PROCESS MANAGEMENT

CAPABILITY MATURITY MODELS INTGRATION (CMMI)

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- Increasingly complex environment
- Systems grow more complex
 - Becoming larger more to achieve, multiple responsibilities
 - Involving more people more team members looking after different tasks
 - Crossing organisational boundaries people from different team or even different organisations
 - Being distributed far and wider in terms of duration and objectives
 - Continually compressing schedules because of more competitive market and variation in customs' requirements
- Processes used to develop the systems follow the suit
 - Individuals may implement the same thing with different methods, so which one's is the best and how we can make it to be the standard for all to follow?

- Evolution in the way software engineering work is performed
 - Cross-disciplinary teams software developers always require support from field/domain experts
 - Cross-functional teams performing more or all software life cycle functions within a team to avoid the waste of time in correcting misunderstandings between single-functional teams
 - Integrated product and process development teams for developing products and establishing processes used to the product development at the same time
 - Concurrent engineering resulting in grey areas for management
 - Highly automated environment code can be generated by computers themselves, with the help of AI, for example.
 - Multinational standards --globalisation

- Rapid increase of the number of models in CMM
 - CMM for software
 - SE-CMM
 - SA-CMM
 - SECAM
 - People CMM
 - EIA 371
 - Systems security CMM
 - IPD-CMM
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- One for all rather than many for many
 - This is a human nature
 - .Net has the "common language" an intermedium language
 - People develop "unified" platforms for software development
 - Choosing one from many can be confusing and time-consuming, and can lead mistakes

- Key integrated process-improvement principles
 - Maintain executive support
 - Reasons:
 - To obtain resources such as human, capital, time, etc.
 - To ensure the rewards for innovation and hard work, in terms of both promotion and effects
 - "Bridging the gap" between multiple organisations/teams, in the cases of cross organisation/team, as only them can do the "job"
 - "Format" agreement among middle-level management and practioners
 - Advices on how to do it:
 - "Early and often"
 - Keeping them aware, involved and excited

- Key integrated process-improvement principles
 - Pick up your target carefully
 - Reason process improvement is difficult
 - Limited resources, such as human, capital, time, etc.
 - Convincing others
 - Advices:
 - Achievable in short/medium-terms so that you can convince others that process improvement is worthy by showing the effect
 - Define criteria for comparing the original process and the improved one in early stages
 - Use data for comparison

- Key integrated process-improvement principles
 - Leverage best practice (find good examples and follow)
 - Reason keep "cost" as low as possible (achieving with little efforts)
 - Advices:
 - Use as many solid, proven process assets as possible ("steal with pride")
 - Baring in mind to meet your requirements when "borrow" from others.

- Key integrated process-improvement principles
 - Align process improvement with business objectives
 - This is the whole purpose for process improvement

- Two types of materials:
- Materials for evaluate processes
 - Evaluation before process improvement tells the need for improvement
 - Evaluation after improvement tells the effects of the improvement
 - Essential to management guidance on managerial processes, such as planning, maintaining plans such as check progress against plans and ensure commitment from all parties to the plans
 - Essential to technical development guidance on the ways of product manufacturing, interfacing, satisfying users' requirements, etc
 - Essential to support

- Two types of materials:
- Materials for improving processes
 - Information to help in increase organisation's capabilities
 - CMMI provides ways towards a viable and improvable infrastructure within which all parties involved understand their roles and responsibilities
 - Keys words:
 - Standarisation, rather than case-by-case treatment
 - Training, empower people
 - Planning, resources available

- CMMI models
- A CMMI model is a collection of best practices of a specific interest process area
- Contents in a model can be classified into three categories:
 - Required goal, representing a desired end state at which certain project/process control is achieved
 - SG specific goal that is unique to a single process area
 - GG generic goal that can be applied across all process areas
 - Expected statement of practice, or the expected means to achieve the goals
 - SP specific practice for a single process area
 - GP general practice for multiple process areas

- Contents in a model can be classified into three categories:
 - Informative
 - Purpose (of a process area)
 - Introductory note (scope, importance, way, terminology and interaction)
 - Reference (as reference in Java or pointer in C++)
 - Names (of required and expected components)
 - Practice-to-goal relationship table (mappings between the two)
 - Notes
 - Typical work products (output of a practice)
 - Sub-practices
 - Discipline amplification (specifying the applicable domain/discipline of certain practices)
 - Generic practice elaborations (detailing the application of generic practices)

CMMI REPRESENTATIONS

- Staged vs continuous
 - Staged process improvement
 - Focusing on the "maturity" of an organisation
 - Grouping process areas into sets which are corresponding to different stages or maturity levels, so that when you improved a set of process areas, your organisation become more mature at a higher level
 - Pre-defined road map towards the highest maturity level
 - Example of "Software CMM" containing 5 maturity levels

| Optimising (Level 5) | Continuous process improvement | Organisation improvement development, organisation process & innovation, defect prevention |
|----------------------|--------------------------------|---|
| Managed (Level 4) | Quantitative management | Statistic process management, organisation process performance, organisation software asset commonality |
| Defined (Level 3) | Process standardisation | Peer review, project interface coordination, software product engineering, integrated software management, etc. |
| Repeatable (Level 2) | Basic project management | Software configuration management, software quality assurance, etc. |
| Initial (LEVEL 1) | Competent people | None |

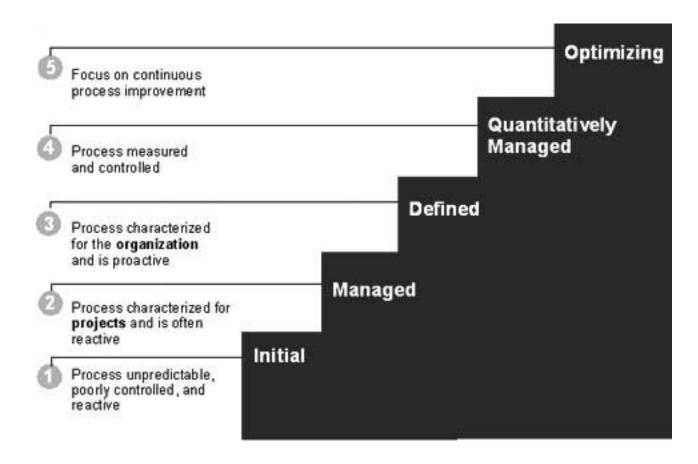
CMMI REPRESENTATIONS

- Organisation of CMMI process areas
 - According to maturity levels

| Level 5 | Organisational innovation & development, Causal analysis & resolution |
|---------|---|
| Level 4 | Organisational process performance, Quantitative project management |
| Level 3 | Requirements Development, Technical solution, Product integration, Verification, Validation, Organisational process focus, organisational process definition, Organisational training, Integrated project management, Risk management, Integrated teaming, Integrated supplier management, Decision analysis & resolution, Organisational environment for integration |
| Level 2 | Requirements management, project planning, Project monitoring & control, Supplier agreement, Measurement & analysis, Process & product quality assurance, Configuration management |

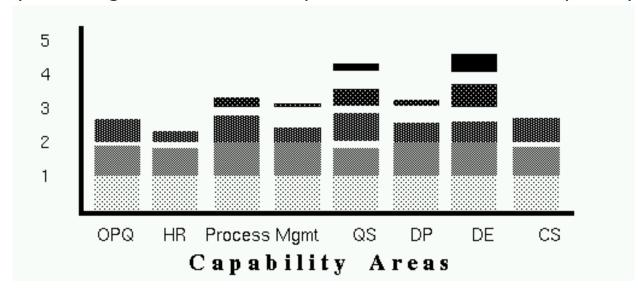
CMMI DIMENSIONS FOR EVALUATION

- Maturity dimension evaluating how mature an organisation is
- Five levels:
 - ML1
 - ML2
 - ML3
 - ML4
 - ML5



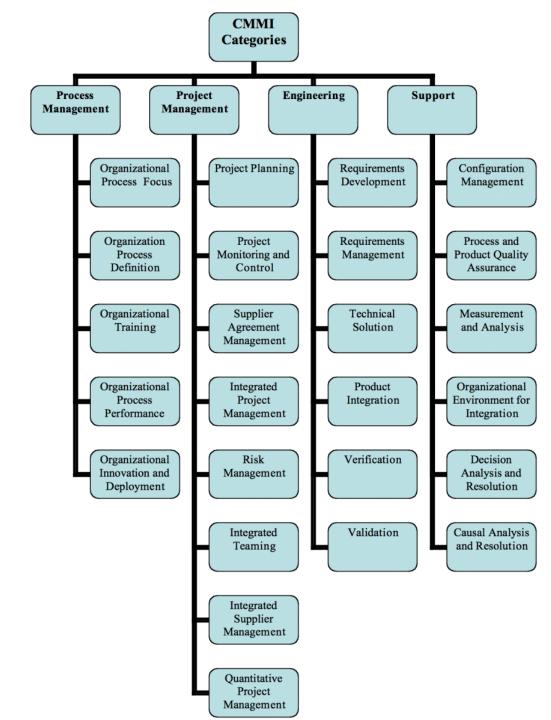
CMMI REPRESENTATIONS

- Staged vs continuous
 - Continuous process improvement
 - Focusing on "capability" through improving individual process areas, so that an organisation becomes more capable when one or more individual area is improved, i.e. its "capability level" becomes higher
 - Process areas containing generic practices that can be used to improve different areas
 - The capability of an organisation can be reported in the format of "capability level profile", such as



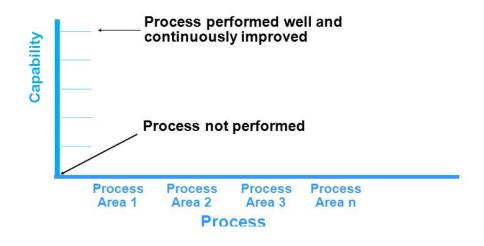
CMMI REPRESENTATIONS

- Organisation of CMMI process areas
 - According to capability levels



CMMI DIMENSIONS FOR EVALUATION

- Two dimensions in line with two types of models
- Capability dimension evaluating organisation's capability growth
- Six levels:
 - CL0 Incomplete
 - CL1 Performed
 - CL2 Managed
 - CL3 Defined
 - CL4 Quantitatively managed
 - CL5 Optimising



CMMI DIMENSIONS FOR EVALUATION

• Six levels:

- CLO Incomplete no GG for CLO as one or more specific goals of a process area is not satisfied
- CL1 Performed GG is to achieving specific goals in a process area, one generic practices mapped to the GG
- CL2 Managed GG is to institutionalising processes in a managed manner, i.e. 10 generic practices mapped to the GG plus an institutional policy on which one of the 10 is used
- CL3 Defined GG is on standardisation when institutionalising processes
- CL4 Quantitatively managed GG is to using data and quantitative measures in process institutionalisation
- CL5 Optimising Key is on optimisation, emphasising analysis on the trends, common causes, etc. and identifying the best solution

- Process areas details (http://www.tutorialspoint.com/cmmi/cmmi-process-areas.htm)
- Causal Analysis and Resolution (CAR)
 - **Purpose** -- To identify causes of defects and other problems and take action to prevent them from occurring in the future.
 - Specific Practices by Goal
 - SG 1 Determine Causes of Defects
 - SP 1.1 Select Defect Data for Analysis
 - SP 1.2 Analyze Causes
 - SG 2 Address Causes of Defects
 - SP 2.1 Implement the Action Proposals
 - SP 2.2 Evaluate the Effect of Changes
 - SP 2.3 Record Data

- Configuration Management (CM)
 - **Purpose** -- To establish and maintain the integrity of work products using configuration identification, configuration control, configuration status accounting, and configuration audits.
 - Specific Practices by Goal
 - SG 1 Establish Baselines
 - SP 1.1 Identify Configuration Items
 - SP 1.2 Establish a Configuration Management System
 - SP 1.3 Create or Release Baselines
 - SG 2 Track and Control Changes
 - SP 2.1 Track Change Requests
 - SP 2.2 Control Configuration Items
 - SG 3 Establish Integrity
 - SP 3.1 Establish Configuration Management Records
 - SP 3.2 Perform Configuration Audits

- Decision Analysis and Resolution (DAR)
 - **Purpose** -- To analyze possible decisions using a formal evaluation process that evaluates identified alternatives against established criteria.
 - Specific Practices by Goal
 - SG 1 Evaluate Alternatives
 - SP 1.1 Establish Guidelines for Decision Analysis
 - SP 1.2 Establish Evaluation Criteria
 - SP 1.3 Identify Alternative Solutions
 - SP 1.4 Select Evaluation Methods
 - SP 1.5 Evaluate Alternatives
 - SP 1.6 Select Solutions

- Integrated Project Management +IPPD (IPM)
 - **Purpose** -- To establish and manage the project and the involvement of the relevant stakeholders according to an integrated and defined process that is tailored from the organization's set of standard processes.
 - Specific Practices by Goal
 - SG 1 Use the Project's Defined Process
 - SP 1.1 Establish the Project's Defined Process
 - SP 1.2 Use Organizational Process Assets for Planning Project Activities
 - SP 1.3 Establish the Project's Work Environment
 - SP 1.4 Integrate Plans
 - SP 1.5 Manage the Project Using the Integrated Plans
 - SP 1.6 Contribute to the Organizational Process Assets
 - SG 2 Coordinate and Collaborate with Relevant Stakeholders
 - SP 2.1 Manage Stakeholder Involvement
 - SP 2.2 Manage Dependencies
 - SP 2.3 Resolve Coordination Issues
 - IPPD Addition:
 - SG 3 Apply IPPD Principles
 - SP 3.1 Establish the Project's Shared Vision
 - SP 3.2 Establish the Integrated Team Structure
 - SP 3.3 Allocate Requirements to Integrated Teams
 - SP 3.4 Establish Integrated Teams
 - SP 3.5 Ensure Collaboration among Interfacing Teams

- Measurement and Analysis (MA)
 - **Purpose** -- To develop and sustain a measurement capability that is used to support management information needs.
 - Specific Practices by Goal
 - SG 1 Align Measurement and Analysis Activities
 - SP 1.1 Establish Measurement Objectives
 - SP 1.2 Specify Measures
 - SP 1.3 Specify Data Collection and Storage Procedures
 - SP 1.4 Specify Analysis Procedures
 - SG 2 Provide Measurement Results
 - SP 2.1 Collect Measurement Data
 - SP 2.2 Analyze Measurement Data
 - SP 2.3 Store Data and Results
 - SP 2.4 Communicate Results

- Organizational Innovation and Deployment (OID)
 - **Purpose** -- To select and deploy incremental and innovative improvements that measurably improve the organization's processes and technologies. The improvements support the organization's quality and process-performance objectives as derived from the organization's business objectives.
 - Specific Practices by Goal
 - SG 1 Select Improvements
 - SP 1.1 Collect and Analyze Improvement Proposals
 - SP 1.2 Identify and Analyze Innovations
 - SP 1.3 Pilot Improvements
 - SP 1.4 Select Improvements for Deployment
 - SG 2 Deploy Improvements
 - SP 2.1 Plan the Deployment areas
 - SP 2.2 Manage the Deployment
 - SP 2.3 Measure Improvement Effects

- Organizational Process Definition +IPPD (OPD)
 - Purpose -- To establish and maintain a usable set of organizational process assets.
 - Specific Practices by Goal
 - SG 1 Establish Organizational Process Assets
 - SP 1.1 Establish Standard Processes
 - SP 1.2 Establish Life-Cycle Model Descriptions
 - SP 1.3 Establish Tailoring Criteria and Guidelines
 - SP 1.4 Establish the Organization's Measurement Repository
 - SP 1.5 Establish the Organization's Process Asset Library
 - IPPD Addition:
 - SG 2 Enable IPPD Management
 - SP 2.1 Establish Empowerment Mechanisms
 - SP 2.2 Establish Rules and Guidelines for Integrated Teams
 - SP 2.3 Balance Team and Home Organization Responsibilities

- Organizational Process Focus (OPF)
 - **Purpose** -- To plan and implement organizational process improvement based on a thorough understanding of the current strengths and weaknesses of the organization's processes and process assets.
 - Specific Practices by Goal
 - SG 1 Determine Process Improvement Opportunities
 - SP 1.1 Establish Organizational Process Needs
 - SP 1.2 Appraise the Organization's Processes
 - SP 1.3 Identify the Organization's Process Improvements
 - SG 2 Plan and Implement Process Improvement Activities
 - SP 2.1 Establish Process Action Plans
 - SP 2.2 Implement Process Action Plans
 - SG 3 Deploy Organizational Process Assets and Incorporate Lessons Learned
 - SP 3.1 Deploy Organizational Process Assets
 - SP 3.2 Deploy Standard Processes
 - SP 3.3 Monitor Implementation
 - SP 3.4 Incorporate Process-Related Experiences into the Organizational Process Assets

- Organizational Process Performance (OPP)
 - **Purpose** -- To establish and maintain a quantitative understanding of the performance of the organization's set of standard processes in support of quality and process-performance objectives, and to provide the process performance data, baselines, and models to quantitatively manage the organization's projects.
 - Specific Practices by Goal
 - SG 1 Establish Performance Baselines and Models
 - SP 1.1 Select Processes
 - SP 1.2 Establish Process Performance Measures
 - SP 1.3 Establish Quality and Process Performance Objectives
 - SP 1.4 Establish Process Performance Baselines
 - SP 1.5 Establish Process Performance Models

- Organizational Training (OT)
 - **Purpose** -- To develop the skills and knowledge of people so they can perform their roles effectively and efficiently.
 - Specific Practices by Goal
 - SG 1 Establish an Organizational Training Capability
 - SP 1.1 Establish the Strategic Training Needs
 - SP 1.2 Determine Which Training Needs Are the Responsibility of the Organization
 - SP 1.3 Establish an Organizational Training Tactical Plan
 - SP 1.4 Establish Training Capability
 - SG 2 Provide Necessary Training
 - SP 2.1 Deliver Training
 - SP 2.2 Establish Training Records
 - SP 2.3 Assess Training Effectiveness

- Product Integration (PI)
 - **Purpose** -- To assemble the product from the product components, ensure that the product, as integrated, functions properly, and deliver the product.
 - Specific Practices by Goal
 - SG 1 Prepare for Product Integration
 - SP 1.1 Determine Integration Sequence
 - SP 1.2 Establish the Product Integration Environment
 - SP 1.3 Establish Product Integration Procedures and Criteria
 - SG 2 Ensure Interface Compatibility
 - SP 2.1 Review Interface Descriptions for Completeness
 - SP 2.2 Manage Interfaces
 - SG 3 Assemble Product Components and Deliver the Product
 - SP 3.1 Confirm Readiness of Product Components for Integration
 - SP 3.2 Assemble Product Components
 - SP 3.3 Evaluate Assembled Product Components
 - SP 3.4 Package and Deliver the Product or Product Component

- Project Monitoring and Control (PMC)
 - **Purpose** -- 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.
 - Specific Practices by Goal
 - SG 1 Monitor Project Against Plan
 - SP 1.1 Monitor Project Planning Parameters
 - SP 1.2 Monitor Commitments
 - SP 1.3 Monitor Project Risks
 - SP 1.4 Monitor Data Management
 - SP 1.5 Monitor Stakeholder Involvement
 - SP 1.6 Conduct Progress Reviews
 - SP 1.7 Conduct Milestone Reviews
 - SG 2 Manage Corrective Action to Closure
 - SP 2.1 Analyze Issues
 - SP 2.2 Take Corrective Action
 - SP 2.3 Manage Corrective Action

- Project Planning (PP)
 - Purpose -- To establish and maintain plans that define project activities.
 - Specific Practices by Goal
 - SG 1 Establish Estimates
 - SP 1.1 Estimate the Scope of the Project
 - SP 1.2 Establish Estimates of Work Product and Task Attributes
 - SP 1.3 Define Project Life Cycle
 - SP 1.4 Determine Estimates of Effort and Cost
 - SG 2 Develop a Project Plan
 - SP 2.1 Establish the Budget and Schedule
 - SP 2.2 Identify Project Risks
 - SP 2.3 Plan for Data Management
 - SP 2.4 Plan for Project Resources
 - SP 2.5 Plan for Needed Knowledge and Skills
 - SP 2.6 Plan Stakeholder Involvement
 - SP 2.7 Establish the Project Plan
 - SG 3 Obtain Commitment to the Plan
 - SP 3.1 Review Plans that Affect the Project
 - SP 3.2 Reconcile Work and Resource Levels
 - SP 3.3 Obtain Plan Commitment

- Process and Product Quality Assurance (PPQA)
 - **Purpose** -- To provide staff and management with objective insight into processes and associated work products.
 - Specific Practices by Goal
 - SG 1 Objectively Evaluate Processes and Work Products
 - SP 1.1 Objectively Evaluate Processes
 - SP 1.2 Objectively Evaluate Work Products and Services
 - SG 2 Provide Objective Insight
 - SP 2.1 Communicate and Ensure Resolution of Noncompliance Issues
 - SP 2.2 Establish Records

- Quantitative Project Management (QPM)
 - **Purpose** -- To quantitatively manage the project's defined process to achieve the project's established quality and process-performance objectives.
 - Specific Practices by Goal
 - SG 1 Quantitatively Manage the Project
 - SP 1.1 Establish the Project's Objectives
 - SP 1.2 Compose the Defined Processes
 - SP 1.3 Select the Subprocesses that Will Be Statistically Managed
 - SP 1.4 Manage Project Performance
 - SG 2 Statistically Manage Subprocess Performance
 - SP 2.1 Select Measures and Analytic Techniques
 - SP 2.2 Apply Statistical Methods to Understand Variation
 - SP 2.3 Monitor Performance of the Selected Subprocesses
 - SP 2.4 Record Statistical Management Data

- Requirements Development (RD)
 - **Purpose** -- To produce and analyze customer, product, and product-component requirements.
 - Specific Practices by Goal
 - SG 1 Develop Customer Requirements
 - SP 1.1 Elicit Needs
 - SP 1.2 Develop the Customer Requirements
 - SG 2 Develop Product Requirements
 - SP 2.1 Establish Product and Product-Component Requirements
 - SP 2.2 Allocate Product-Component Requirements
 - SP 2.3 Identify Interface Requirements
 - SG 3 Analyze and Validate Requirements
 - SP 3.1 Establish Operational Concepts and Scenarios
 - SP 3.2 Establish a Definition of Required Functionality
 - SP 3.3 Analyze Requirements
 - SP 3.4 Analyze Requirements to Achieve Balance
 - SP 3.5 Validate Requirements

- Requirements Management (REQM)
 - **Purpose** -- 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.
 - Specific Practices by Goal
 - SG 1 Manage Requirements
 - 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

- Risk Management (RSKM)
 - **Purpose** -- To identify potential problems before they occur so that risk-handling activities can be planned and invoked as needed across the life of the product or project to mitigate adverse impacts on achieving objectives.
 - Specific Practices by Goal
 - SG 1 Prepare for Risk Management
 - SP 1.1 Determine Risk Sources and Categories
 - SP 1.2 Define Risk Parameters
 - SP 1.3 Establish a Risk Management Strategy
 - SG 2 Identify and Analyze Risks
 - SP 2.1 Identify Risks
 - SP 2.2 Evaluate, Categorize, and Prioritize Risks
 - SG 3 Mitigate Risks
 - SP 3.1 Develop Risk Mitigation Plans
 - SP 3.2 Implement Risk Mitigation Plans

- Supplier Agreement Management (SAM)
 - **Purpose** To manage the acquisition of products from suppliers for which there exists a formal agreement.
 - Specific Practices by Goal
 - SG 1 Establish Supplier Agreements
 - SP 1.1 Determine Acquisition Type
 - SP 1.2 Select Suppliers
 - SP 1.3 Establish Supplier Agreements
 - SG 2 Satisfy Supplier Agreements
 - SP 2.1 Execute the Supplier Agreement
 - SP 2.2 Monitor Selected Supplier Processes
 - SP 2.3 Evaluate Selected Supplier Work Products
 - SP 2.4 Accept the Acquired Product
 - SP 2.5 Transition Products

- Technical Solution (TS)
 - **Purpose** -- To design, develop, and implement solutions to requirements. Solutions, designs, and implementations encompass products, product components, and product-related life-cycle processes either singly or in combination as appropriate.
 - Specific Practices by Goal
 - SG 1 Select Product-Component Solutions
 - SP 1.1 Develop Alternative Solutions and Selection Criteria
 - SP 1.2 Select Product Component Solutions
 - SG 2 Develop the Design
 - SP 2.1 Design the Product or Product Component
 - SP 2.2 Establish a Technical Data Package
 - SP 2.3 Design Interfaces Using Criteria
 - SP 2.4 Perform Make, Buy, or Reuse Analysis
 - SG 3 Implement the Product Design
 - SP 3.1 Implement the Design
 - SP 3.2 Develop Product Support Documentation

- Validation (VAL)
 - **Purpose** -- To demonstrate that a product or product component fulfills its intended use when placed in its intended environment.
 - Specific Practices by Goal
 - SG 1 Prepare for Validation
 - SP 1.1 Select Products for Validation
 - SP 1.2 Establish the Validation Environment
 - SP 1.3 Establish Validation Procedures and Criteria
 - SG 2 Validate Product or Product Components
 - SP 2.1 Perform Validation
 - SP 2.2 Analyze Validation Results

- Verification (VER)
 - Purpose -- To ensure that selected work products meet their specified requirements.
 - Specific Practices by Goal
 - SG 1 Prepare for Verification
 - SP 1.1 Select Work Products for Verification
 - SP 1.2 Establish the Verification Environment
 - SP 1.3 Establish Verification Procedures and Criteria
 - SG 2 Perform Peer Reviews
 - SP 2.1 Prepare for Peer Reviews
 - SP 2.2 Conduct Peer Reviews
 - SP 2.3 Analyze Peer Review Data
 - SG 3 Verify Selected Work Products
 - SP 3.1 Perform Verification
 - SP 3.2 Analyze Verification Results