgan Chase & Co** stated that the move from Level 1 to Level 2 brought with it more reliable planning, so application features were more likely to be right the first time, reducing costly rework. The investment bank has seen the following additional benefits, he said:

A 20% to 25% reduction in postimplementation defects.

Reduced efforts to support operational systems because they are more reliable. **"Emergency" releases to fix bugs have fallen by 60%.**

Better management of globally distributed projects **because terminology and specifications are standardized.**

Better performance from suppliers because **requirements are better specified**.

Nevertheless, Ashworth cautions against "analysis paralysis" when it comes to evaluating the results of CMM.

"We found it not useful to spend too much time trying to measure things, rather than just doing it"

(Quality Model Mania, Gary Anthes, Computerworld IT Management, 2004)

Generic practices

GP2.1: Establish an Organizational Policy

GP2.2: Plan the Process

GP2.3: Provide Resources

GP2.4: Assign Responsibility

GP2.5: Train People

GP2.6: Control Work Products

GP2.7: Identify and Involve Relevant Stakeholders
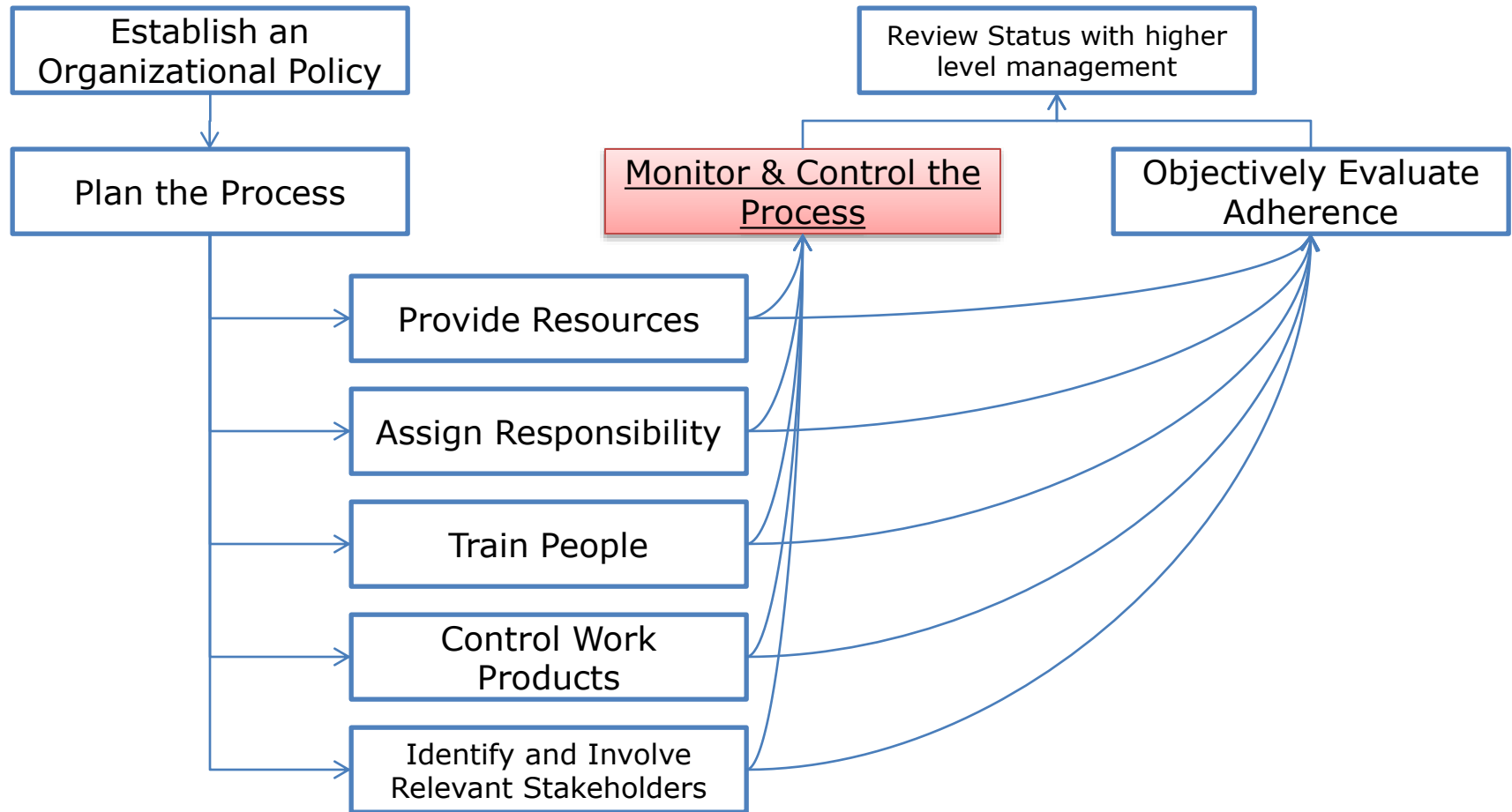
GP2.8: Monitor and Control the Process

GP2.9: Objectively Evaluate Adherence

GP2.10: Review Status with Higher Level Management

How MA relates to Generic Practices?

Source: Kiril Karaatanasov, ESI Center Bulgaria

Supporting PAs (overview)

Process and Product Quality Assurance (PPQA)
- o SG 1: Objectively Evaluate Processes and Work Products
- o SG 2: Provide Objective Insight

Measurement and Analysis (MA)
- o SG 1: Align Measurement and Analysis Activities
- o SG 2: Provide Measurement Results

Configuration Management (CM)
- o **SG 1: Establish Baselines**
- o **SG 2: Track and Control Changes**
- o **SG 3: Establish Integrity**

Configuration Management (CM)

The purpose of Configuration Management (CM) is to establish and maintain the integrity of work products using configuration identification, configuration control, configuration status accounting, and configuration audits.

G⊙ALS

SG 1: Establish Baselines
Baselines of identified work products are established.

SG 2: Track and Control Changes
Changes to the work products under configuration management are tracked and controlled.

SG 3: Establish Integrity
Integrity of baselines is established and maintained.

ESI | European Software Institute

What does CM Provide?

State of components is known and there is confidence what and when can be released

When needed baselines can be recovered

Changes from baseline are identifiable

Past product releases can be rebuilt

Reasons for changes to plans are clear

Terminology CM

Baseline

- o A set of specifications or work products that has been formally reviewed and agreed on, which thereafter serves as the basis for further development, and which can be changed only through change control procedures. (See also "configuration baseline" and "product baseline.")

Configuration Management - Context
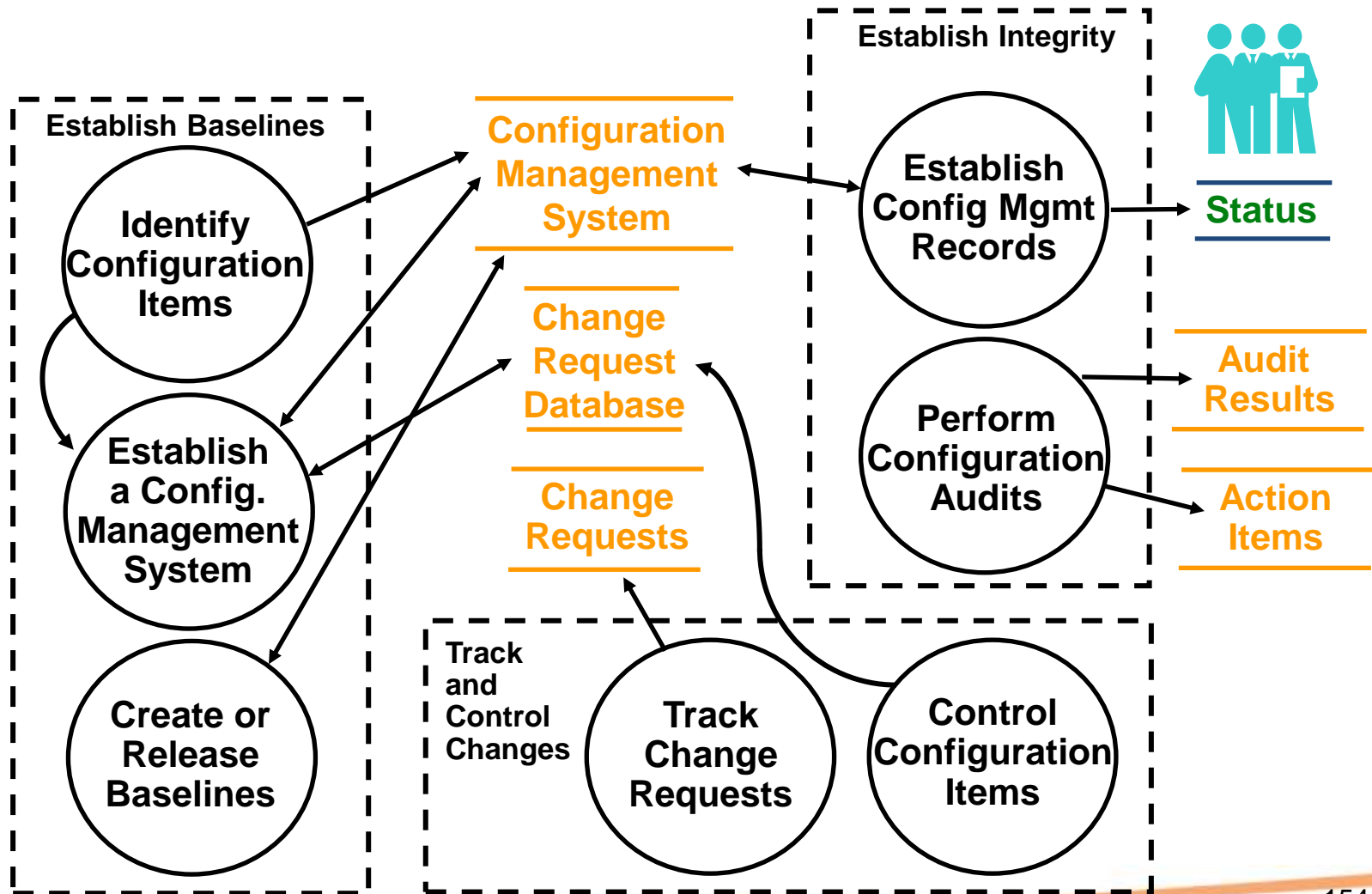
The essence of CM

CM Involves:
    Identifying the configuration of work products that compose the baselines
    Controlling changes to configuration items
    Building work products from the configuration management system
    Maintaining the integrity of baselines
    Providing status / configuration data to developers, end users, and customers

Work products placed under configuration management:
    products delivered to the customer
    internal work products
    acquired products
    tools

Configuration item may be:
    configuration component
    configuration unit

Baselines:
    provide a basis for evolution of configuration items
    added to the configuration management system as they are developed
    Changes to, are systematically controlled/monitored

This PA applies not only to **projects, but also to organization work products** (standards, procedures, etc)

This PA is applicable to all work products that are placed under configuration management.

ESI | European Software Institute

CM practices

Configuration items/work products selected in the initial planning of the project?

An owner responsible for each CI?

Configuration management system supports multiple control levels?

Employees can store and recover the different versions of CI's in the CMS?

Team members store, update and retrieve CM Records in the CMS?

CMS supports the creation of CM Reports?

Contents of CMS's preserved?

Baselines built and released from CI's kept in the CMS?

Descriptions about the set of CI's that comprise each baseline?

Change requests initiated and recorded, their impact analyzed?

Current set of baselines available in the CMS?

Change requests reviewed with the affected people?

Changes tracked to closure, in order to check that all changes have been incorporated?

Changed CI's entered into the CMS only after obtaining authorisation?

After each CM action, are CI's content and status updated and is it possible to recover previous versions of CI´s?

Is the CI's records' correctness/CMS structure and integrity verified/reviewed through audits?

Example

On June 4, 1996 an unmanned Ariane 5 rocket launched by the European Space Agency exploded just forty seconds after its lift-off from Kourou, French Guiana. The rocket was on its first voyage, after a decade of development costing **$7 billion**. The destroyed rocket and its cargo were valued at **$500 million**.

The Explosion of the Ariane 5

A board of inquiry investigated the causes of the explosion and in two weeks issued a report. It turned out that the cause of the failure was a software error in the inertial reference system.

Specifically a **64 bit floating point number** relating to the horizontal velocity of the rocket with respect to the platform was converted to a **16 bit signed integer**.

The number was larger than 32,767, the largest integer storeable in a 16 bit signed integer, and thus the conversion failed.

ESI | European Software Institute

Example (2)

https://www.computerweekly.com/news/252507717/Facebook-unplugged-for-six-hours-due-to-configuration-error

How CM relates to Generic Practices?

Source: Kiril Karaatanasov, ESI Center Bulgaria

Summary: How support process areas fit?

CMMI for Development
Version 1.2
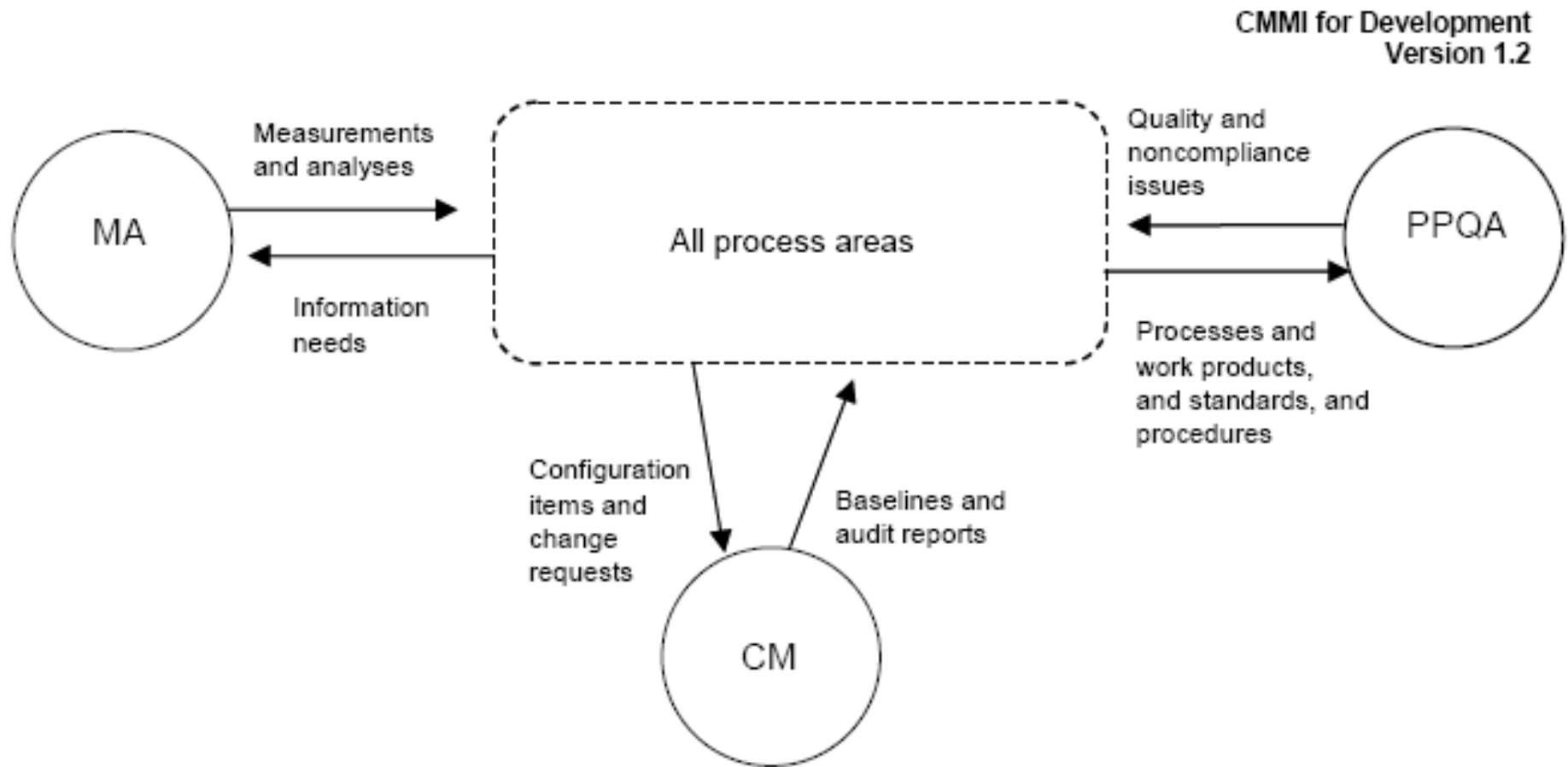
MA = Measurement and Analysis
CM = Configuration Management
PPQA = Process and Product Quality Assurance

Remember

A model is not a process.

The model shows what to do, NOT how to do it or who does it.

ESI
European
Software
Institute
Center Eastern Europe

Life Cycle Relationships

Mission Shortfalls →

Directives, Constraints, ←

Mission Area Planning | **Budgeting Priority**

Decision Analysis and Resolution

Requirements Definition

Requirements Development

Concurrent Front-End Activities

Contracting

Supplier Agreement Management

Activity Planning

Project Planning

Product Control

Requirements Management

Configuration Management

Quality Assurance

Causal Analysis and Resolution

Integrated Project Management
Integrated Teaming
Integrated Supplier Management
Risk Management
Project Monitoring and Control

Program Management

Technical Solution

Product Integration

Technical Execution

Products

Assessment & Certification

Product Verification | Measurement and Analysis | Validation

Deficiencies

Outcome & Feedback

System Product Deliveries →

Organizational Process Management

Process Focus | Process Definition | Innovation and Deployment | Training | Environment for Integration | Process Performance | Quantitative Mgmt

Process Maturation