Terms, Definitions & Principles

Assessment

- ❑ Protocol: the organized structure of capabilities and capability outcomes
- ❑ **Scoping an Assessment:** the selection of domains (PPP) and process improvement stages (SMCI) to be assessed

Assessment Methodology & Tool Introduction 32

Terms, definitions, and principles important to understand:

❑ **Protocol**: The organized structure of capabilities and capability outcomes resulting from the scoping of an Assessment in the ProductSuite Assessment Tool. The Protocol is viewed in the Smart Client of the ProductSuite tool and it can also be printed from the Assessment.
Each item of the *OPM3* Protocol includes a testable statement, a potential score, reference to the applicable Best Practice, and instructions for the assessor. A full *OPM3* Protocol consists of:

1. Project Management
2. Program Management
3. Portfolio Management
4. Organizational Enablers

See also > Scoping an Assessment and Organizational Enablers

❑ **Scoping an Assessment**: Scoping an assessment determines the selection of domains (project, program, and portfolio) and the process improvement stages (Standardize, Measure, Control, Continuous Improvement) to be assessed for each discrete Assessment within an Assessment Project. This results in a configuration of the Protocol that reflects the scope selected.

Terms, Definitions & Principles - Continued

- **Business Results:** a sub-set of best practices identified to address organizational issues
- **Desk Assessment:** assessment with limited interviews
- **Rigorous Assessment:** assessment employing appropriately robust verification

- **Business Results:**
  - A sub-set of best practices that have been identified to address specific organizational issues or pain points.

- **Desk Assessment:**
  - An assessment of an organization that relies solely on input from the primary interviewee and a review of available evidence. It does not require further interviews or verification of implementation.
    See also > Rigorous Assessment

- **Rigorous Assessment:**
  - A ProductSuite Assessment using robust verification. This requires an adequate extent of sampling (e.g. through interviewing of personnel, reviewing documents and checking records), to verify the extent of achievement before assigning a score.
    See also > Desk Assessment

Terms, Definitions & Principles - Continued

- **Scoring type questions:**
  - Yes/No (attribute scoring)
  - Range (variable scoring) – 0, 1, 2, 3
- **Not Applicable scoring:** enables the consultant to eliminate an item from the scoring scheme
- **Not Rated scoring:** enables the consultant to mark an item not able to be assessed at this time

- Scoring type questions (2 types):
  - **Yes/No** scoring type: A scoring type where the answer is Yes or No and the score awarded is an 'all or 'nothing' basis.
    See also > Range scoring type
  - **Range** scoring type: A type of scoring where the degree of implementation is categorized as:
    3 = 'Fully Implemented'
    2 = 'Considerable/some lapses'
    1 = 'Started/some implementation'
    0 = 'Not implemented'
    and where the associated score value ranges from full to nothing, respectively.
    See also > Yes/No scoring type

- **Not Applicable** scoring option: A feature in the ProductSuite Smart Client which allows the Consultant to eliminate an item, or group of items, from the scoring scheme. This has the same affect as eliminating the item from the scope of an Assessment. The consultant should always document the reason when using this option.

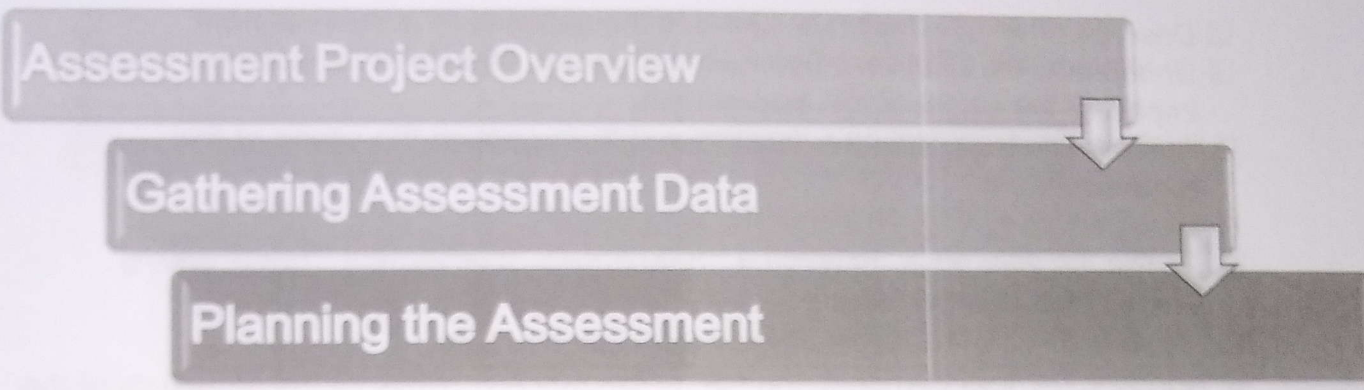
- **Not Rated** scoring option: A feature in the ProductSuite Smart Client which allows the consultant to mark an item, or group of items, 'not able to be assessed at this time'. This feature is used when it is not possible to score an item that was included in the planned scope. This may be due to reasons beyond the consultant's control or if time allotted for the Assessment proves insufficient. The Consultant must always include a note in the report regarding the reasons for using the Not Rated option.
  See also > Not Applicable scoring option

Module 3

ASSESSMENT PLANNING & PREPARATION

Module 3: Assessment Planning & Preparation
The steps for planning and preparing for an Assessment are covered in this module.

Module Topics



Learning Objectives

- ❑ An assessment project overview
- ❑ We'll discuss gathering assessment data
- ❑ And finally we'll cover planning the assessments

Assessment Planning & Preparation 68

Module Learning Objectives

At the end of the module, you should be able to:

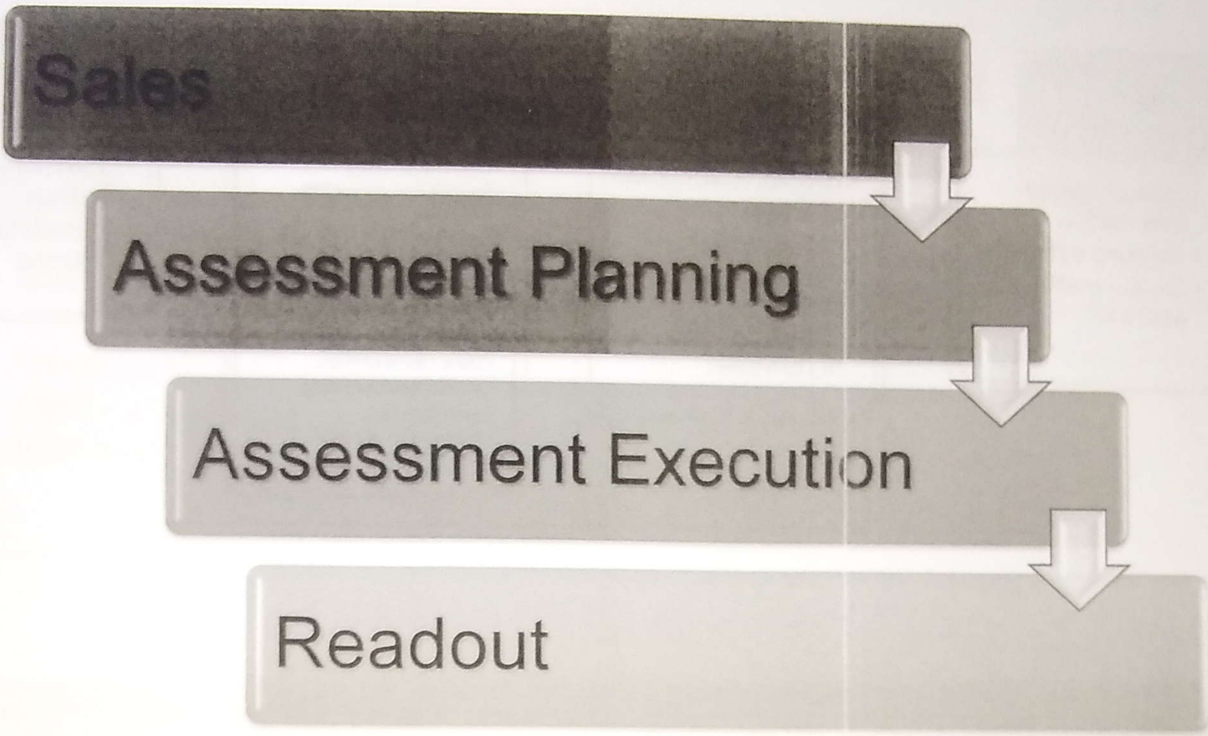
- ❑ An assessment project overview
- ❑ We'll discuss gathering assessment data
- ❑ And finally we'll cover planning the assessments

Module Learning Objectives

- ❑ Describe what information is critical to the success of an assessment
- ❑ Understand the difference between a Rigorous and Desk Assessment and the impact on the scope of the assessment
- ❑ Illustrate the organization's logistics and its impact on the scope of the assessment
- ❑ Demonstrate how to structure the assessment
- ❑ Explain the difference between a ProductSuite Assessment Project and a ProductSuite Assessment
- ❑ Translate the ProductSuite roles to organization roles
- ❑ Appraise the importance of the role of the process owner on the structure of the assessment
- ❑ Explain how your interview strategy impacts the scope of the assessment
- ❑ Propose the number of interviews needed depending on organization and scope of the assessment
- ❑ Develop assessment estimates
- ❑ Design an assessment schedule
- ❑ Demonstrate using the Assessment Tool with the case study to create an assessment project and assessment
- ❑ Produce an assessment protocol

In this module you will learn how to plan and prepare for an assessment.

Assessment Project Overview



The phases of an Assessment project are:

- **Sales Phase** – Here the *OPM3* Consultant secures enough information about the organization and their needs to get commitment to perform an *OPM3* ProductSuite Assessment.
- **Assessment Planning Phase** – In this phase the consultant completes the planning activities and prepares to begin the assessment interviews.
- **Assessment Execution Phase** – This phase covers all of the activities required to interview, collect evidence, analyze the data, determine findings, draw conclusions and prepare for the assessment readout.
- **Readout Phase** – In this phase the consultant delivers the results of the assessment to the organization.

Assessment Project Roadmap

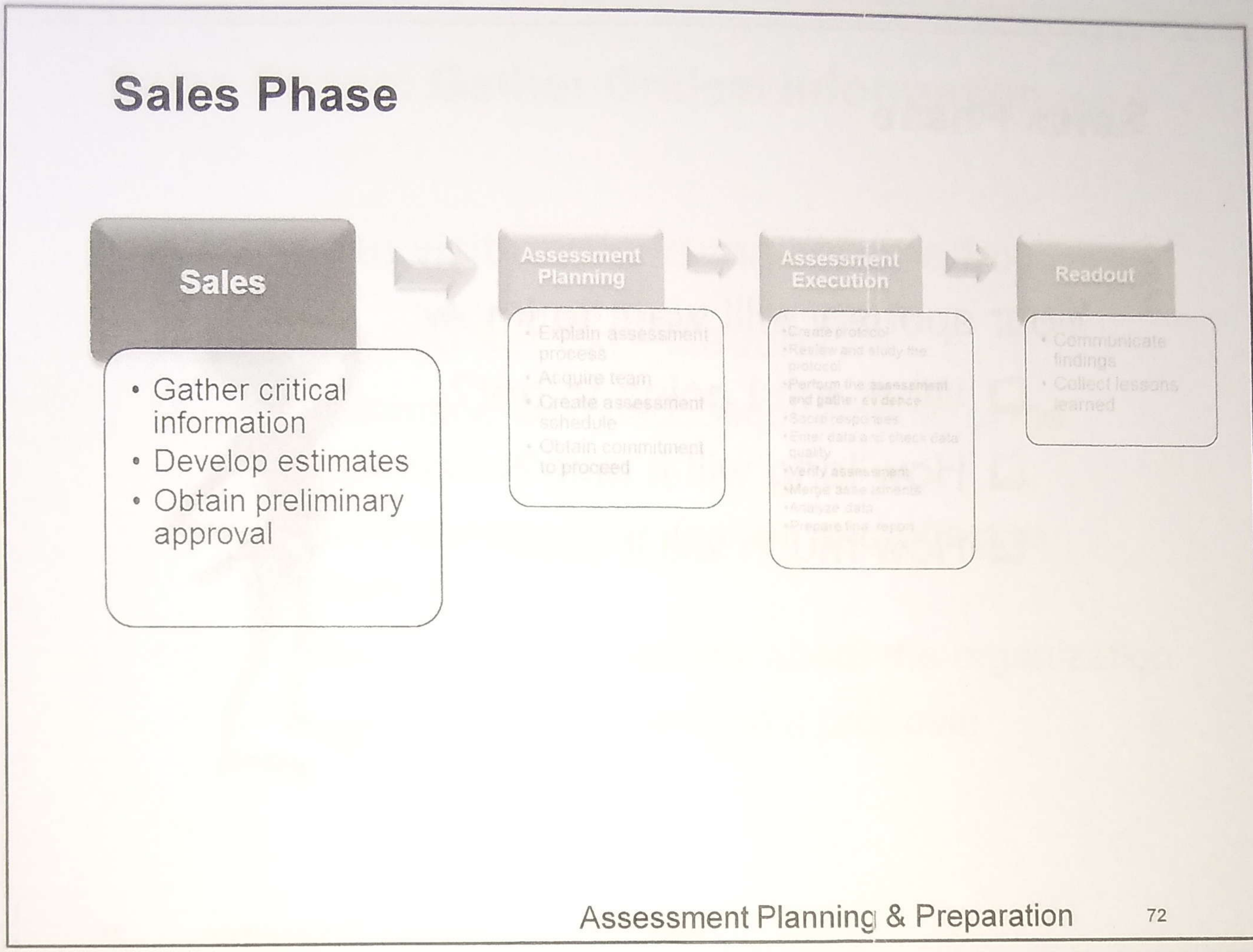
Sales
- Gather critical information
- Develop estimates
- Obtain preliminary approval

Assessment Planning
- Explain assessment process
- Acquire team
- Create assessment schedule
- Obtain commitment to proceed

Assessment Execution
- Create protocol
- Review and study the protocol
- Perform the assessment and gather evidence
- Score responses
- Enter data and check data quality
- Verify assessment
- Merge assessments
- Analyze data
- Prepare final report

Readout
- Communicate findings
- Collect lessons learned

Control Project Work/Manage Assessment/Manage Stakeholders



The Sales Phase

The Sale Phase is all about gathering critical information – information like organizational data, demographics, the organization's reason for doing an assessment and where the organization stands on implementing organizational project management practices – in order to build a value proposition for the customer. This information allows the Consultant to build estimates so the organization understands the commitment they are making.

Regardless of whether the Consultant is an internal employee of the organization or a professional external Consultant, work will still be required to "sell" an organization on the value of using *OPM3* to improve business performance. Module 8: *Customer Value Proposition* will deal with building the customer value proposition to complete this sale.

The Consultant will still need to gather some critical information about the organization in order to obtain commitment to begin the *OPM3* cycle of assessment and improvement. This gathering of information also allows the Consultant to set expectations and establish agreements between the organization and the Consultant. The Consultant must do a preliminary investigation of the organization before conducting an assessment to gain an understanding of the business environment and the organization's objectives, and then get commitment for the assessment work.

Sales Phase

Your sponsor will want to know:

- ❑ What am I going to get?
- ❑ How long will it take?
- ❑ How much will it cost?

As with any project, your sponsor will want to know:

1. What am I going to get?
2. How long will it take?
3. How much will it cost?

In order to answer these questions, you will gather critical information during the sales phase with the organizational contact.

Sales Phase: Gather Critical Information (1 of 3)

- ❑ On-site visit and/or e-mail/phone/fax
- ❑ Learn and set expectations
  - Determine the needs/requirements of the organization
  - Set the stage for a positive and effective relationship
  - Become knowledgeable about the organization
  - Learn enough to develop a proposal

Gather Critical Information

To ensure you will be able to meet the expectations of the organization, during the sales phase, understand the customer's environment and business needs.

The preferred arrangement for these discussions are on-site visit(s) by the Consultant. If a face-to-face meeting is not possible, gather information via e-mail, fax, or telephone.

These discussions will enable a Consultant to determine the assessment needs and requirements of the organization. These discussions also provide an opportunity for an external Consultant to set the stage for a positive and effective relationship with the organization.

Consultants are expected to be knowledgeable about the organization and the industry in which it operates. Prior to the start of these discussions, the Consultant should gather general information about the organization and its activities. One useful source of information regarding its vision, structure, and activities is the organization's website. Many industry bodies publish data about their industry as well as more organization-specific information.

When gathering information, it is important to employ a "drill down" investigative approach; asking questions about organizational activities that will have a direct impact on the scoping the assessment. The "drill down" approach starts with high level questions regarding aspects of the organization, followed by more specific questions on the details about those aspects. An example would be questions about whether previous Assessments had been conducted, followed by more specific questions on the type of assessment and the findings of the assessment.

Sales Phase: Gather Critical Information (2 of 3)

- Basic Contact Information
  - Name of the organization
  - Address of the organization
    - Headquarters
    - Other locations (if applicable)
  - Name of main contact
  - Name of Sponsor
- Demographic Information
  - Industry
  - Size (in terms of Revenue and number of employees)
  - Organization structure

Determine what basic information to gather during the discussions in the Sales phase. This information must include the organization's reasons for conducting the assessment, along with basic contact information, demographic information, etc.

Basic Contact Information

During the Sales Phase, the Consultant must gather or confirm some basic information about the organization. The Consultant should consider asking the following questions:

What is the appropriate legal name of the organization?

Who is sponsoring the assessment?

Who should be the main point of contact for questions and coordination of on-site activities?

What is the address of the organization's location?

Are there multiple locations?

If yes, what is the headquarters' location?

If yes, where are the other locations?

What business functions are performed at each of the locations? What departments exist at each of the locations?

Demographic Information

During the Sales Phase discussions, the Consultant should also gather organizational demographic information. The Consultant should consider asking the following questions:

How many employees work for the organization?

What industry is the enterprise in?

What industry is the organization in? Note that the organization's industry may be different than the enterprise's industry.

How is the organization structured?

Sales Phase: Gather Critical Information (3 of 3)

- ❑ Reason for Assessment
  - What are the customer's goals?
  - What is the reason for performing the assessment?
- ❑ Evaluating Organizational Maturity
  - Other assessment results (if applicable)
- ❑ Document Results
  - Record information to support proposal development

Assessment Planning & Preparation 76

Reason for Assessment
During the Sales Phase, the Consultant must determine the reason for the *OPM3* ProductSuite Assessment in order to scope the assessment to address the organization's objectives. The Consultant should consider asking the following questions while gathering other critical information. They should include:

- ❑ Has an *OPM3* ProductSuite Assessment been conducted previously?
  - If yes, what were the results of the previous assessment?
  - If yes, how was the previous assessment scoped?
  - If no, has the organization used the *OPM3* Self Assessment Method or conducted other types of project management or process improvement related assessments?
    - If yes, what are the results of those assessments?
- ❑ Will this assessment cover the entire organization, with the purpose of evaluating the complete Organizational Project Management system?
  - If no, what is the intended sub-set (departments) of the organization to be assessed?
  - If no, what part of the organization will not be assessed?
- ❑ Is the assessment being conducted to address a pain point or business result?
  - If yes, what is the pain point or business result that is the focus?
  - If no, is the assessment to focus only on establishing a baseline for improvement?
- ❑ The assessment might also be a follow up activity after an improvement process. The assessment may be intended to identify why problems are being experienced with an external organization.
- ❑ Does the organization have a budget for this assessment?

Sales Phase: Gather Critical Information OPM (1 of 2)

- ❑ Where does Organizational Project Management fit into the organization and its processes?
  - What OPM goals/objectives do they seek to achieve?
  - How does OPM fit into their objectives?
  - To what degree is there commitment to OPM?
  - To what degree is there commitment to process improvement?
- ❑ Is the organization performing Portfolio Management?
- ❑ Does the organization have both programs and projects?
- ❑ General questions about perceived maturity.

Assessment Planning & Preparation 77

Organizational Project Management Maturity

When a Consultant is gathering information from the organization, it is a good practice to consider that organization's maturity in terms of Organizational Project Management. This practice will assist gathering data during the assessment and contribute to understanding and managing the customer's expectations throughout the assessment. Some questions that should be addressed are:

- ❑ Where does Organizational Project Management fit into the organization and its processes?
  - What Organizational Project Management goals and objectives does the organization seek to achieve?
  - How does Organizational Project Management fit into to the objectives of the organization?
  - To what degree is there commitment to Organizational Project Management in the organization?
  - To what degree is there commitment to process improvement?
- ❑ Is the organization performing Portfolio Management?
- ❑ Does the organization have both programs and projects?
- ❑ General questions about perceived maturity, such as "What type of documentation do you have regarding Project Management?"

A summary of potential questions a Consultant might ask while gathering critical data are included in Appendix B of this module.

Sales Phase: Gather Critical Information OPM (2 of 2)

- ❑ **Example 1** – Process Improvement Project
- ❑ **Example 2** – Previous *OPM3* ProductSuite Assessment
- ❑ **Example 3** – *OPM3* Self Assessment
- ❑ **Example 4** – CMMI Assessment

Results of any other previous assessments or process improvement projects should be reviewed. Process improvement projects may have focused on organizational project management processes and resulted in achieving one or more *OPM3* capabilities. Organizations often use assessments as a means of comparison to another standard or body of knowledge, so they can provide a Consultant with a great deal of information. The following examples of improvement projects and assessments describe how this information can lead to understanding the organization's maturity.

Example 1 – Six Sigma Process Improvement Project
In one case, an organization used Six Sigma methodology to improve its business processes. This organization was a fast-moving, innovative organization that sought to capitalize on good ideas and implement them quickly and effectively. A Six Sigma Black Belt led a team to define, measure, analyze, improve, and control the project initiation process to deliver projects from ideas. By implementing this methodology, the organization may have achieved capabilities in the project domain or the portfolio domain. For example, Best Practice 1005 - Develop Charter Process Standardization, and possibly Best Practice 1710 - Develop Project Charter Process Measurement, Best Practice 2240 - Develop Project Charter Process Control, and Best Practice 2630 - Develop Project Charter Process Improvement, could have been partially or fully achieved. If the organization has launched Six Sigma projects that concentrate on improving other organizational project management processes, it is likely they have achieved other best practices as well.

Example 2 – Previous OPM3 ProductSuite Assessment
In another example, an organization may have previously conducted an *OPM3* ProductSuite assessment. The results of that assessment can tell the Consultant a great deal about the organization's current level of maturity. Further discussion may lead the Consultant to understand that the objective of the new assessment is to determine how effective the improvement process resulting from the previous assessment has been. In this case, a Consultant should recommend using the same scope and criteria as used during the previous *OPM3* ProductSuite assessment.
Example 3 – OPM3 Self Assessment
If the organization has performed an *OPM3* Self Assessment (SAM) and/or implemented an improvement plan, the Consultant should request the results. The results of the *OPM3* SAM will assist in identifying where the organization requires more detailed evaluations. It may also help the Consultant gauge the organization's expectations in terms of focus of further assessments.
Example 4 – CMMI Assessment
Organizations that are seeking an *OPM3* assessment may have used other assessment methods in the past. For example, if the organization is involved with information technology development or complex product development that involves systems and software engineering, it may have been assessed against the *Capability Maturity Model Integration* (*CMMI*®) developed by the Software Engineering Institute (SEI). *CMMI* has project management criteria and other criteria related to process improvement and metrics. If the organization had achieved a maturity or capability rating at or beyond CMMI level 2, or had covered any of the areas related to project management or process improvement, it is likely that it has achieved some of the *OPM3* Best Practices or at least achieved some of the capabilities. For example, Best Practice 1020 - Develop Project Management Plan Process Standardization or Best Practice1310 - Project Perform Integrated Change Control Process Standardization may be in place for the organization. It is also possible that Best Practice 1710 - Develop Project Management Plan Process Measurement and Best Practice 2000 - Perform Project Integrated Change Control Process Measurement are also being addressed.

If the organization is willing to share the results of any of the above assessment types, they may provide a guide to understanding the level of that organization's maturity. It may also help the Consultant understand the areas where the organization's maturity could be improved. Potential *OPM3* Consultants will gain insight into the organization's maturity through understanding how the *CMMI* model, or any of its predecessor models have been applied to the organization. Other assessments may have been conducted. For examples of other major assessment tools, which could be useful as input for an *OPM3* ProductSuite assessment, refer to Appendix A.
If no other assessment results exist, the Consultant should still question the organization about its perceived maturity. This will set context for the Consultant and may provide data that will aid in the performance of the assessment.

Sales Phase: Process Ownership

- **Example 1** – Organization ABC has one corporate PMO. This PMO owns the processes of all domains of project management.
- **Example 2** – Organization DEF has a PMO in each of its departments. Each has different functions and covers different domains.
- **Example 3** – Organization GHI has a PMO in the Information Technologies organization. There is no process ownership any where else in the organization.
- **Example 4** – The organization has not established process ownership.

Assessment Planning & Preparation 80

Process Ownership

When gathering critical information about the organization, one of the most significant areas to address is the concept of process ownership. A process owner is a person responsible for the development, maintenance and continuous improvement of a process. In some organizations this may be an individual or it might be an organization, such as a PMO. The establishment of the process owner and their organizational influence is a key concept the Consultant must understand to scope the assessment properly. Here are a couple of examples:

Example 1

Organization ABC has one corporate PMO. This PMO owns the processes of all domains of project management.

Example 2

Organization DEF has a PMO in each of its departments. Each has different functions and covers different domains

Example 3

Organization GHI has a PMO in the Information Technologies organization. There is no process ownership any where else in the organization.

Example 4

The organization has not established process ownership.

Sales Phase: Roles in the Organization to be Interviewed

Roles that must be interviewed when conducting an assessment:

- ❑ Process Owner
- ❑ Project Managers
- ❑ Program Managers
- ❑ Portfolio Managers
- ❑ Project Team Members
- ❑ Line Managers
- ❑ Leadership
- ❑ Training Process Owner
- ❑ HR Representative

Assessment Planning & Preparation 82

ProductSuite Roles

You have already learned in this module that you will conduct an *OPM3* ProductSuite Assessment by interviewing individuals in the organization. The number of interviews will be based on whether you select a rigorous or desk assessment. Following are the roles that must be interviewed when conducting an assessment. It will be your job to determine which individuals in the organization perform which roles, keeping in mind that an individual can have multiple roles. Here are the roles that are available in the assessment protocol:

- ❑ **Process Owner**
  As discussed above this a person responsible for the development, maintenance and continuous improvement of a process. You will need to determine who the process owner is for project, program and portfolio management. You also need to understand if there are multiple process owners in the organization.
- ❑ **Project Managers**
  This role covers any individual who performs project management activities in the organization.
- ❑ **Program Managers**
  This role covers any individual who performs program management activities in the organization.
- ❑ **Portfolio Managers**
  This role covers any individual or their delegate who performs portfolio management activities in the organization. This is usually a high ranking individual in the organization.

- **Project Team Members**
  This is any individual who performs tasks on a project

- **Line Managers**
  This role covers any individual in the organization that sits in the management hierarchy between the organization's leadership and the project managers.

- **Leadership**
  This role covers any individual in the organization that is in a leadership capacity. The titles at this level are usually vice president, general manager or CIO, CFO, etc.

- **Training Process Owner**
  This individual is accountable for brokering training and/or building training curriculum for the organization.

- **HR Representative**
  This individual can answer questions regarding the management of the competencies of the individual project manager.

Take these roles and match them to the organization you will be assessing. These roles will help you determine the number of interviews required for the assessment.

Sales Phase: Interview Sampling Strategy (1 of 4)

- ❑ For each process and process improvement stage, as well as each OE sub-category within the Assessment scope:
  - Who is the process owner?
  - How many others do I need to interview and who are they?
  - What information, documents and records do I need from each?
- ❑ Desk Assessment vs. Rigorous Assessment?

Interview Sampling Strategy

Who to interview, for how long, and what to include are important considerations for developing an interview sampling plan. For each process and process improvement stage, as well as each OE sub-category within the Assessment scope, the following needs to be determined:

- ❑ Who is the process owner?
- ❑ How many others do I need to interview and who are they?
- ❑ What information, documents and records do I need from each?

For a "Desk" Assessment, the sampling plan will include only the primary interviewee. For a "Rigorous" Assessment, it is important to confirm the extent to which processes and policies are implemented and practiced throughout the organization (or the part of the organization scoped for assessment). The Consultant will need to determine how many interviews to undertake, in addition to the process owner, for verifying the extent of process implementation.

Sales Phase: Interview Sampling Strategy (2 of 4)

Arriving at a sampling figure:

- ❑ Interviewing the process owner is normally sufficient.
- ❑ A suitable number of project, program, portfolio or functional managers must be interviewed.
- ❑ A sample of stakeholders is gathered.
  - When verifying project management processes, you'll interview project managers and team members.
  - When verifying program management processes, you'll interview program managers and project managers.
  - When verifying portfolio management processes, you'll interview portfolio managers, program managers and project managers.
- ❑ Remember to follow the roles that have been outlined for each protocol question

Assessment Planning & Preparation 85

As it is normally impractical and unnecessary to interview every person in every role, the Consultant and the assessment's sponsor will need to agree on how many people to interview to obtain adequate verification that a particular outcome is present.
The sampling required is not arrived at mathematically, but is determined by the following:

- ❑ To verify that a process is documented, or measures and controls are identified, interviewing the process owner is normally sufficient.
- ❑ To verify that processes, measures, and controls are in use, a suitable number of project, program, portfolio or functional managers must be interviewed.
- ❑ To verify that policies, processes, etc., are communicated effectively, and the applied processes are consistently implemented across the organization, a sample of stakeholders is gathered.
  - When verifying project management processes, you'll interview project managers and team members.
  - When verifying program management processes, you'll interview program managers and project managers.
  - When verifying portfolio management processes, you'll interview portfolio managers, program managers and project managers.

Remember to follow the roles that have been outlined for each protocol question.
The determination of how many interviews will constitute an adequate sample depends on a number of factors. The primary point is – can the consultant state findings that are indisputable based on the number and types of interviews done.

Sales Phase: Interview Sampling Strategy (3 of 4)

Interview Lists

- ❑ It can be useful to draw up a matrix of interviews that covers the 42 processes in the *PMBOK® Guide* and the OE subcategories
- ❑ Also consider:
  - Role within organization to be interviewed
  - Number of persons to be interviewed
  - Identification of the persons to be interviewed (sponsor input needed)
  - Duration of interview

Assessment Planning & Preparation 86

Interview Lists

Depending on the scope of the Assessment and the size of the organization, it can be useful to draw up a matrix of interviews that covers the 42 processes in the *PMBOK® Guide* and the OE subcategories. Additional information you may want to consider:

- ❑ Role within organization to be interviewed
- ❑ Number of persons to be interviewed
- ❑ Identification of the persons to be interviewed (sponsor input needed)
- ❑ Duration of interview

This should be completed as part of the Sales Phase to help determine the assessment planning requirements.

As a default, the assessment strategy and interview list should be developed based on the assumption of a mature organization. This implies that within the organization there exist many of the capabilities and outcomes related to policies, standard processes, and plans. For a mature organization, it should also be assumed that there are capabilities and outcomes related to the demonstration of the execution of the policies, processes, and plans at the Project/Program/Portfolio levels of the organization.

One practical exception to the above is when the pre-assessment activities have established that the organization has no effective implementation of standardized processes and therefore has no evidence of the measurement, control and continuously improve stages of process improvement. Here the Consultant and the organization's sponsor may have agreed to score the relevant responses as 'no' or 'not implemented', to avoid unproductive audit effort.

Sales Phase: Interview Sampling Strategy (4 of 4)

Interview Algorithm

Identify:

1. First domain of the assessment
2. Process owner for that domain
3. Divisions/departments/locations that are recipients of the process owner's processes
4. How many people are filling each verification role in each of the lowest levels of the organization
5. How many people would constitute a representative sampling for each lowest level role in each division/department/location

If the organization has a small number of people fulfilling the role and 10% is equal to 2 people or less then interview three people at a minimum.

If the organization only has 1 or 2 people fulfilling a particular role per division/department/location then interview all of the people in that role.

Interview Algorithm

To determine the amount of interviews required for an assessment.

1. Determine the first domain of the assessment
2. Determine the process owner for that domain
3. Determine the divisions/departments/locations that are recipients of the process owner's processes
4. Determine how many people are filling each verification role in each of the lowest levels of the organization for every division/department/location of the organization.
5. Determine how many people would constitute a representative sampling for each lowest level role in each division/department/location of the organization. 10% is a good rule if thumb.
   If the organization has a small number of people fulfilling the role and 10% is equal to 2 people or less then interview three people at a minimum.
   If the organization only has 1 or 2 people fulfilling a particular role per division/department/location then interview all of the people in that role.

Sales Phase: Developing Estimates

- Estimates need to cover effort, duration and cost
  - Effort is how much time in terms of hours will be required
  - Duration is how long the initiative will take
  - The cost is the out-of-pocket cost to the customer for the Assessment
- Estimates set expectations for the customer

Develop Estimates

Part of gaining commitment to proceed in an *OPM3* ProductSuite Assessment has the Consultant determine the estimates for the cost, duration and resources required to complete the assessment. We'll start with the time element of the estimates.

Estimating Time Needed for an Assessment

For *OPM3* ProductSuite assessments, a guidance document is provided in Appendix C to determine the number of days needed to perform assessments (rigorous or desk). The chart in Appendix C provides an estimate based on the scope and the number of Best Practices, Capabilities, Outcomes, and the questions to be covered as defined by the Assessment Tool. This estimate can then be adjusted to take into account significant organizational factors identified by the Consultant.

Conducting interviews can be very complex due to the variability of the interviewee's schedule. Because of this variability, it is recommended that an additional 25%-33% is included in the estimate for an *OPM3* ProductSuite assessment. This additional time will allow for daily meetings of the assessment team, at the end or start of an assessment day, and also allow for some modifications based on information gathered during the execution of the assessment.

Module 4

ASSESSMENT EXECUTION

Module 4: Assessment Execution

The steps for actually performing an *OPM3* ProductSuite® Assessment are covered in this module.

Module Topics

Assessment Execution

Data Gathering Techniques

Adaptive Questioning Techniques

Learning Objectives

❑ Execute an assessment

❑ We'll discuss data gathering techniques

❑ And finally we'll cover adaptive questioning techniques

Module Learning Objectives

At the end of the module, you should be able to:

❑ We'll discuss an assessment execution

❑ We'll discuss data gathering techniques

❑ And finally we'll cover adaptive questioning techniques

Module Learning Objectives

- ❑ Discuss where to perform an assessment.
- ❑ Select techniques used to gather evidence.
- ❑ Evaluate the scoring for assessment questions.
- ❑ Distinguish between the different interviewing techniques.
- ❑ Dramatize interviewing multiple domains.
- ❑ Design and develop a method to handle ad hoc requests for interviews.

PMI Assessment Execution 114

Module Learning Objectives

At the end of the module, you should be able to:

- ❑ Discuss where to perform an assessment.
- ❑ Select techniques used to gather evidence.
- ❑ Evaluate the scoring for assessment questions.
- ❑ Distinguish between the different interviewing techniques.
- ❑ Dramatize interviewing multiple domains.
- ❑ Design and develop a method to handle ad hoc requests for interviews.

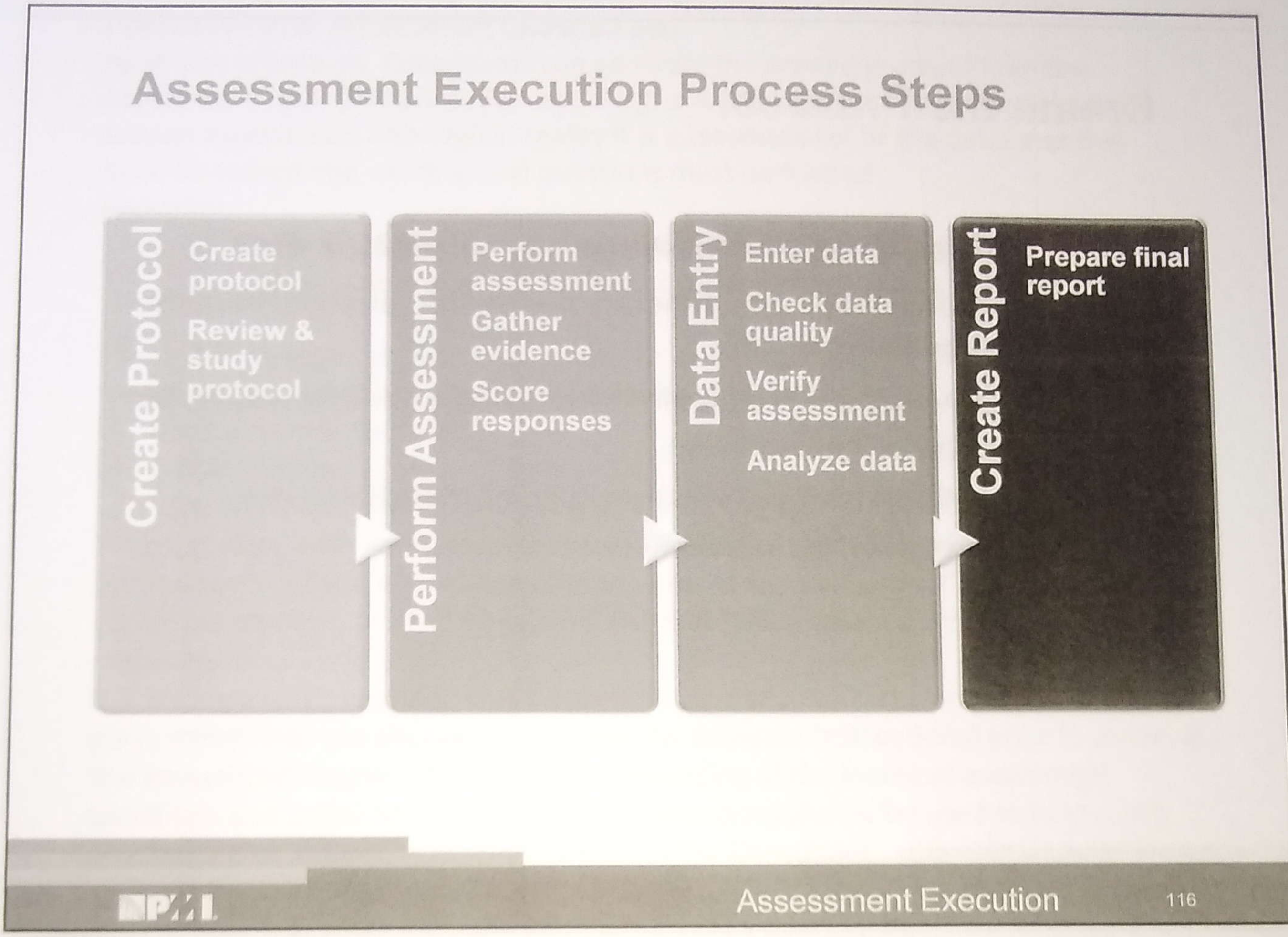
Assessment Execution Phase

Sales
- Gather critical information
- Develop estimates
- Obtain preliminary approval

Assessment Planning
- Explain assessment process
- Acquire team
- Create assessment schedule
- Obtain commitment to proceed

Assessment Execution
- Create protocol
- Review and study the protocol
- Perform the assessment and gather evidence
- Score responses
- Enter data and check data quality
- Verify assessment
- Merge assessments
- Analyze data
- Prepare final report

Readout
- Communicate findings
- Collect lessons learned



You have completed the Sales and Assessment Planning phases of your Assessment Project. You now begin the Assessment Execution phase. The Assessment Execution phase will have you perform the above activities.

You will be on site shortly to begin interviews. There are a few things that you must complete prior to going on site.

Create the Protocol

Printed Protocol (Assessor Question Set)

- ❑ Consultants can generate the printed protocol from the Assessment Tool
- ❑ Know and understand the protocol prior to arrival at the assessment location
- ❑ The printed protocol may also be provided to the organization in advance

PMI

Assessment Execution 117

Create Protocol

From the Assessment Tool, the Consultant can generate the protocol for the assessment. When working with an assessment team, the Consultant will typically generate this protocol and distribute this to the assessment team prior to the actual assessment. These printed protocols will contain the appropriate assessment criteria (capabilities and outcomes) and will be in accordance with the scope agreed upon with the organization.

It is recommended that the Consultant use and study the entire protocol (including the Assessor Guidelines) prior to arrival at the assessment location to ensure understanding of the intent of assessment capabilities and outcomes. The Assessor Guidelines should be used to help clarify any items that are not immediately clear to the Consultant.

The protocol may also be provided to the organization in advance of the *OPM3* ProductSuite Assessment. Having both the assessment team and the organization well prepared in advance of the assessment contributes to a smooth and efficient assessment process. Preparedness is also a significant factor in time management.

Printed Protocol (Assessment Question Set)
As shown previously, Consultants can generate the printed protocol from the Assessment Tool. The printed protocol is the foundation for a question set for the scoped assessment, although in reality it is a tabulated list of the outcomes that must be scored and which actual questions must be framed.

Example:

2.2.3.1 A Program Initiation process control plan exists which is both actionable and which defines how the process will be controlled.

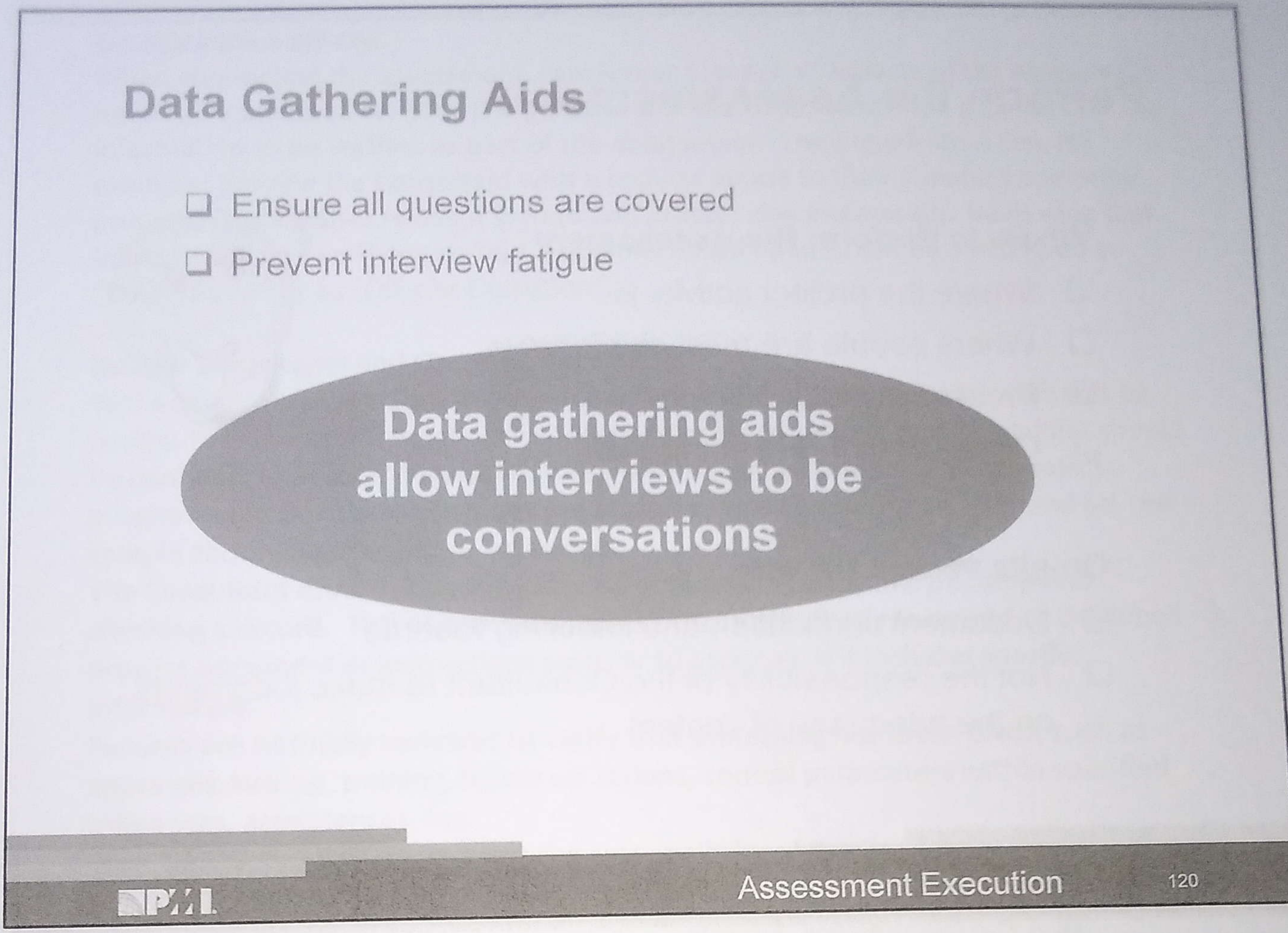
This outcome requires several questions to be posed directly to the interviewee or for the Consultant to answer based on review and observation:

- ❑ Does a control plan exist?
- ❑ Is it actionable?
- ❑ Does it define how the process will be controlled?

When working with an assessment team, the Consultant will typically generate this printed protocol and distribute a complete set to the assessment team prior to the actual assessment, or divide it up and distribute the relevant parts to individual team members.

It is strongly recommended that Consultants use and study the entire protocol or the parts which they are allocated (including the Assessor Instructions) prior to arrival at the assessment location to ensure understanding of the intent of assessment questions and outcomes. The Assessor Instructions should be used to help clarify any items that are not immediately clear to the Consultant.

As determined by the Consultant, this printed protocol may also be provided to the organization in advance of the *OPM3* ProductSuite Assessment.

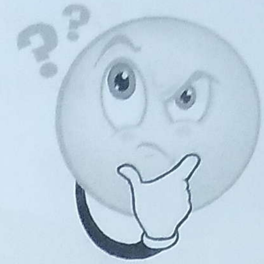


Use of Data Gathering Aids

There are a number of possible data gathering aids for use in collecting information during the assessment. The printed protocol is organized by PPP and SCMI, which may not be the easiest way to conduct an interview or collect information, especially if the organization is not familiar with the *OPM3* standard. The purpose of data gathering aids is to provide a means of conducting interviews without having to refer directly to the printed protocol or ask the interviewee every question sequentially with the resulting monotony and 'interview fatigue'.

In Appendix D, you'll find an example of a data gathering aid for the Project Management domain based on the 42 processes of the *PMBOK® Guide*. It provides an effective means to determine what the organization has in the way of standardized, measure, control and improvement in any of the 42 processes. The form also has an area for documenting evidence or outcomes for each of the processes, along with room for your comments.

Perform the Assessment (1 of 2)



Where to Perform the Assessment?

- Where the project activity is
- Where people are most comfortable
- Process owner's office
- Offices of different employees

On-site versus Off-site

- Document verification and checking records
- Not the responsibility of the Consultant to make judgments on the adequacy of content

Perform the Assessment

With a good understanding of the protocol, you are now ready to assess the organization. The following sections document the process of conducting the assessment.

Where to Perform an Assessment

Perform the assessment "where the activity is". The Assessment Tool will indicate who needs to be interviewed. For most discussions with the process owner, their office would be an appropriate location. For other roles, a Consultant might need to go to the offices of other employees.

Another reason to perform the assessment where the project work is done is that people are most comfortable in their workspace. Removing people from their work areas, with a Consultant asking many questions, can make the assessment process an uncomfortable experience. The evidence sought by the Consultant is often found in the employee's workspace.

Experience has shown that interviewing several people at one time regarding specific processes can be beneficial: they are often more comfortable in this situation and gaps in information are often closed when there is more than one person present. Often the organization can set up the group interview in a conference or meeting room with intranet or network access so that documents can be reviewed. A PC projector and screen, along with a white board and markers can also help communication.

On-site versus off-site

When conducting the assessment, remember that not all aspects of the assessment need to be assessed on-site. It is possible that the organization will provide information to be verified as part of the assessment. The organization can, for example, provide the Consultant with a copy or access to their standard operating procedures and other relevant system and process documentation. Reviewing that information, and verifying certain outcomes based upon it, can be considered as "Preparation" or as "Off-site Execution".

Review Documents and Checking Records

While the Assessment Tool will provide information on the types of documents to review, the Consultant must decide which samples to select. The Consultant should be confident that such documents are a representative sample of how projects, programs and portfolios are managed under normal conditions and, if need be, the sample should be changed or extended.

The Consultant must decide the purpose of reviewing a specific document or checking a record. This may be to establish that a previously reviewed or described process document or instructions exist, or to ascertain if it includes specific information.

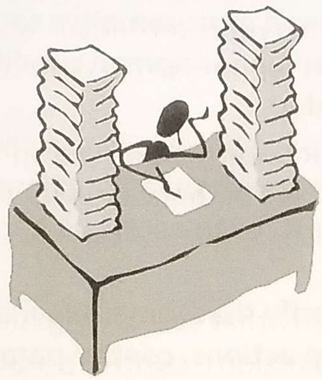
Records are normally reviewed to verify that something has taken place, such as approvals, testing, training, follow up actions, control parameters within specified tolerances, acceptances, etc.

In an *OPM3* Assessment, it is not the responsibility of the Consultant to make judgments on the adequacy of content of individual documents. If the organization chooses to define a process or activity in a particular way and identify it as applicable to that process or activity, the Consultant should accept the outcome related to the process being documented as being met. However, if the document is inadequate, this will invariably result in the communication and implementation steps of the standardize improvement stage being ineffective. At this point, the outcomes can and should be marked down as "considerable/some lapses", "started/some implementation" or "not implemented", as appropriate.

Perform the Assessment (2 of 2)

How much evidence should be collected?

- ☐ Start with a representative sampling
- ☐ Take additional samples until a reasonable conclusion can be made



How Much Evidence Should Be Collected?

It is vital that sufficient notes are taken, as they will be used later to complete the final report. The level of sampling performed must be balanced against the risk of errors occurring and their level of importance, and should enable the Consultant to form a clear opinion on the subjects and items discussed.

Consultants must evaluate a representative sample of documents and records, based on their professional judgment. If evidence demonstrates variation in the outcome, the Consultant should take sufficient samples to make a reasonable conclusion as to the specified outcome.

Collecting Evidence

- Notes are input to final report
- Convenience sampling – use your professional judgement
- Use printed Protocol
- Do not trust your memory – take notes
- Capture information such as:
  - Who is being interviewed
  - Where in the organization
  - Project identification
  - Findings
  - Comments
- *OPM3* Assessment Tool fields:
  - Comments
  - Findings

Taking Notes – Recording Results

Do not rely on memory for details needed in the report and to support the conclusions of the assessment team. When weaknesses are identified, you must be able to provide specific examples. To do this accurately and consistently, results of the assessment activity must be recorded. Similarly, when you identify strengths and improvements within processes, specific examples should be given. It will be difficult to do this by recall without the support of notes and examples.

The Assessment Tool provides guidance on the type of evidence the Consultant must collect for awarding credit for each question. As well as this specific information, consider also capturing:

- Who is being interviewed (name and position)
- Where in the organization is the interviewee (department/project/area)
- Project identification (specific to evidence reviewed)
- Findings (actual conditions, weaknesses, improvement opportunities)
- Comments ("Not Applicable" questions, "Not Rated" questions)

For this purpose the Assessment Tool provides you with two fields where additional notes can be entered:

Comment: here the Consultant should enter data on:

- "Not Applicable" questions, e.g., why this question was not applicable. This is mandatory.
- Who was being interviewed (name and position), in what department and what project was reviewed as evidence of implementation. This information does not need to be entered into the tool, but it will need to be kept for the final report.

Findings: here the Consultant can enter any positive and negative findings.

These fields are automatically built into the Assessment Final Report, and are there to jog your memory on specific findings and comments if you choose to use them. They also can be edited out of the report if the Consultant so desires.

Scoring the Responses

- ❑ The Consultant is expected to score the evidence reviewed and draw conclusions
- ❑ Scoring possibilities
  - – Y/N - Questions which have a Yes or No answer
  - – Range - Score is based on the *level* of compliance
    - • Breadth and depth of the implementation needs to be taken into consideration
    - • **Range scores are:**

      3 - Fully implemented

      2 - Considerable/some lapses

      1 - Started/some implementation

      0 - Not implemented

PMI Assessment Execution 126

When interviewing and reviewing documentation and records, the Consultant is expected to score the evidence reviewed and draw conclusions. Later these scores will need to be entered into the Smart Client.

In the printed protocol, the Consultant will find two different type of scoring possibilities:

- ❑ **"Y/N"**: These are questions which have a Yes or No answer, and are indicated by the symbols "Y/N." A Yes answer shall be substantiated without reservation or exception; in all other instances the Consultant will provide a No response.
- ❑ **"Range""** When the degree of compliance could be partial, the score is based on the level of compliance. This is applicable to the variable questions such as questions regarding communication.

When scoring these questions, breadth and depth of the implementation needs to be taken into consideration before awarding a 0, 1, 2 or 3 score.

The range scores are: Fully implemented (3), Considerable/some lapses (2), Started/some implementation (1) or Not implemented (0). To guide the Consultant in giving the most appropriate score, please see the table on the following page.

			BREADTH			
			Scope			
			0	1	2	3
DEPTH	Principle	3	Do it all the time. - but not in our organization.	All of the time, in some parts of organization.	Do it all of the time in most of organization.	Do it all of the time throughout organization.
		2	Do it most of the time – but not in our organization	Do it most of the time in parts of organization.	Do it most of the time in most of organization.	Do it most of the time throughout organization.
		1	Do it some of the time – in none of our organization.	Do it some of the time in parts of organization.	Do it some of the time in most of the organization.	Do it some of the time throughout organization.
		0	Do not do it at all in any of organization.	Don't do this.	Don't do this.	Don't do this.

Consultant Experience/Knowledge/Style

An Experienced Consultant can:

- ❑ Fully focus on the WHAT, as the HOW to conduct the assessment has become "second nature"
- ❑ Work almost independently of the printed protocol

A Knowledgeable Consultant can:

- ❑ Fully understands the intent of *OPM3* and what the protocol is all about
- ❑ Be familiar enough with *OPM3* to be able to infer the relationships of the statements in the protocol to each other

A Consultant's Style can:

- ❑ Influence the conduct and outcome of the assessment

Assessor Experience/Knowledge/Style
Although only certified Consultant are permitted to conduct an *OPM3* ProductSuite Assessment, an experienced Consultant who has conducted several *OPM3* Assessments will develop the ability to "get to the bottom" of an issue in a non-threatening professional way. An experienced Consultant will deliver more value in less time than a less experienced *OPM3* Consultant.

The main aspects of a "Champion" Consultant are as follows:
Experience: An experienced Consultant will be able to fully focus on the WHAT, as the HOW to conduct the assessment has become 'second nature'. Because of their experience, the Consultant will be quickly triggered by any '"inconsistencies" which he/she encounters while performing the assessment, and will do what it takes to get to the truth.
An experienced Consultant can work almost independently of the printed protocol. Inexperienced Consultants tend to closely follow the protocol (the HOW of the Assessment process), often reading out the capabilities one by one in the order in the material. They may be so pre-occupied with "the capabilities they need to score" that the responses of the person(s) being assessed are recorded but do not "sink in".
An example might be a question like: "Do you have an improvement process in place for the Define Scope process?" Response: "We are considering implementing such improvement plan for all of our planning activities, but it is still in the works."

An experienced Consultant would now skip the rest of the questions for each individual process regarding creating an improvement plan and ask to see the plan. (The experienced Consultant also might repeat the question with another person(s) to verify the data). An inexperienced Consultant, however, might continue asking the same question for all the other processes, causing irritation and frustration with the person(s) being interviewed.

Knowledge: A knowledgeable Consultant is one that fully understands the intent of *OPM3* and what the protocol is all about. Typically, a knowledgeable Consultant will not "read out" the capabilities as they are formulated in the protocol, but will ask them in "human language" in such a way that they make sense to the person(s) being interviewed. If the person(s) being interviewed is unfamiliar with the concepts of organizational maturity, the Consultant provides relevant information as a background to the question. Having ensured that the questions "context" is understood, the Consultant can discuss the first capability.
A knowledgeable Consultant will be familiar enough with *OPM3* to be able to infer the relationships of the statements in the protocol to each other.

Style: While not specifically *OPM3* related, a Consultant's style may also influence the conduct and outcome of the assessment. An intimidating, authoritarian Consultant will probably "stick to the schedule" to the detriment of the quality of response and evidence that is received. At the other extreme, the Consultant who does not control the interview may waste time.
A diplomatic, empathic Consultant "earns" respect and authority by how the assessment is conducted: firm and decisive where necessary, but always with genuine interest in the status of the organization regarding the intent of the *OPM3* Standard. This approach will enable the Consultant to collect much more relevant and meaningful information in less time than an "inspector who works by the book".

Interviewing Techniques

Open Line of Communication

- ❑ Be aware of your image as a Consultant – reduce anxiety
- ❑ Try to help interviewee's relax
- ❑ Adopt a friendly approach
- ❑ Reinforce "performing a system check, not a personal appraisal"
- ❑ At the start of the interview, assess the level of knowledge of PM issues
- ❑ Explain questions and why you are asking them
- ❑ Allow interviewee time to answer

Interviewing Techniques

Before starting the interviews, make sure you are familiar with the content of the printed protocol and who are you going to interview. The printed protocol will give you the opportunity to filter questions for a specific role. For example, when you interview the leadership of an organization, appropriate topics and themes should be selected.

An Open Line of Communication

To obtain information from people, there must be an open line of communication and a dialogue established. The person being interviewed must feel motivated to respond to you. It is also important to determine the level of knowledge of the people being interviewed. You need to adjust your communication style if an interviewee knows little about project management issues.

Some people have a distorted and completely unfounded image of consultants and the assessment process can make them fearful or uncomfortable. The fear of being "found out" or "not meeting the expected standard" can make them nervous. It is vital that these fears are allayed.

Ways in which you can establish an open line of communication and dialogue:

- ❑ Be aware of your image as a Consultant – reduce anxiety
- ❑ Try to help them relax
- ❑ Adopt a friendly approach
- ❑ Reinforce "performing a system check, not a personal appraisal"
- ❑ At the start of the interview, assess the level of knowledge of PM issues
- ❑ Explain questions and why you are asking them
- ❑ Allow interviewee time to answer

Module 6

IMPROVEMENT PLANNING

Improvement Planning 175

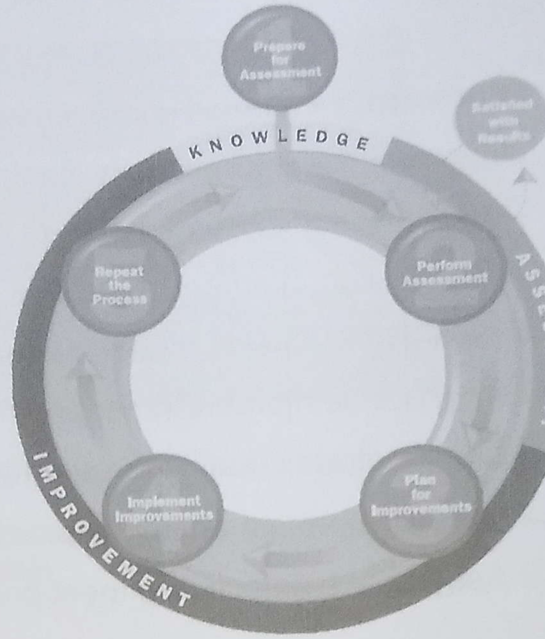
Module 6: Improvement Planning

This module introduces the roadmap for a typical *OPM3* Improvement project. You will learn how to plan an Improvement Project and work with the *OPM3* ProductSuite® Improvement Tool.

Improvement Process Overview

OPM3® Improvement Cycle

- ❑ Plan for Improvements
- ❑ Implement Improvements
- ❑ Repeat the process



Project Management Institute, *OPM3®* – Second Edition, 2008, p. 18

PMI

Improvement Planning 178

Improvement Process Overview
In this module you will learn how to plan and prepare for an improvement project. We start this module with an overview of the *OPM3* Improvement Cycle given in the *OPM3* Knowledge Foundation as noted in the following diagram. We will use this overview to establish the context of improvements within the *OPM3* cycle. The three steps of the ***OPM3* improvement Cycle are:**

1. Plan for Improvements
2. Implement Improvements
3. Repeat the process

Plan for Improvements

- Most organizations will be unable to achieve all of their desired Capabilities at once

To create an improvement plan, the organization needs to understand:

- All the Capabilities it already has
- All the Capabilities it does not have - **'not achieved'**
- The relative importance of each Capability to the organization

Improvement Tool: provides valuable insight to the organization's maturity

Consultant: provides the analysis and intellectual property needed to create the details of the improvement project

Improvement Planning 179

Plan for Improvements

The key to a successful Improvement plan is understanding where the organization will gain value from the Improvements. In the *OPM3* cycle - Plan for Improvements step, the *OPM3* – Second Edition standard advocates that:

> *"For those organizations choosing to pursue organizational improvements, the results of the previous step (Assessment) will form the basis for an Improvement plan. The documentation of which Capabilities the organization does and does not have – including the dependencies among them – permits a ranking of needed Capabilities and Outcomes according to their priority for the organization. This information enables the development of a specific plan to achieve the Outcomes associated with the Capabilities of targeted Best Practices."* Project Management Institute, *OPM3*® – Second Edition, 2008, p. 17

Therefore, the organization first needs to understand:

1. All the Capabilities it already has
2. All the Capabilities it does not have
3. The relative importance of each Capability to the organization

The Improvement Tool provides data and allows valuable insights into the organization's assessment results and is an effective way to manage Best Practices and Capabilities selection for inclusion in the improvement project. The Consultant provides the analysis and intellectual property to create the strategy and details of the improvement project.

Implement Improvements

- Implementation of the Improvement Project Plan typically occurs over time
- Organizations differ on how much time they allocate for improvements

It is the intent of the *OPM3* standard that organizations embrace continuous process improvement.

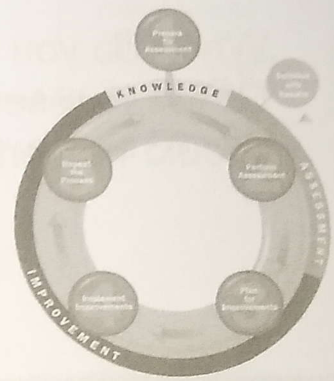
> *"Implement Improvements: Once the plan has been established, the organization will have to implement the plan over time, that is, execute requisite organizational development activities to attain the needed capabilities and advance on the path to increased organization project management maturity. Organizations may consider spending 90% of their total effort in the improvement phase of an OPM3 cycle."*

Project Management Institute, *OPM3®* – Second Edition, 2008, pp. 17 - 18

Implement Improvements
Once the Improvement Project Plan has been established, the organization will need to implement the plan over time. Organizations will differ on how much time they allocate to institute improvements. Some will approach this as a temporary project with a short duration. However, it is the intent of the *OPM3* standard that organizations embrace continuous process improvement as a way of increasing their business performance.

Repeat the Process

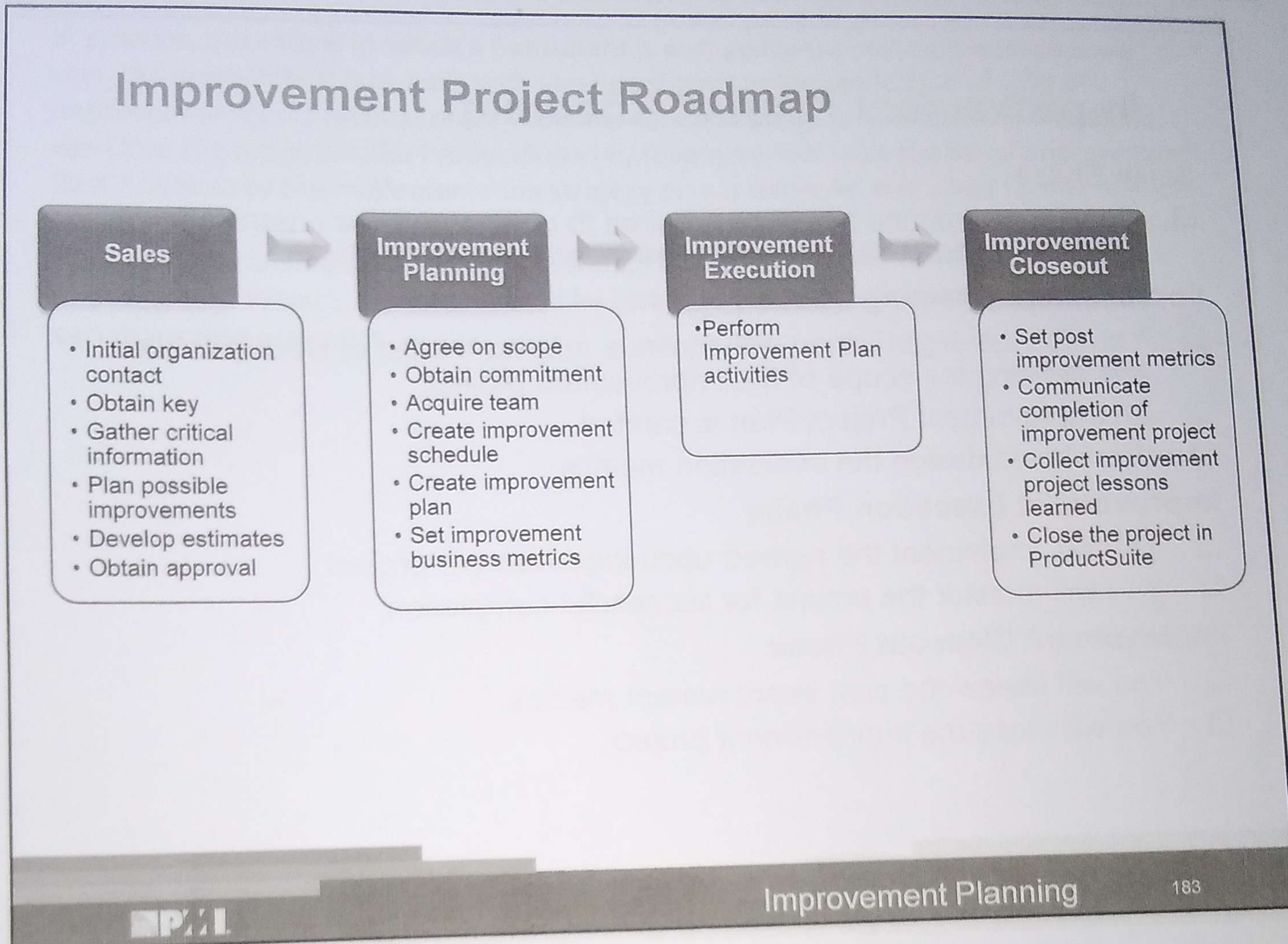
- The *OPM3*® - Second Edition recommends organizations consider reassessment to verify improvements implemented
- Frequency of reassessment is dependent on the nature of the improvement project
- When reassessment is needed the processes defined in the *OPM3* ProductSuite Consultant Training should be employed



Improvement Planning 181

Repeat the Process
The next step in the *OPM3* Improvement Cycle is 'Repeat the Process'. The *OPM3* Knowledge Foundation recommends that organizations consider reassessment to allow verification of the improvements that have been implemented.

The frequency of reassessment is dependent entirely on the nature of the improvement project being undertaken, e.g., this may be a small effort and of short duration, or extensive and implemented over a significant period of time. When reassessment is needed, or previously unplanned improvements are undertaken, the processes is defined in the *OPM3 ProductSuite*®.



Now we take the *OPM3* Improvement cycle of the *OPM3* Knowledge Foundation and apply those principles to managing an improvement project.

The phases of an improvement project are:

- ❑ Sales Phase
- ❑ Improvement Planning Phase
- ❑ Improvement Execution Phase
- ❑ Improvement Closeout Phase

You'll find the entire process depicted on this page.

Improvement Project Roadmap

Sales Phase

- Concerned with the activities required to understand the organization's needs for organizational project management improvement.

Improvement Planning Phase

- You and the organization will continue refining the list of Best Practices and defining the scope of the improvement project.
- An Improvement Project Plan is created.
- You should design the evaluation metrics.

Improvement Execution Phase

- You will implement the agreed upon improvement project.
- You will monitor the project for successful completion.

Improvement Closeout Phase

- You will review the post improvement metrics.
- You will close the improvement project.

PMI Improvement Planning 184

Improvement Project Roadmap

In the ~~assessment~~ Improvement project roadmap diagram, the Sales Phase is concerned with the activities required to understand the organization's needs for organizational project management improvement. Whereas during the **Improvement Sale Phase**, the Consultant works with the organization to plan for possible improvements based on the gaps identified from the Assessment. This may be an iterative process until the organization accepts the proposed set of Improvement Best Practices most appropriate to its business objectives.

In the **Improvement Planning Phase**, the consultant and the organization will continue refining the list of Best Practices and defining the scope of the improvement project. Once agreement is reached, an Improvement Project Plan is created, which includes the schedule, the implementation strategy, the agreed upon scope, and the proposed improvement team. At this point, the consultant should **define metrics** that will be evaluated at the end of the improvement cycle to assure that the expected improvement results have been met.

In the **Improvement Execution Phase**, the Consultant will implement the agreed upon scope and monitor the improvement project for successful completion.

In the **Improvement Closeout Phase**, the Consultant will review the post improvement metrics and close the improvement project.

The sample process above represents a typical improvement project. It assumes that a PMI Certified *OPM3* Consultant® is engaged throughout the Improvement process.

In practice, the extent to which a Consultant is engaged in supporting the process will vary. An organization may limit such an engagement to the production of a list of Improvement Best Practices or an implementation strategy. In this case the consultant can close the project in the ProductSuite Improvement Tool once the list of Improvement Best Practices or the implementation strategy plan is delivered and when further revision is unlikely.

ProductSuite training does not seek to design the scope or preferred approach for an Improvement Project. Students should be aware of the complete process and the variations that may exist.