

Expectations and Responsibilities

**Delivering high quality products and services
through high quality
customer-team relationships**

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Who Am I?

Judy Bamberger has 25 years' experience developing software, leading teams, teaching, and developing organisation-wide leaders. An independent consultant, she specializes in project management, process definition and improvement, quality techniques (e.g., formal inspections, metrics), team building, facilitation, and managing change.

Ms Bamberger has:

- Performed numerous assessments (SPA, CBA-IPI, ARC Class C/B, ISO9001, custom-tailored) and worked with organisations around the world and at all maturity levels.
- Created a CMM/CMMI gap analysis method that is highly reliable and cost-effective. This enables her clients to review their strengths and weaknesses against the practices of the CMM/CMMI, provides a likely maturity/capability level rating, and summarises opportunities for improvement - at a fraction of the time and cost of an appraisal. The CMMI gap analysis method complies with ARC Class B/C requirements.
- Assisted her clients with improvement plans based on assessment results, which enabled them to meet their strategic business goals and increase their maturity levels.
- Trained and coached internal change agents in: basic quality tools, communication skills, managing change and resistance, effective improvement planning, and transition. This enabled her clients to create lasting, positive changes.

A key author of CMM, Ms Bamberger is one of the original Authorised Lead Assessors.

Ms Bamberger teaches project management and an award-winning course that has the students apply basic quality tools in the contexts of a real team, project, and organization. She provides workshops and on-site mentoring in the CMMI, Personal Software Process, peer reviews, process improvement, and other software engineering, management, and leadership subjects.

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Abstract [1]

Some time ago, I heard a radio discussion about medical care, and "rights" and "responsibilities." Almost everyone talked about "rights"; almost nobody talked about responsibilities. It felt unbalanced to me; something was missing.

I remembered something I read by Steve McConnell [1], about the "rights" of Customers and Project Teams. And I thought to myself, "what about the responsibilities that go with the rights?"

After consulting the dictionary, I started thinking again about how the idea of "rights" and "responsibilities" applies to software projects, how they affect quality, and why it is imperative upon us to think about both "rights" and "responsibilities."

(abstract continued next slide)

[1] Steve McConnell, *Software Project Survival Guide*
1998, Microsoft Press

Abstract [2]

(abstract continued from previous slide)

The full paper covers:

- **The Customer's Bill of Rights** - introducing the "Customer's Bill of Rights," (which I will call "Expectations") as defined by Steve McConnell
- **General Responsibilities** - indicating some fundamental responsibilities I have, as a Customer, based on the Customer's Bill of Expectations
- **One Example** - demonstrating how I can exercise my Customer Responsibilities in an effective - or ineffective - manner ... and the impact that has on meeting my Expectations - and on quality

The full paper concludes with challenges for each of us, and two appendices, each structured to help you determine how effectively you are exercising your own Responsibilities as a Customer.

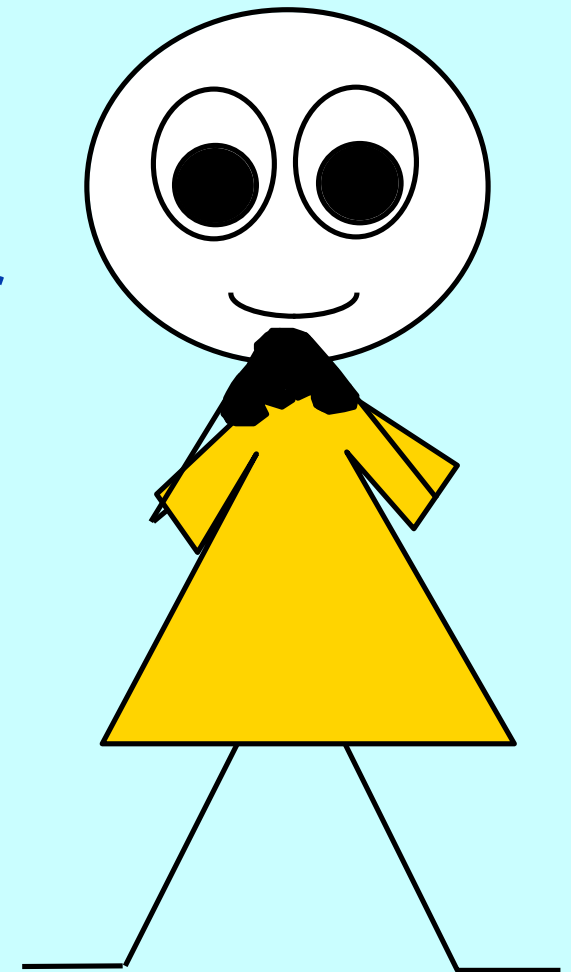
This presentation, on the other hand 😊😊😊, takes us on a journey that originates in the paper, explores Expectations and Responsibilities in your own context, and returns back to the paper to tie things together.

This presentation also offers an opportunity to participate, and to share your own experiences applying the Customer Effectiveness Model offered in the paper.

Expectations and Responsibilities

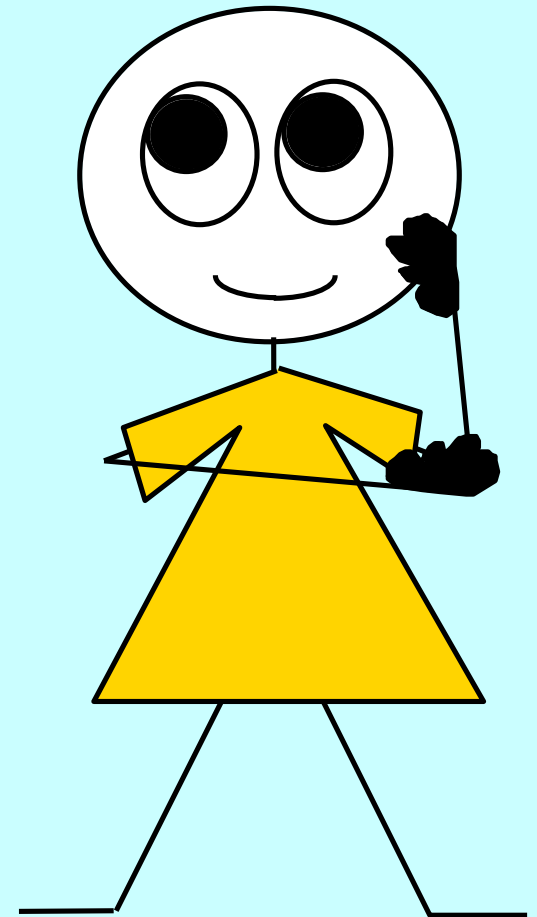
Acknowledgements

- I give thanks to Steve McConnell for documenting a "Customer's Bill of Rights"
- To Neal Brenner, Oracle, who provided feedback on an early draft of this paper
- To Bram van Oosterhout for entitling me to reset my expectations, and empowering me to exercise my responsibilities



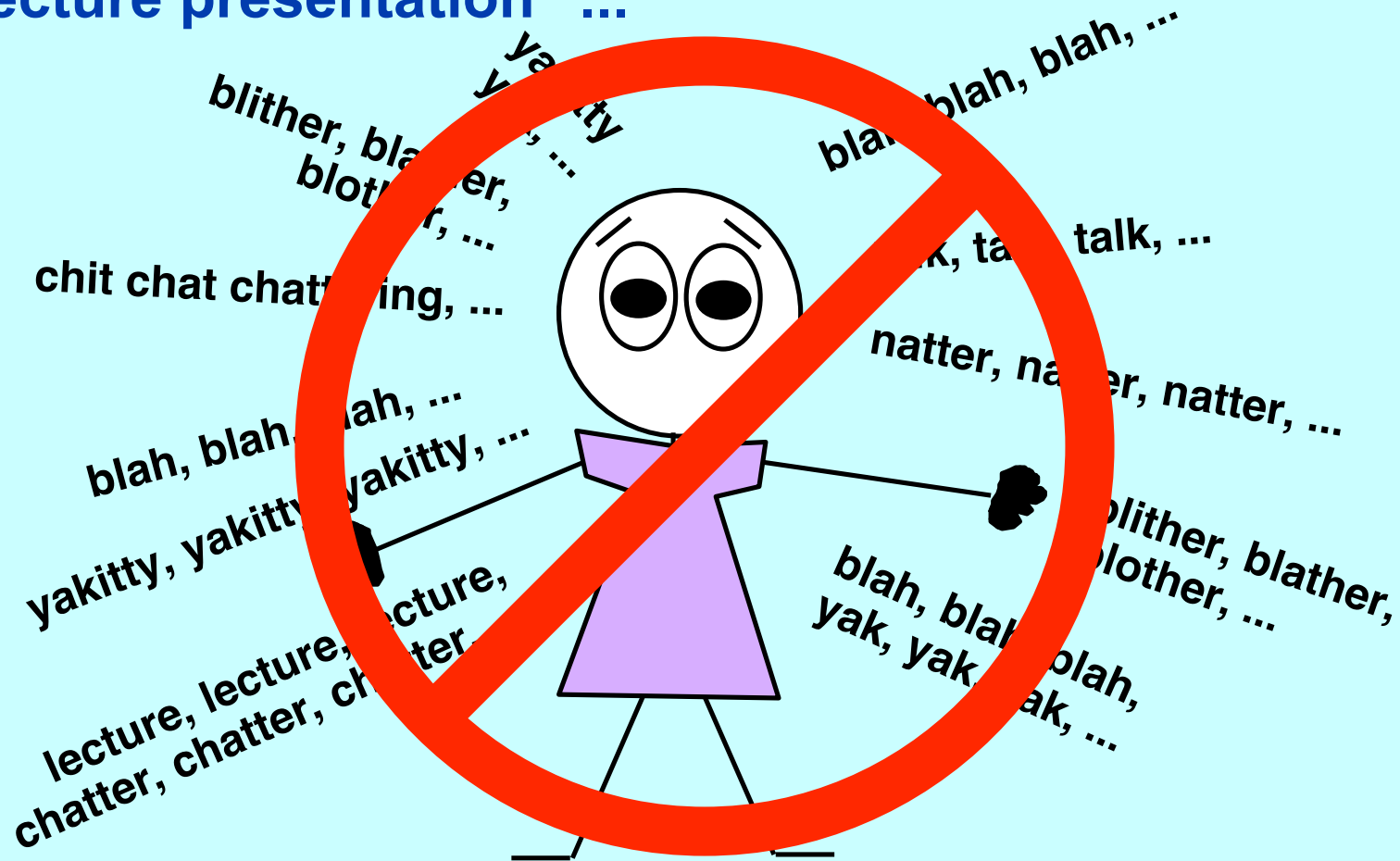
Objectives

- **During this presentation, we will:**
 - **Establish common definitions**
 - **Examine The Customer's Bill of Rights / Expectations**
 - **Explore the relationship between Expectations and Responsibilities, and create some Expectations and Responsibilities of our own**
 - **See and discuss the Customer Effectiveness Model - appraising Expectations and Responsibilities**
 - **Preview opportunities for collaboration**



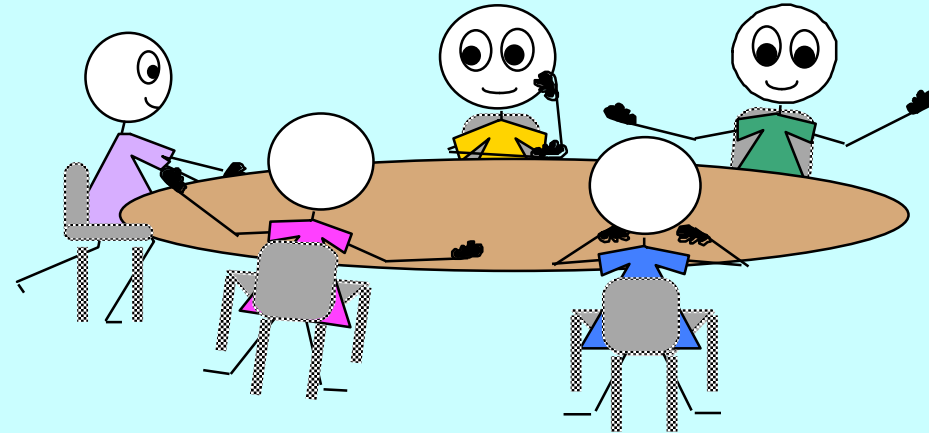
This presentation is not ...

- This presentation is not your "standard talking head lecture presentation" ...



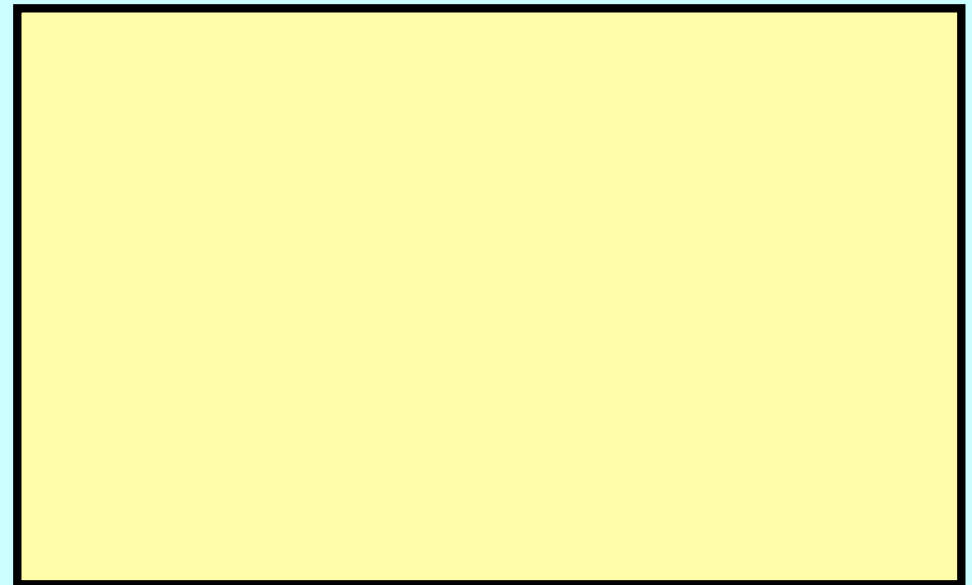
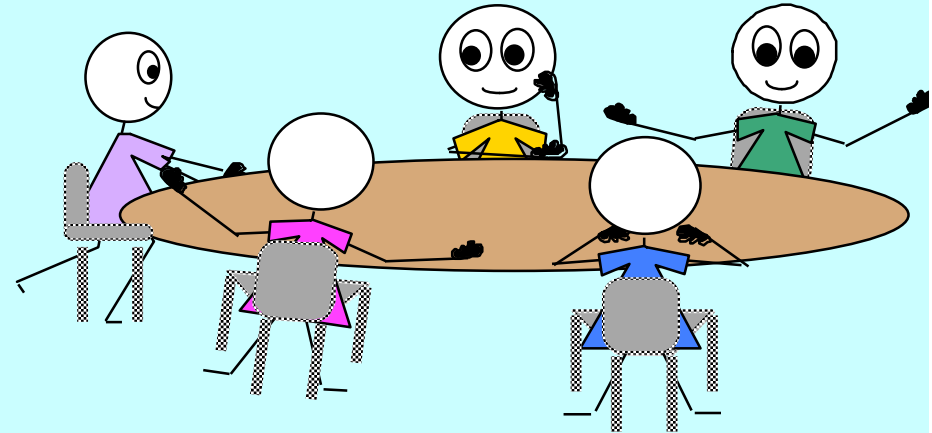
This presentation is ...

- This presentation is designed to be interactive
 - Its success depends on your participation
 - * And our group learning
 - + All of us, together



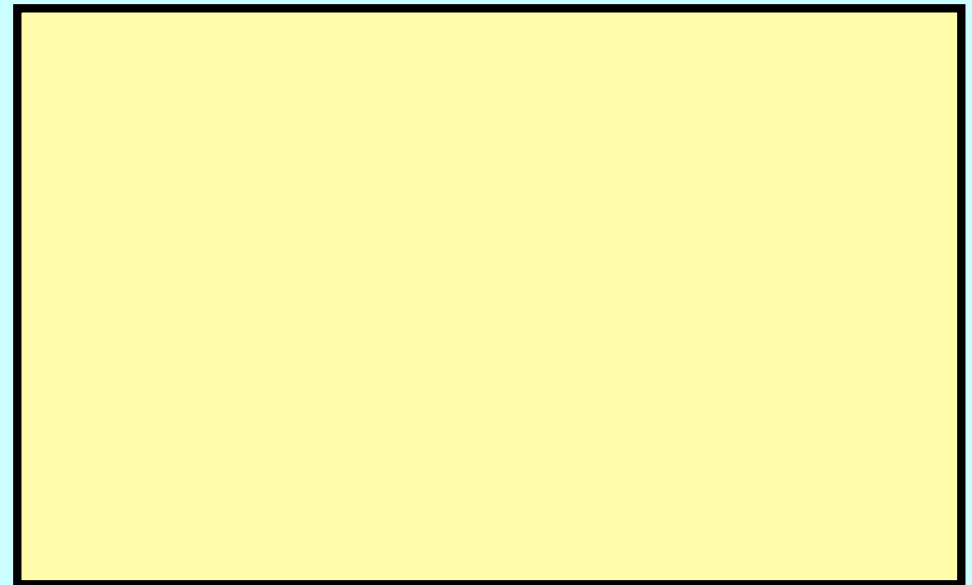
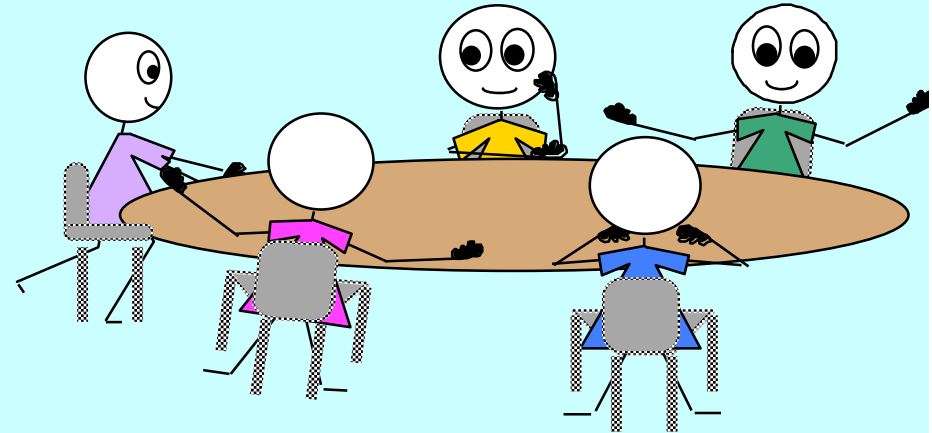
Discussion: "Rights" - Your Definition

- **Nature**
 - Explore your views of "rights"
- **Expectations**
 - List of your views
- **Agenda**
 - Write your definition of "rights"
(bullet points OK)
 - Share and discuss
- **Time**
 - (up to) **FIVE MINUTES**



Discussion: "Responsibilities" - Your Definition

- **Nature**
 - Explore your views of "responsibilities"
- **Expectations**
 - List of your views
- **Agenda**
 - Write your definition of "responsibilities"
(bullet points OK)
 - Share and discuss
- **Time**
 - (up to) FIVE MINUTES



Definitions for This Talk *

- **Right:**
 24. that which is ethically good and proper and in conformity with the moral law.
 25. that which accords with fact, reason, or propriety.
- **Responsibility:**
 1. the state or fact of being responsible.
- **Responsible:**
 1. answerable or accountable, as for something within one's power, control, or management.

[* The Macquarie Dictionary, 1991

Revised Definitions for This Talk

- **Right:**
 24. that which is ethically good and proper and in conformity with the moral law.
 25. that which accords with fact, reason, or propriety.
- **Expectation:**
 1. the act of expecting.
- **Expect:**
 1. to look forward to; regard as likely to happen; anticipate the occurrence or the coming of ...
 2. to look for with reason or justification ...
- **Responsibility:**
 1. the state or fact of being responsible.
- **Responsible:**
 1. answerable or accountable, as for something within one's power, control, or management.

[* The Macquarie Dictionary, 1991

In Other Words ...

- We must do something to meet "Expectations"
 - *"likely ... anticipate ... justification"*

In Other Words ...

- We must do something to meet "Expectations"
 - *"likely ... anticipate ... justification"*
- "Expectations" are bound with "Responsibilities"
 - *To increase likelihood of meeting and fulfilling*



In Other Words ...

- We must do something to meet "Expectations"

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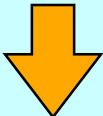

- "Expectations" are bound with "Responsibilities"

- *To increase likelihood of meeting and fulfilling*



- Without exercising faithfully one's "Responsibilities"

In Other Words ...

- We must do something to meet "Expectations"
 - *"likely ... anticipate ... justification"* 
- "Expectations" are bound with "Responsibilities"
 - *To increase likelihood of meeting and fulfilling* 
- Without exercising faithfully one's "Responsibilities" 
- One cannot reasonably expect to meet one's "Expectations"

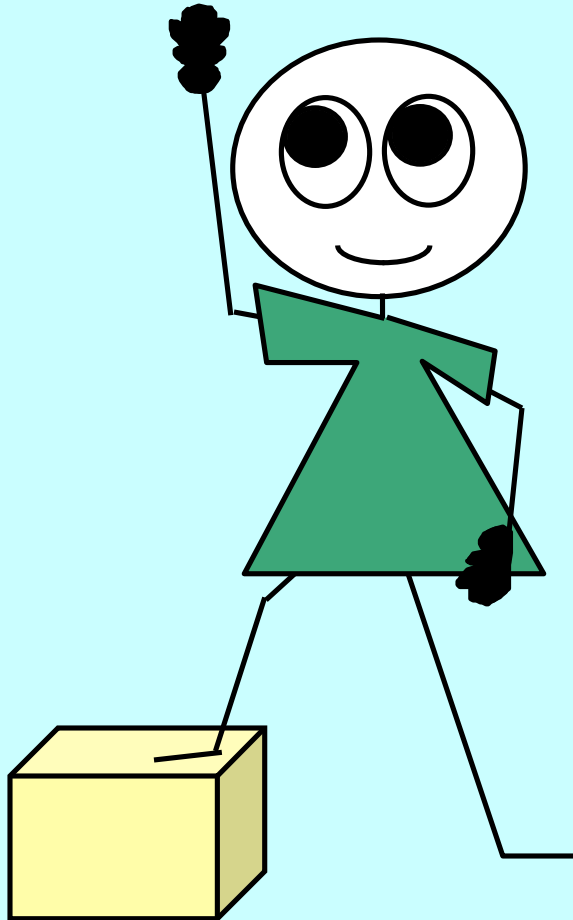
The Customer's Bill of "Rights"

[Steve McConnell, Software Project Survival Guide, 1998, Microsoft Press.]

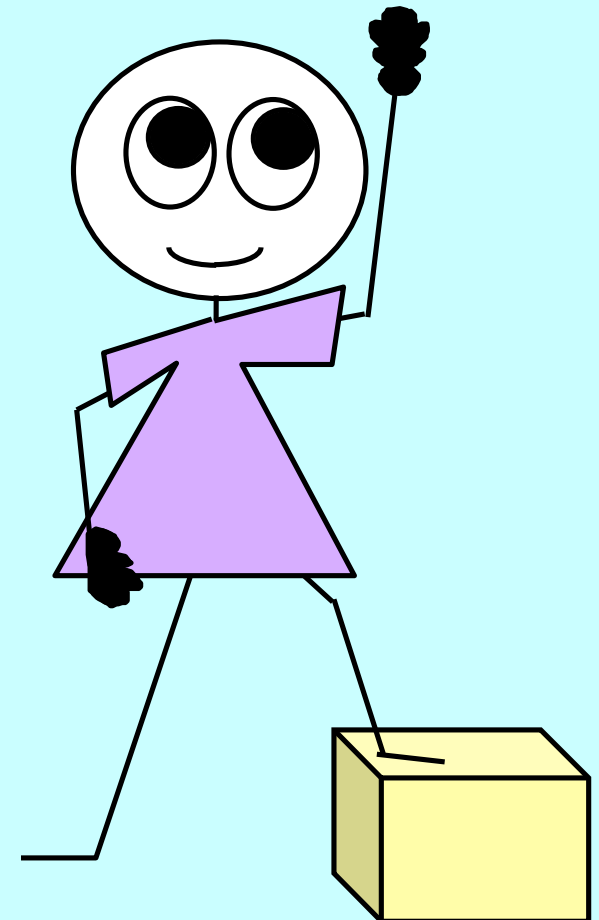
- (1) To set objectives for the project and have them followed**
- (2) To know how long the software project will take and how much it will cost**
- (3) To decide which features are in and which are out of the software**
- (4) To make reasonable changes to requirements throughout the course of the project and to know the costs of making those changes**
- (5) To know the project's status clearly and confidently**
- (6) To be apprised regularly of risks that could affect cost, schedule, or quality and to be provided with options for addressing potential problems**
- (7) To have ready access to project deliverables throughout the project**

How many believe these "Expectations" are ...

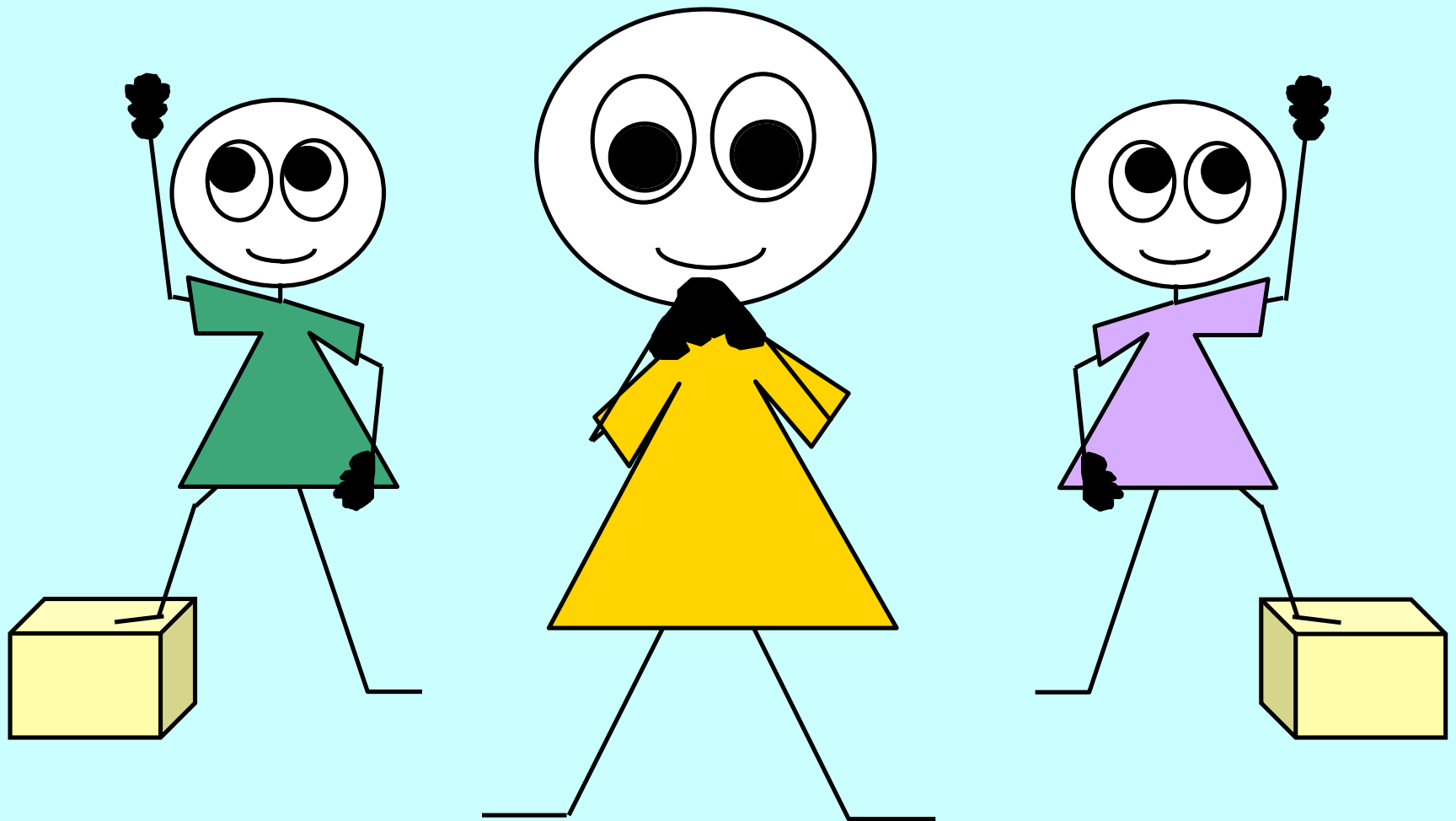
- Reasonable?



- Unreasonable?



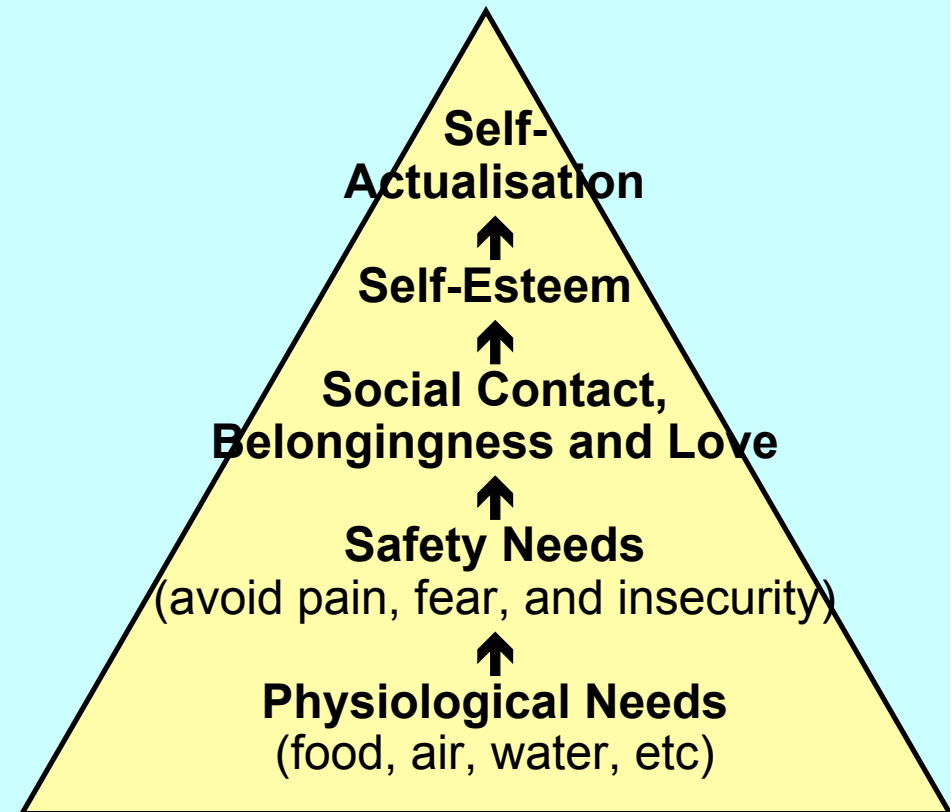
I assert these "Expectations" are ...



- **Good enough for a starting point for our discussion !!!**

McConnell's "Expectations": Background

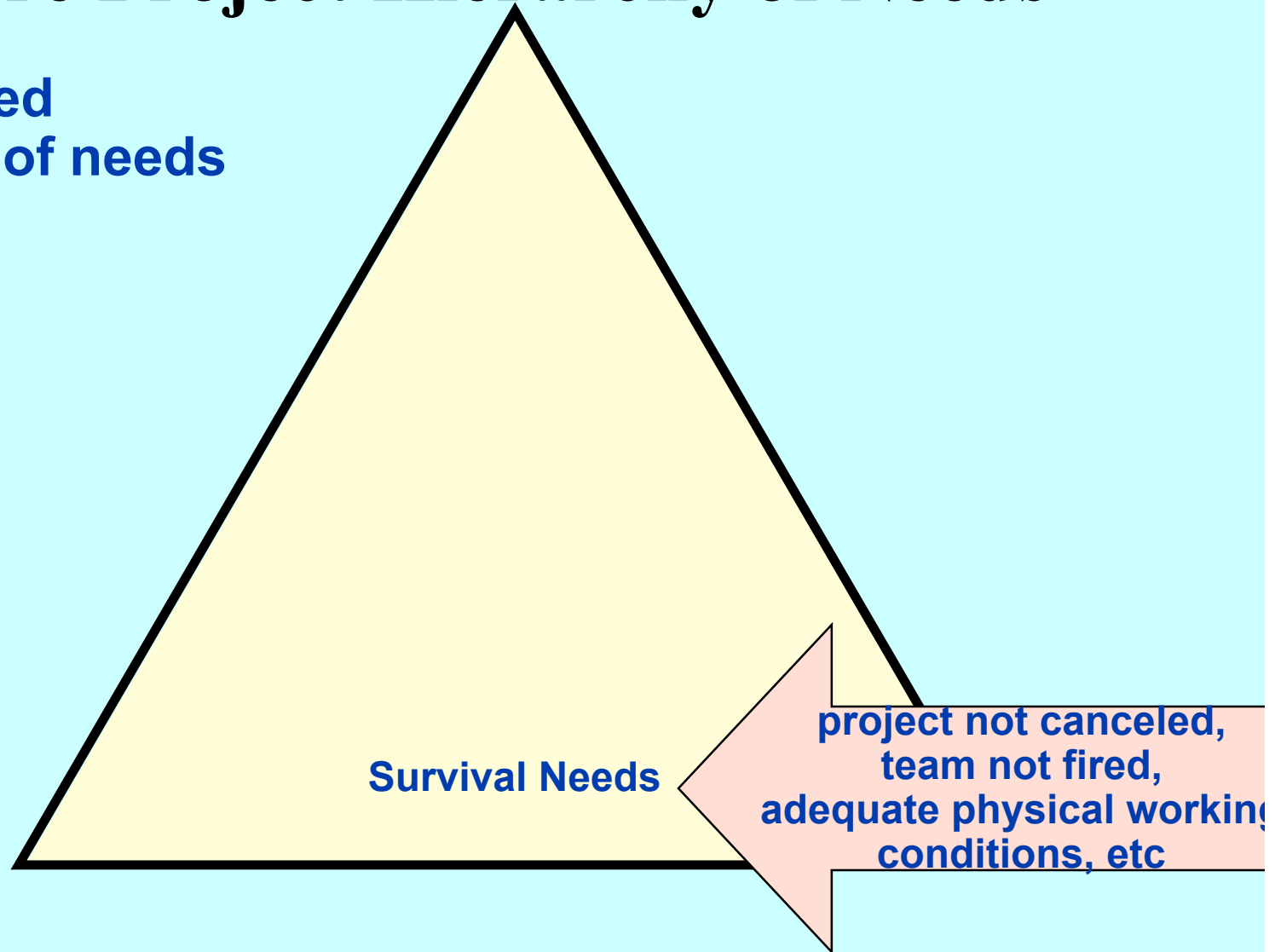
- "Survival needs"
 - Based on Maslow's Hierarchy of Needs [2]



[2] Robert A Baron, Donn Byrne, and Barry H Kantowitz
"Abraham Maslow observed" in *Psychology: Understanding Behavior*
1980, Holt, Rinehart and Winston
cited in: Steve McConnell, *Software Project Survival Guide*
1998, Microsoft Press

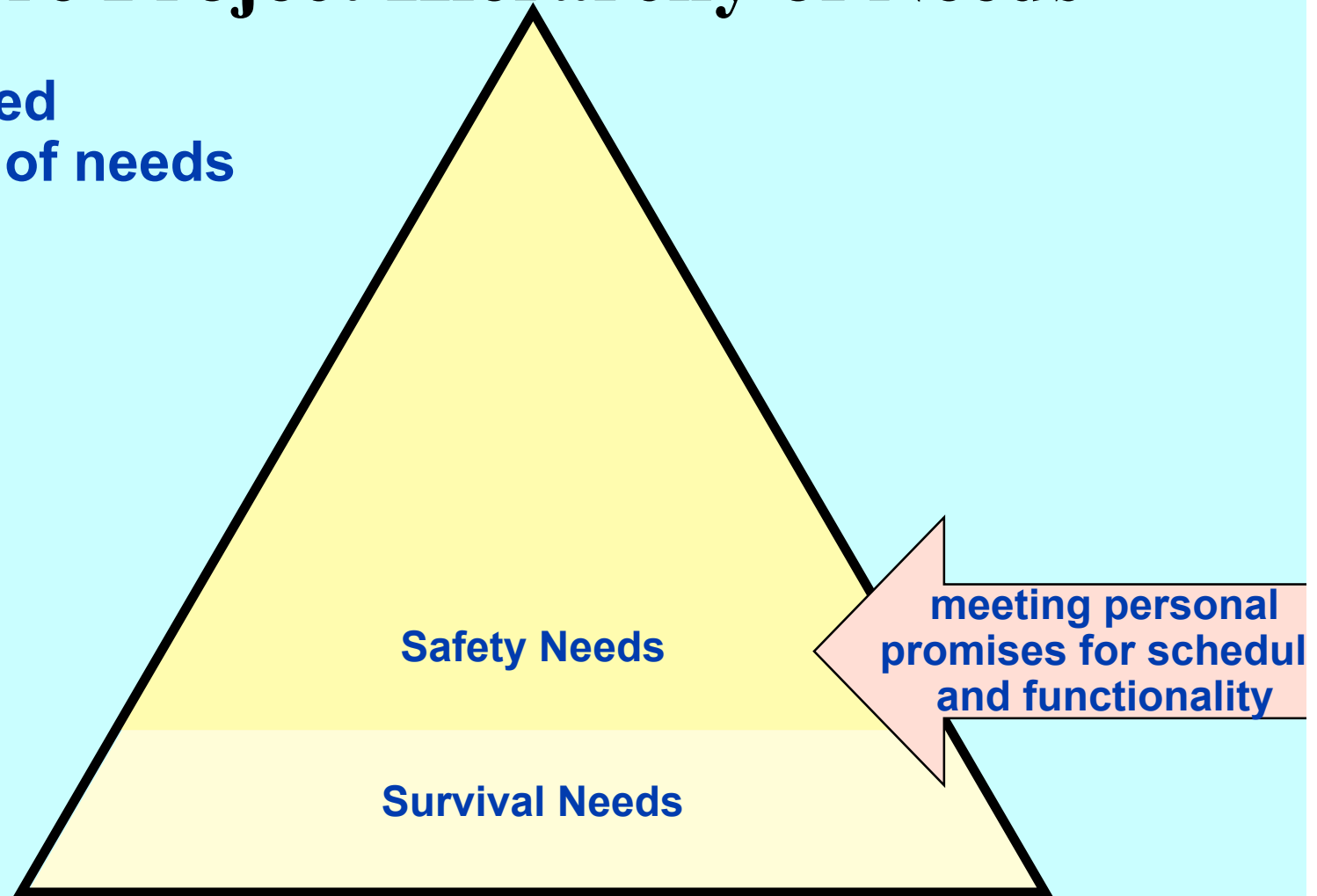
Software Project Hierarchy of Needs

- **Project-ised hierarchy of needs**



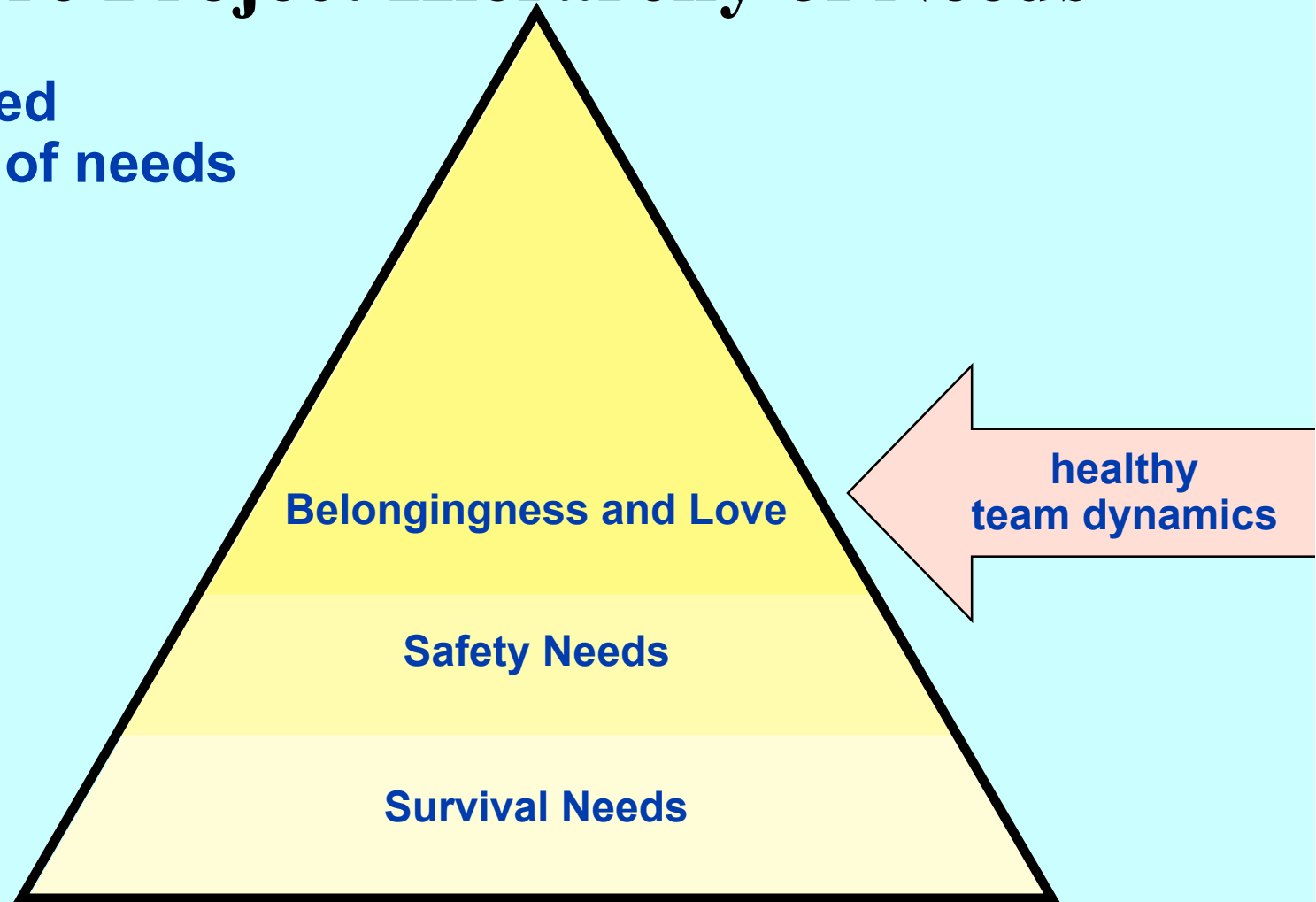
Software Project Hierarchy of Needs

- **Project-ised hierarchy of needs**



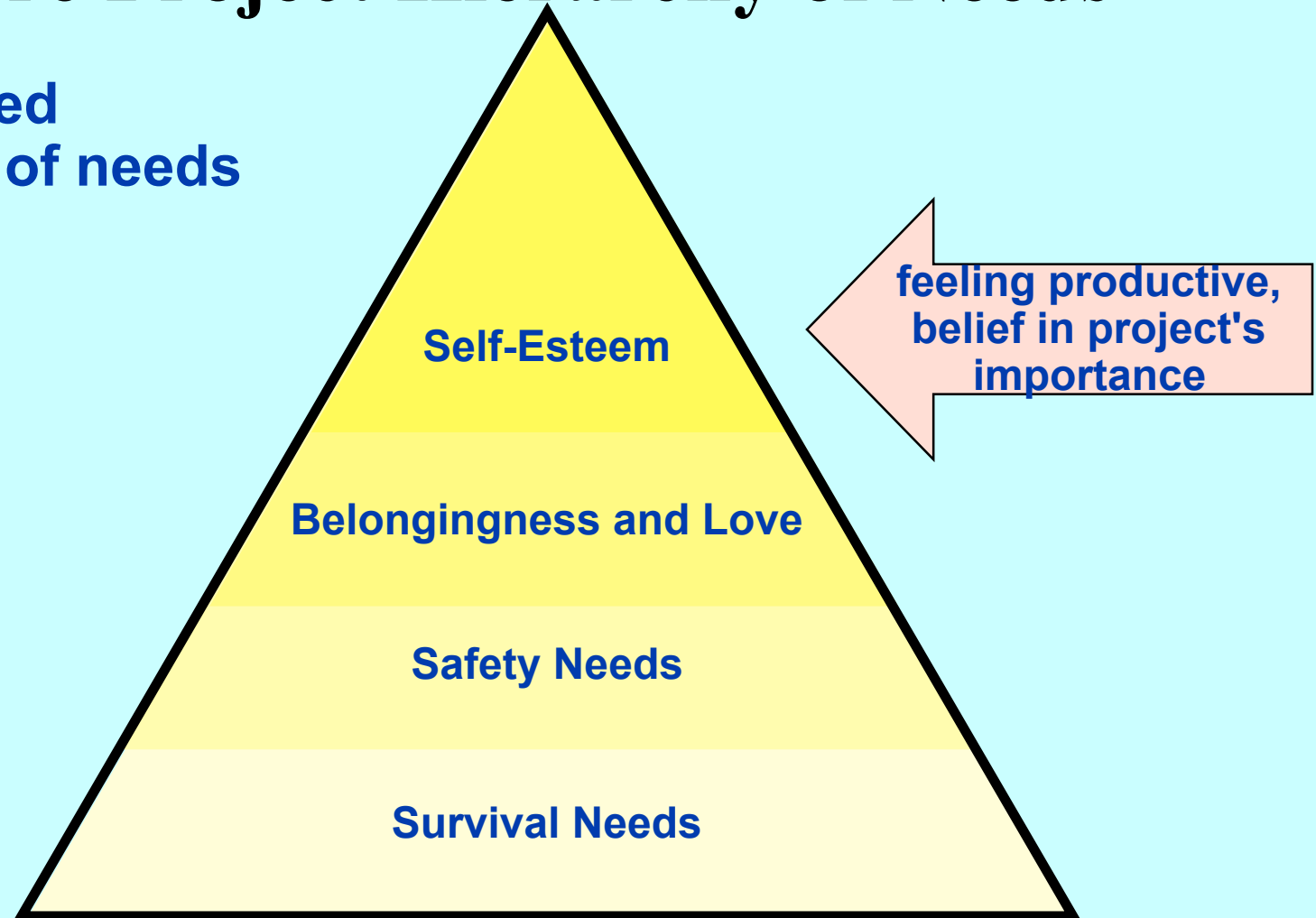
Software Project Hierarchy of Needs

- **Project-ised hierarchy of needs**



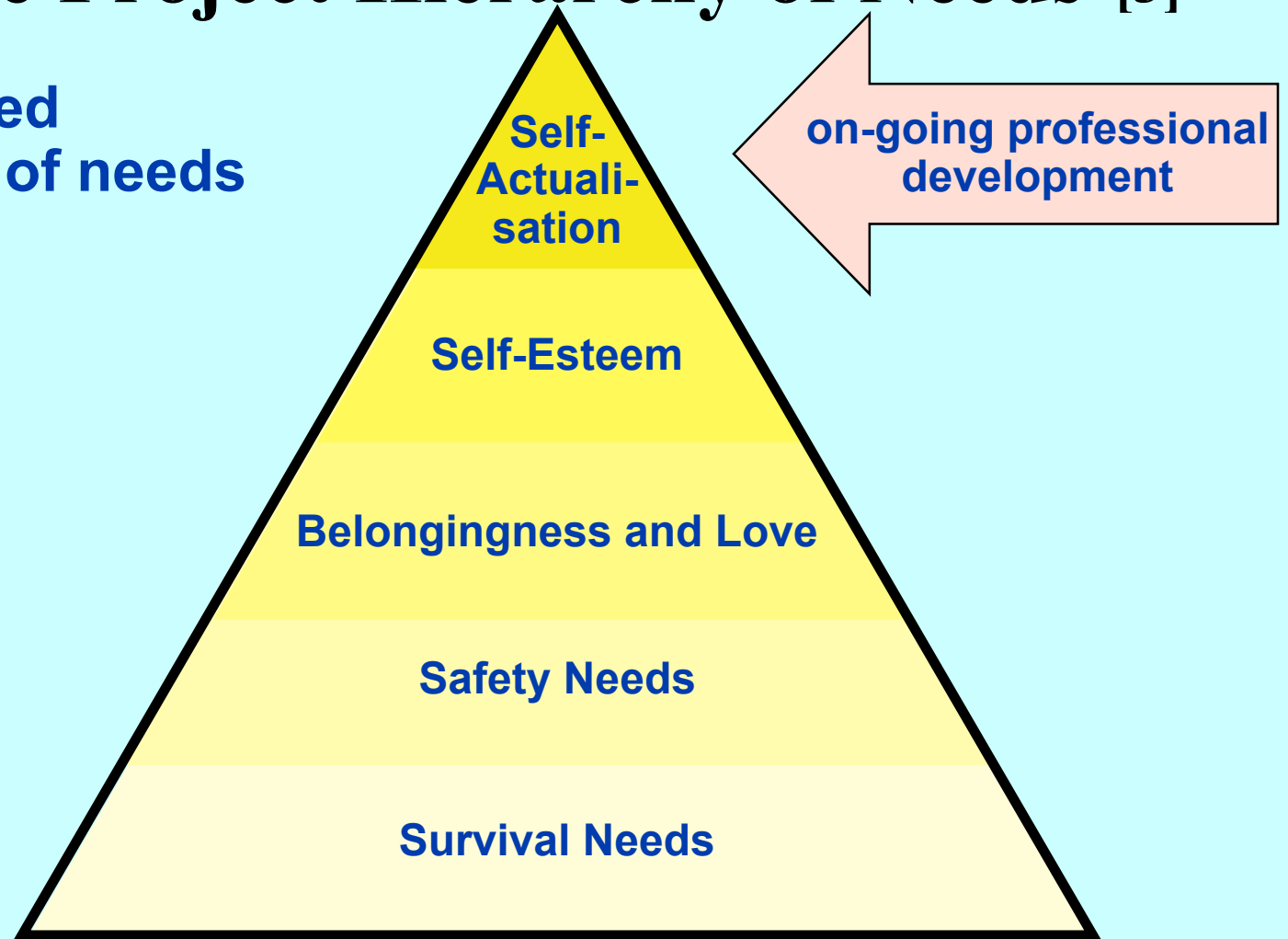
Software Project Hierarchy of Needs

- **Project-ised hierarchy of needs**



Software Project Hierarchy of Needs [3]

- **Project-ised hierarchy of needs**

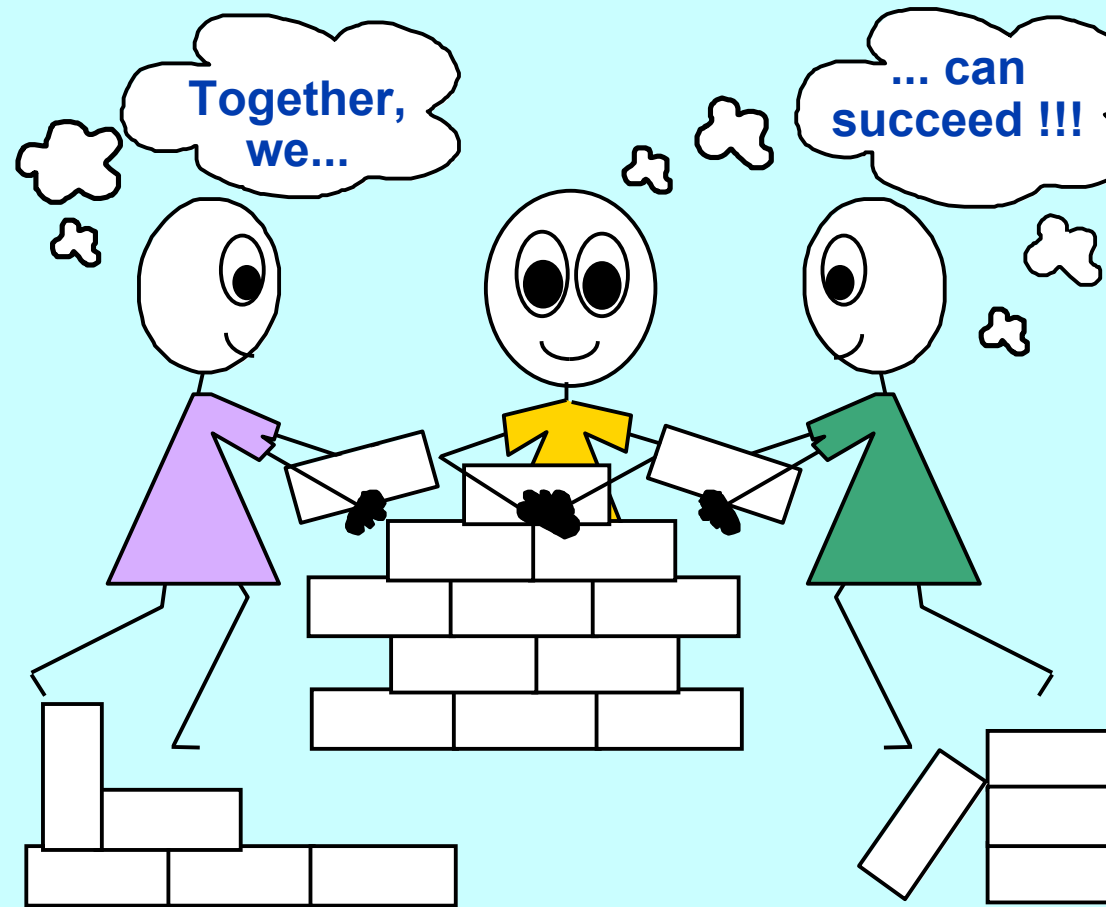


[3] Steve McConnell, *Software Project Survival Guide*
1998, Microsoft Press

The First Step ...

- "The first step toward project success is getting all parties to respect the rights [expectations] that make a successful project possible.

The second step is to conduct the project in such a way that each party's survival needs are thoroughly satisfied and none of the parties feels threatened." [4]



[4] Steve McConnell, *Software Project Survival Guide* 1998, Microsoft Press

The Customer's Bill of "Expectations"

[Steve McConnell, Software Project Survival Guide, 1998, Microsoft Press.]

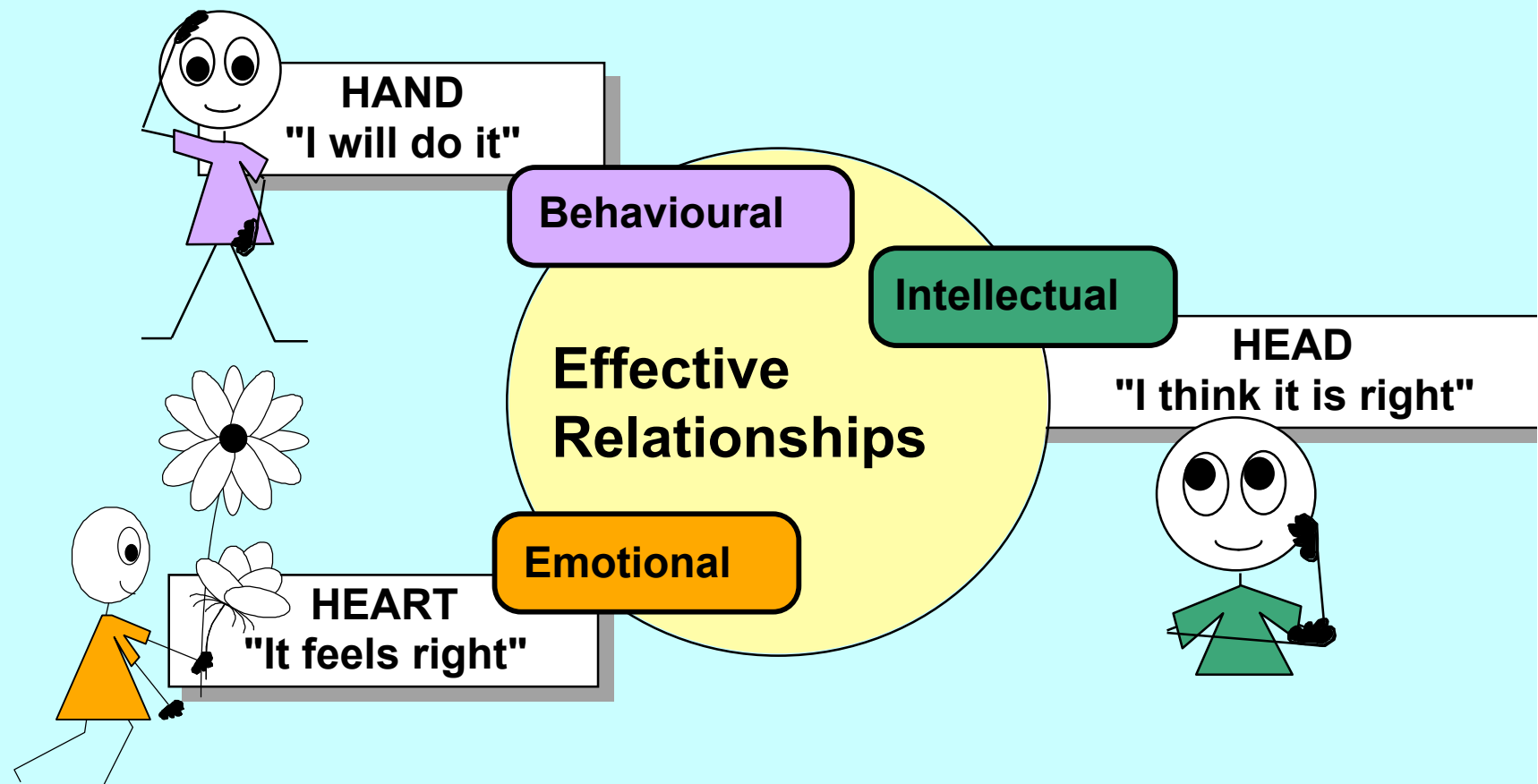
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- (7) To have ready access to project deliverables throughout the project

Why do these Expectations connect with me? (1)

- Are derived from basic "human relationship" models
 - And that resonates with me
- Set a framework for being "answerable" and "accountable"
 - And I believe being answerable and accountable are required in any relationship
 - * Myself
 - * My management (e.g., if I am procuring a system on their behalf)
 - * My users
 - * Those installing and servicing the software product / service
 - * The Project Team - this is the primary focus of the related paper
- Involve the "whole" person when fully satisfied
 - Both Customers and Suppliers

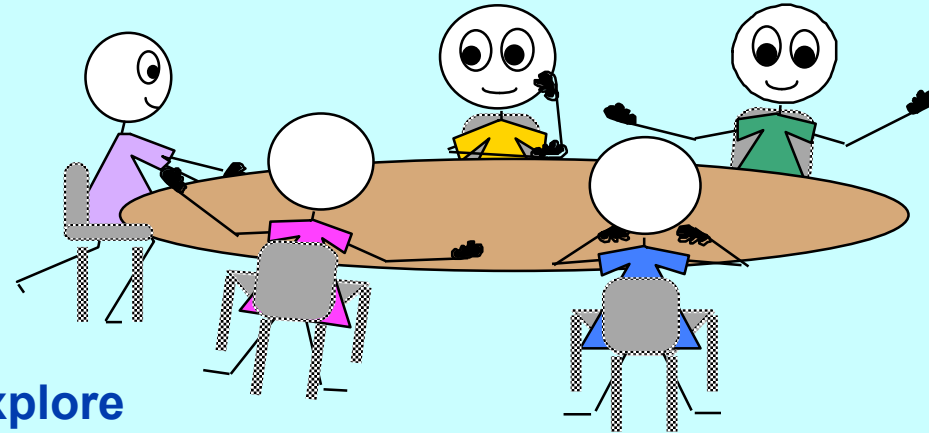
Why do these Expectations connect with me? (2)

- Capture the heart of the matter
 - And the head and the hand ...



Exercise: Identify An Expectation

- **Nature**
 - Select an Expectation you want to explore further
- **Expectations**
 - An Expectation you're willing to explore
- **Agenda**
 - Turn to your left, your right, behind you ... create a "group of three-to-five" for this exercise
 - Continue with Agenda on next page
- **Time**
 - (no more than) **FIVE MINUTES**



Exercise:

Identify An Expectation: Agenda

- **Agenda**

- Indicate if you are from:

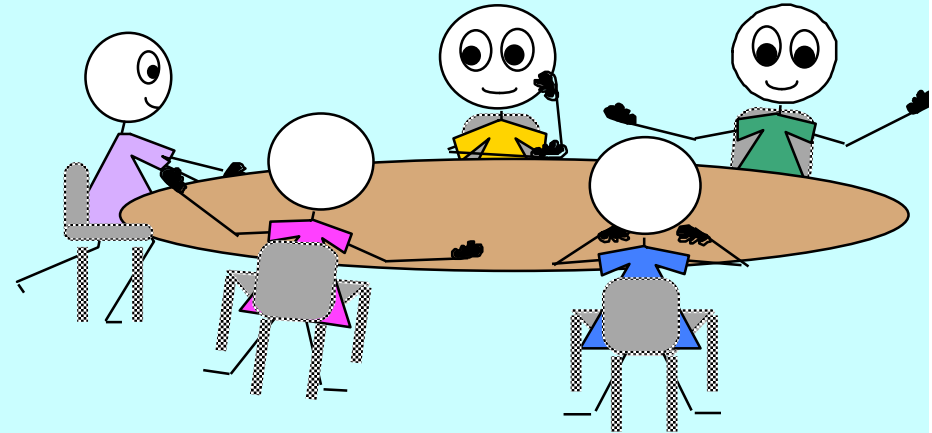
- * Academia?
- * Industry?
- * Government?
- * Other? (Where?!)

- For those primarily from Academia:

- * Take one Expectation and tailor it to your academic context *OR*
Add one Expectation that's not there, that should be there in an academic context
(Hint: Consider how well "project" translates to unit / research")

- For others:

- * Identify one Expectation you believe a Project Team has
(Hint: Some Project Team Expectations may be reflections of Customer Expectations)



The Customer's Bill of "Expectations"

[Steve McConnell, Software Project Survival Guide, 1998, Microsoft Press.]

- (1) To set objectives for the project and have them followed
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Expectations and Responsibilities

(excerpt from the Paper)

Responsibilities for Expectation (3)

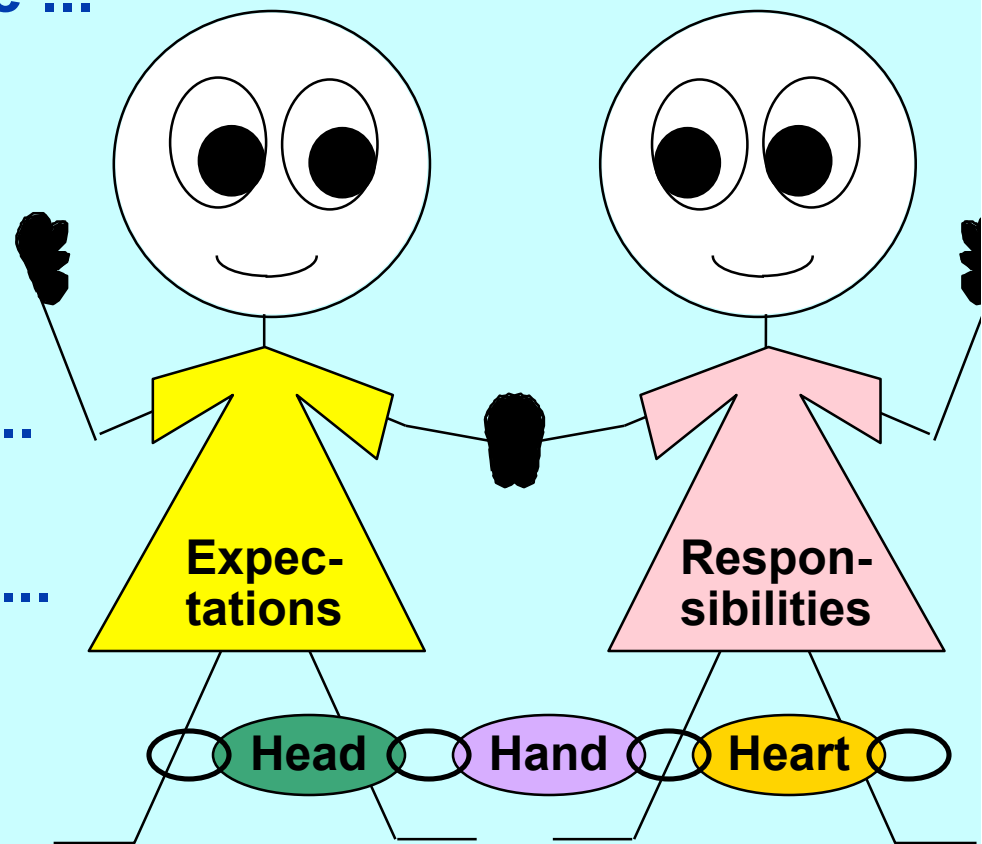
To decide which features are in and which are out of the software

As a responsible Customer, to ensure that my expectations are met, I must:

- **Be as clear as possible about the project objectives (see Responsibilities (1))**
- **Make decisions with knowledge and conviction, and stick to those decisions, unless something changes significantly and causes a re-visit of that decision**
- **Accept responsibility for the decisions I make (e.g., do not blame the Project Team)**
- **Accept the impacts of decisions I make, when determining what features to include and the priorities of those features (e.g., perhaps a cost or schedule increase), and what features to defer / drop (e.g., perhaps some unhappy users)**
- **Remain flexible; I may not be the only Customer the Project Team is serving, nor the highest priority Customer**
- **Represent the needs of all stakeholders fairly, versus just focusing on my pet features**
- **Understand how the features enable achieving business benefits, and ensure they remain consistent**
- **Understand how the features support the project objectives, and ensure they remain consistent**

Expectations and Responsibilities

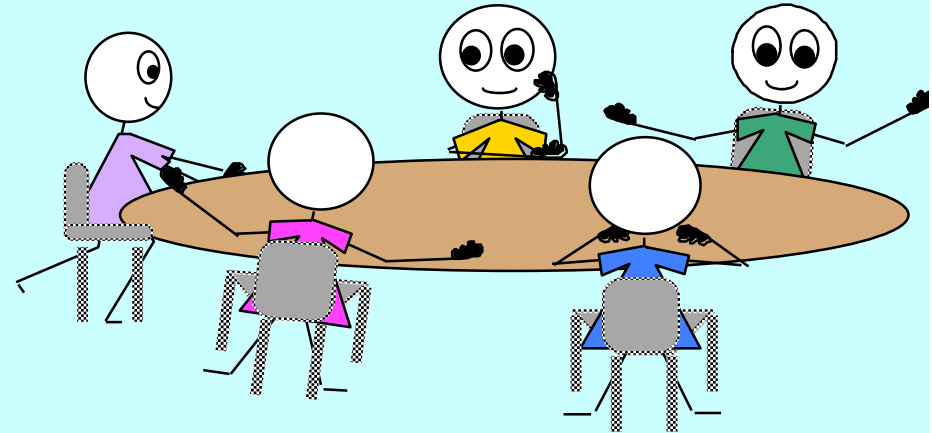
- "Here is what I / we must do ...
... here are the
Responsibilities I / we have ...
- ... in order to meet this
Expectation ...
... or to increase the
likelihood of meeting it ...
... or to *justify why this*
Expectation can be met ...
... or to support
anticipation of meeting
this Expectation"



Exercise:

Your Turn: Identify Responsibilities

- **Nature**
 - Identify several Responsibilities for the Expectation you selected to explore further
- **Expectations**
 - A list of Responsibilities for your selected Expectation
- **Agenda**
 - Return to your "group of three-to-five"
 - Continue with Agenda on next page
- **Time**
 - (no more than) FIFTEEN MINUTES (work); (no more than) FIFTEEN MINUTES (discussion)



Exercise:

Your Turn: Identify Responsibilities: Agenda

- **Agenda**

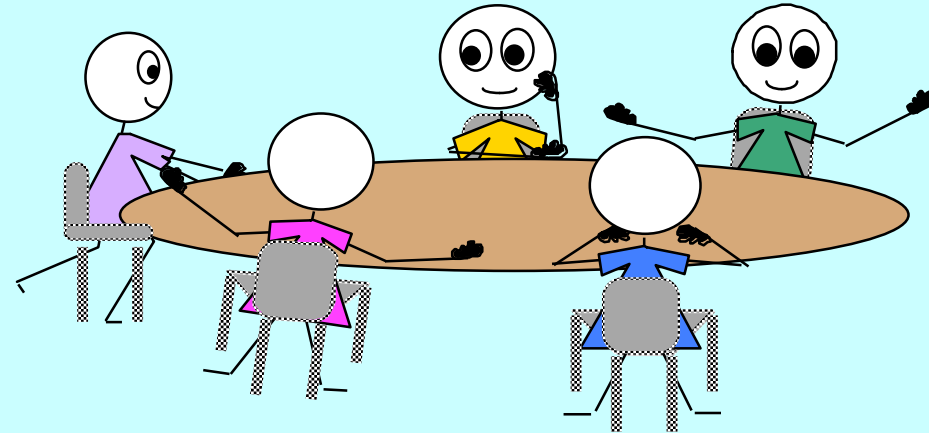
- **Consider: What Responsibilities do you / your team have to:**

- * **Meet your selected Expectation?**
- * **Increase the likelihood of meeting it?**
- * **Justify why this Expectation can be met?**
- * **Support anticipation of meeting this Expectation?**

- **Remember to consider Hand (behavioural), Head (intellectual), and Heart (emotional) dimensions when writing Responsibilities**

- **Record your answers as bullet points**

- **Discuss results**



Example (selected Responsibilities): Head, Hand, Heart

Responsibilities for Expectation (3)

To decide which features are in and which are out of the software

- Make decisions with knowledge and conviction, and stick to those decisions, unless something changes significantly and causes a re-visit of that decision
- Accept responsibility for the decisions I make (e.g., do not blame the Project Team)
- Accept the impacts of decisions I make, when determining what features to include and the priorities of those features (e.g., perhaps a cost or schedule increase), and what features to defer / drop (e.g., perhaps some unhappy users)
- Represent the needs of all stakeholders fairly, versus just focusing on my pet features
- Understand how the features support the project objectives, and ensure they remain consistent

intellectual

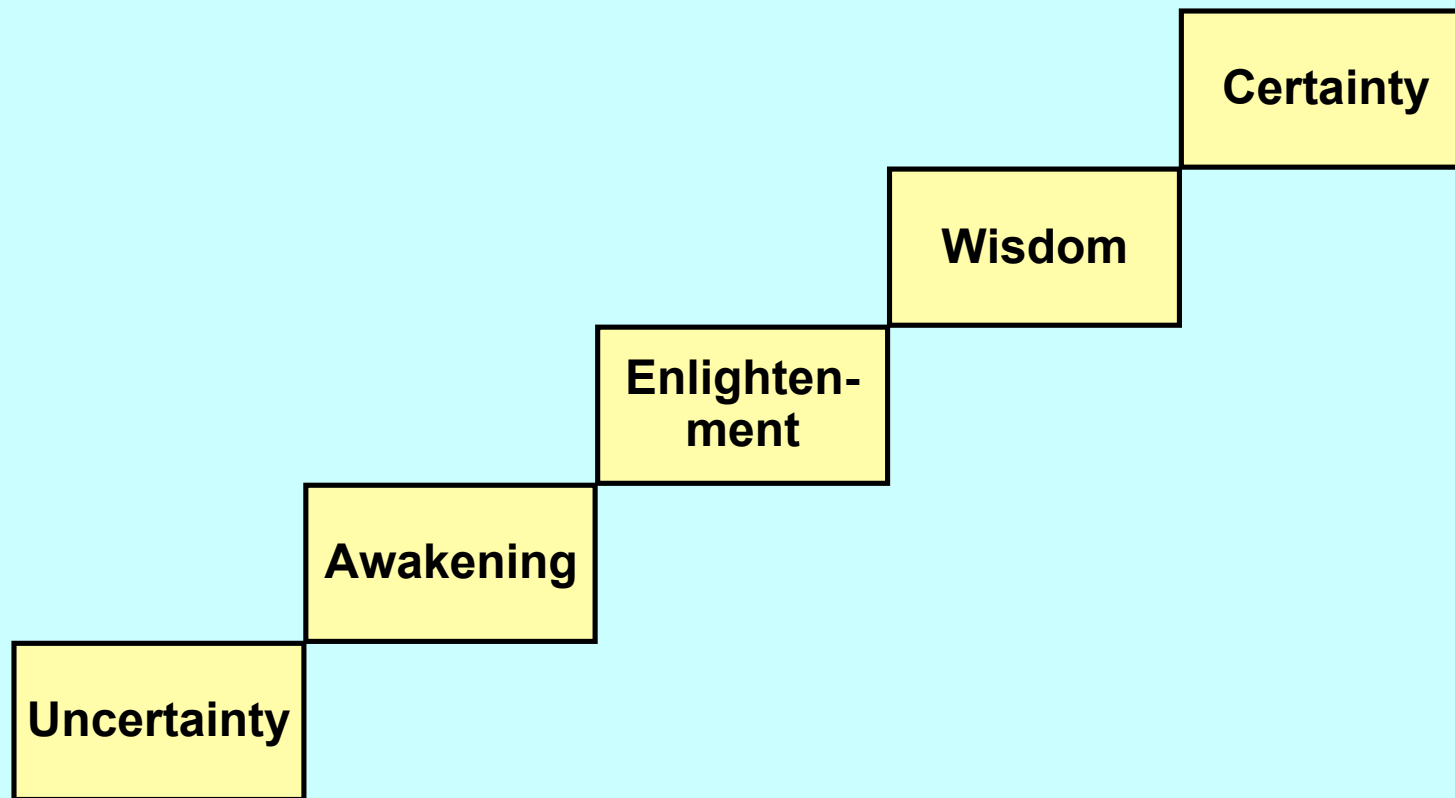
behavioural

emotional



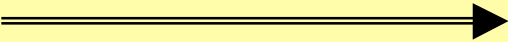
Customer Effectiveness Model

- Used to "rate" our actual performance against Responsibilities ...
 - Linked to likelihood of meeting Expectations



Customer Effectiveness Model: Background

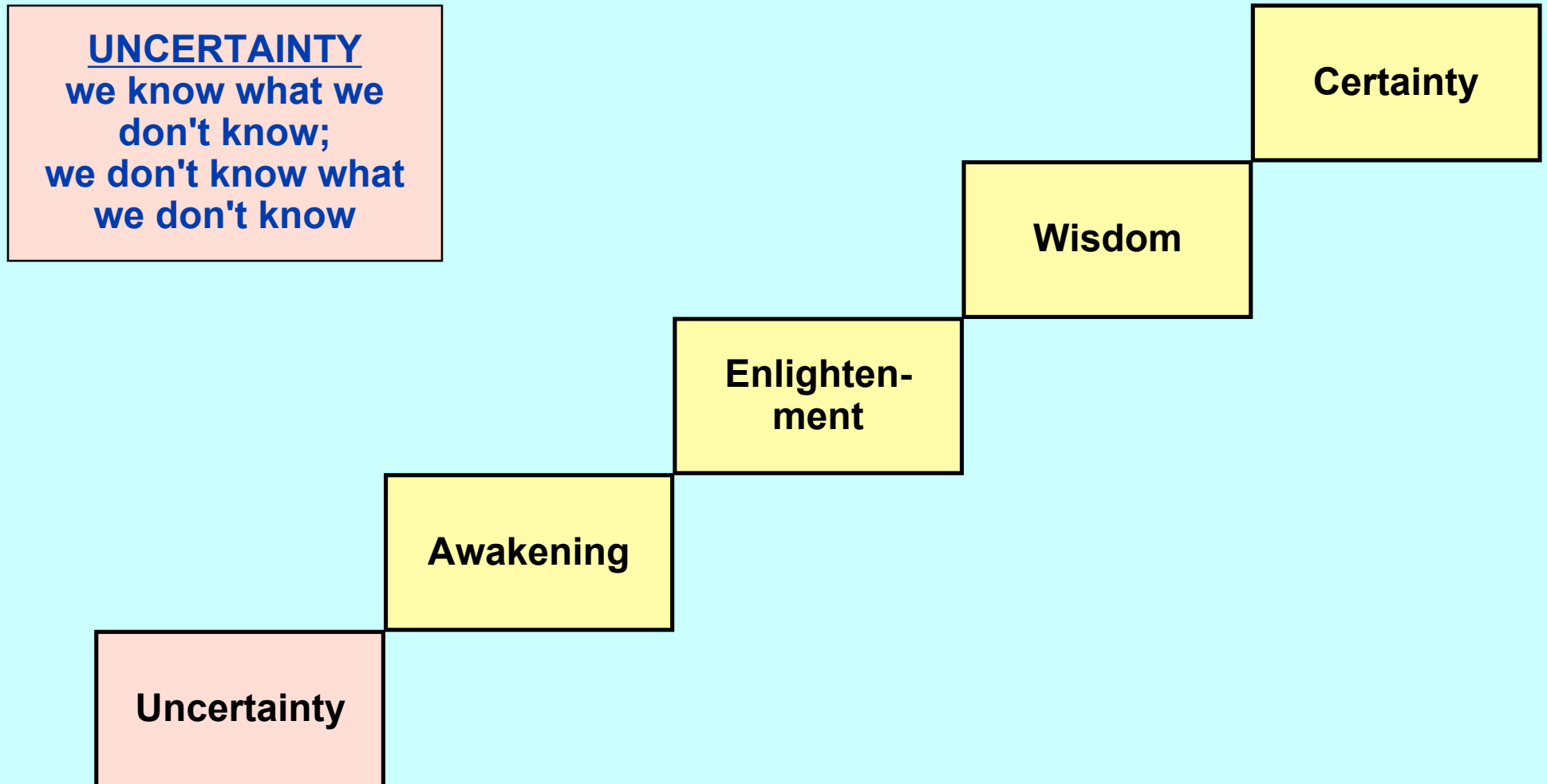
- Leverages the "Quality Maturity Grid" of quality guru Phil Crosby [5]

Stages of Maturity 

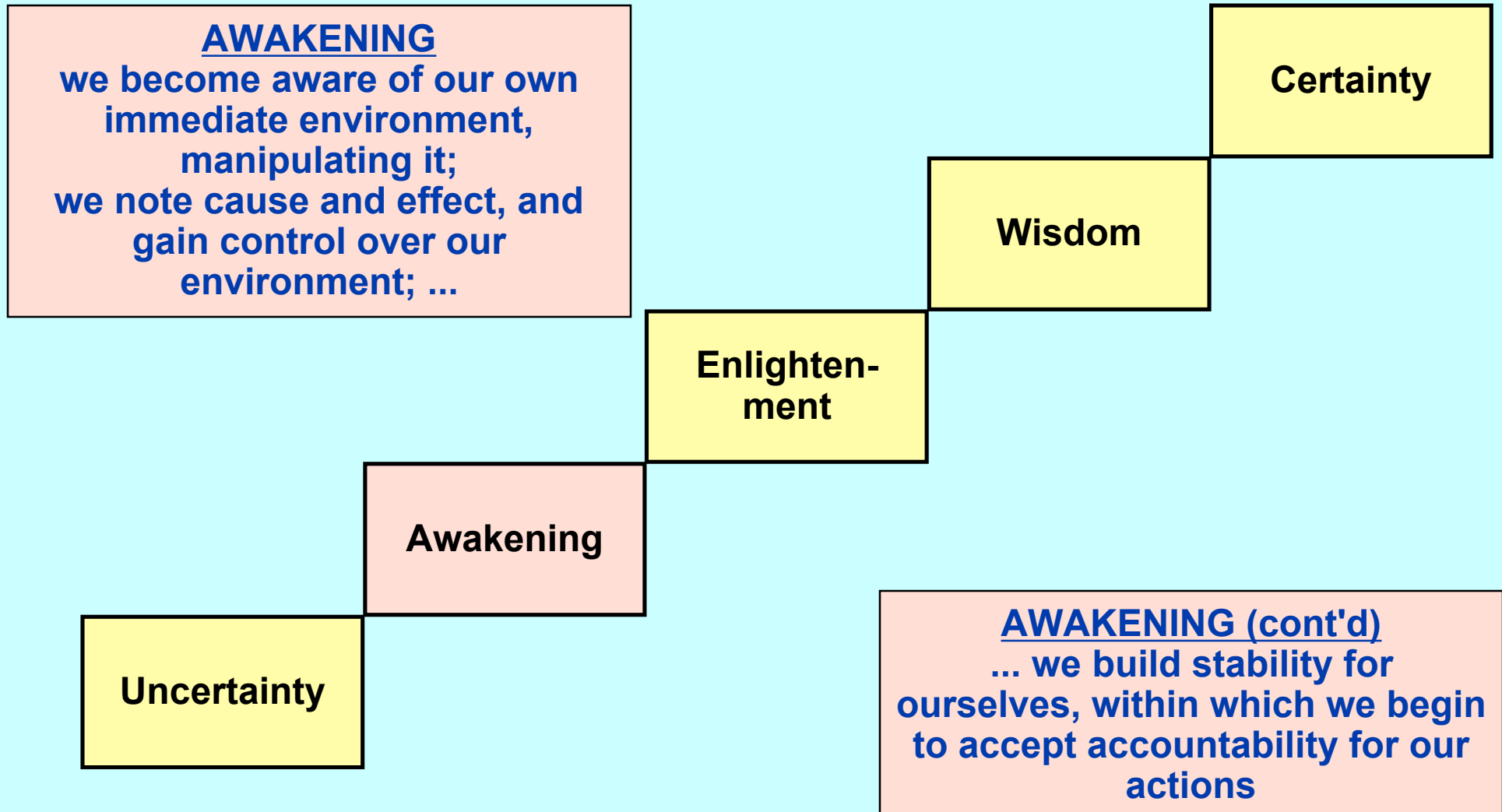
	Uncertainty	Awakening	Enlightenment	Wisdom	Certainty
Behavior	Management understanding and attitude				
	Quality organization status				
	Problem handling				
	Cost of quality as % of sales				
	Quality improvement actions				
	Summation of company quality posture				

[5] Phil Crosby, *Quality is Free*, 1979, McGraw-Hill Inc

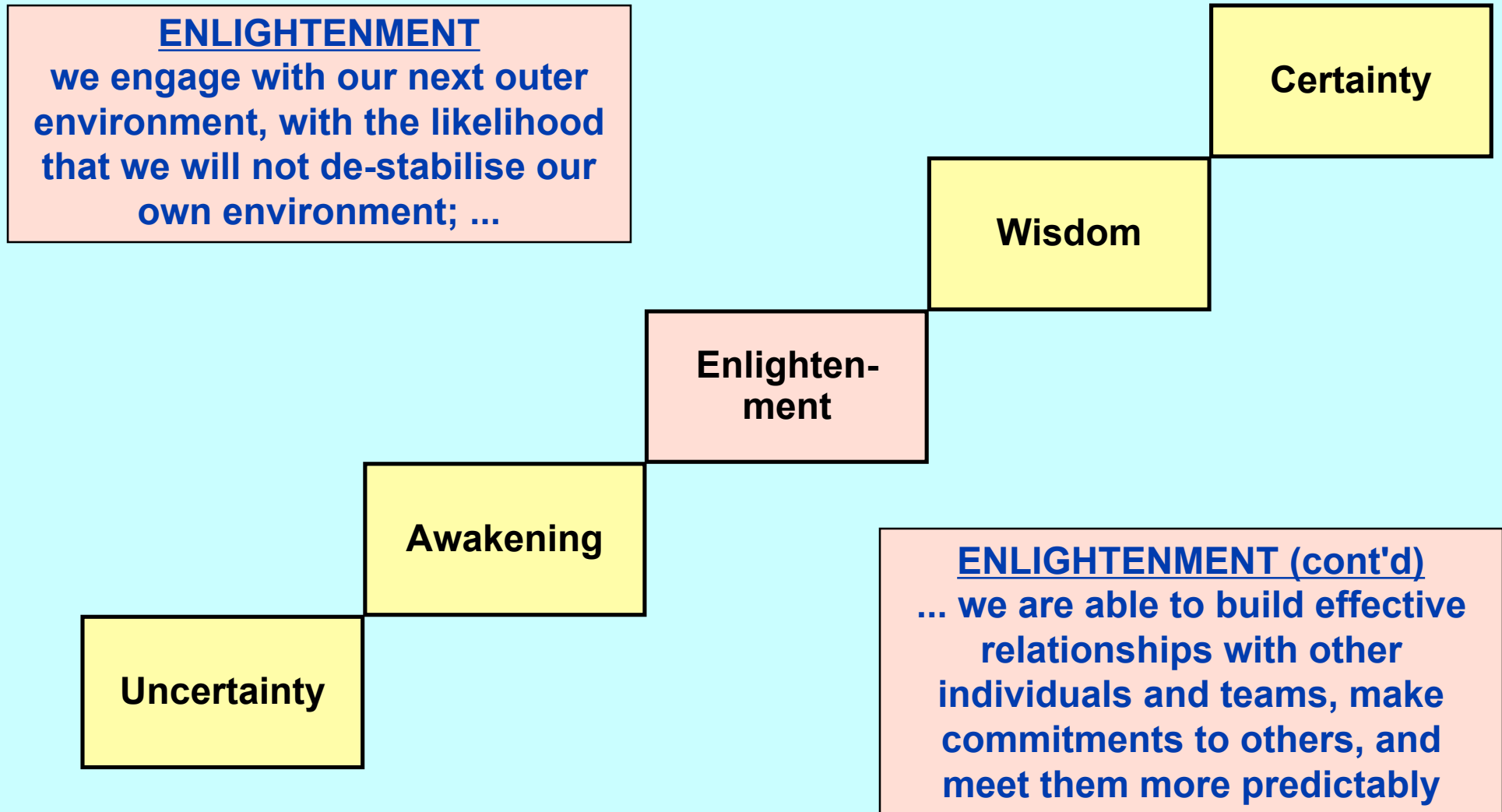
Customer Effectiveness Model: Explanation



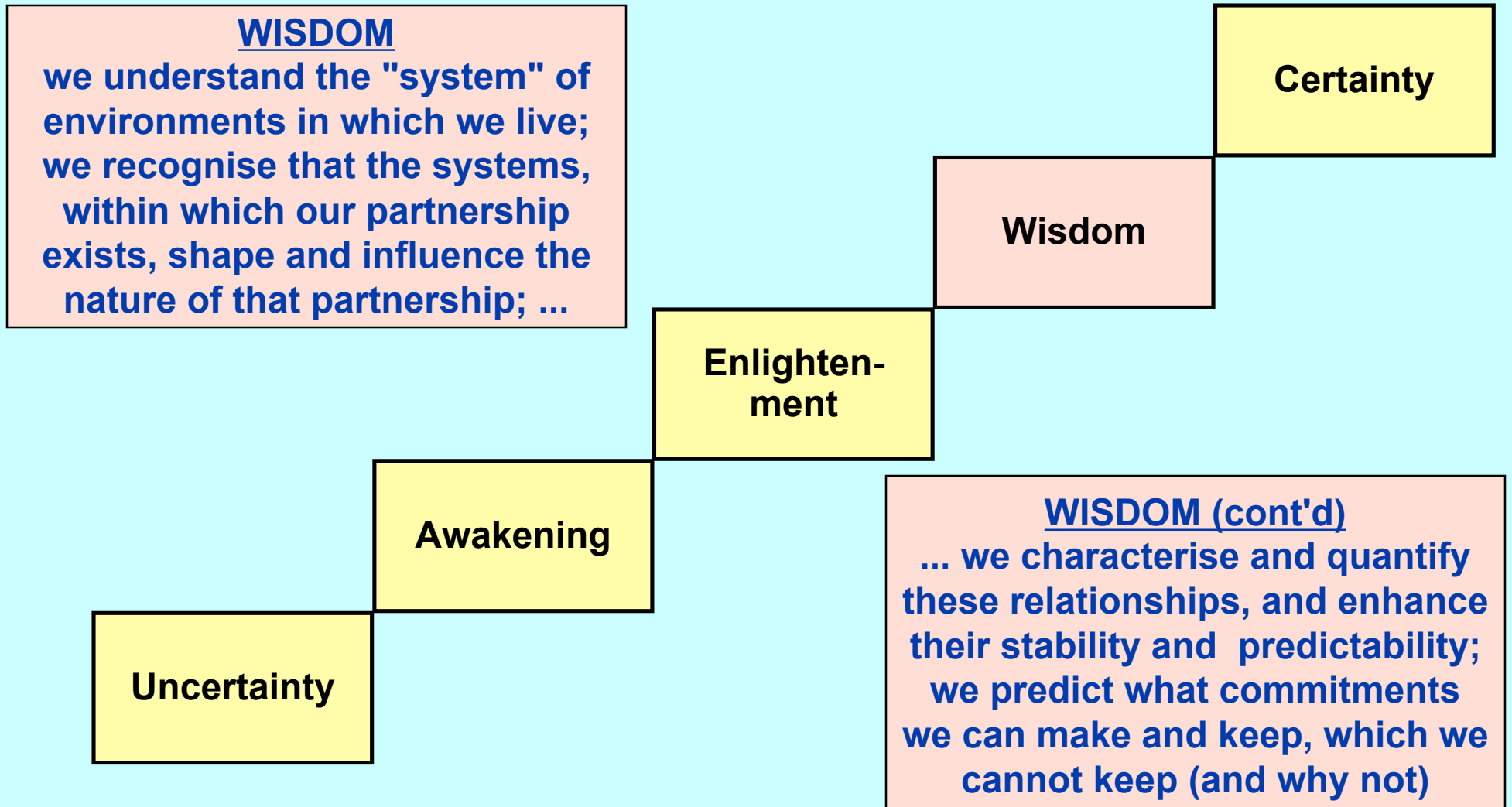
Customer Effectiveness Model: Explanation



Customer Effectiveness Model: Explanation



Customer Effectiveness Model: Explanation



Customer Effectiveness Model: Explanation



Rating Customer Effectiveness

- For each Expectation ...
 - For each Responsibility for that Expectation ...
 - * Rate the "effectiveness" using the framework in the Customer Effectiveness Model
 - * Determine the "overall Responsibility rating"
 - Determine the "overall Expectation rating"
- Answer a few key questions:
 - Do these ratings "make sense"?
 - * What surprises need to be addressed?
 - Would I stake my professional reputation on these ratings?
Or do I need more information before committing?

Example (selected Responsibilities): Rating Customer Effectiveness

Responsibilities for Expectation (3)

To decide which features are in and which are out of the software

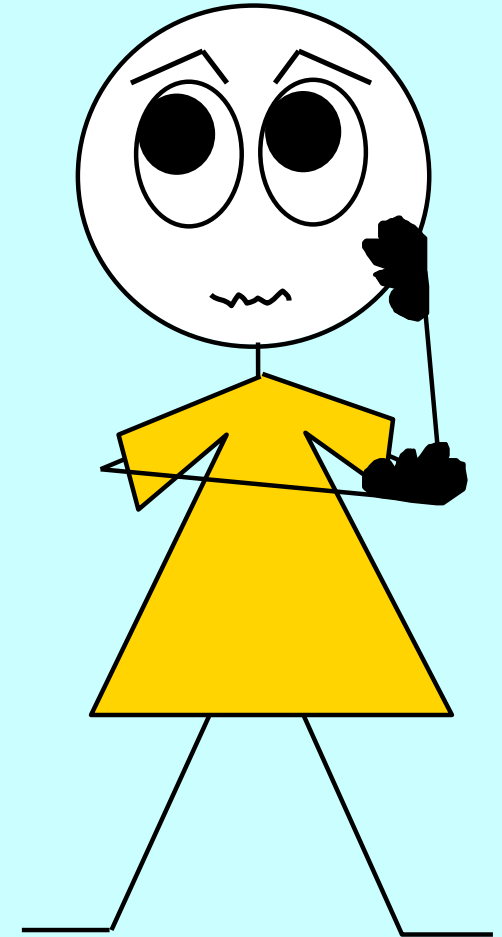
<ul style="list-style-type: none"> • Make decisions with knowledge and conviction, and stick to those decisions, unless something changes significantly and causes a re-visit of that decision 	<p>AW</p>
<ul style="list-style-type: none"> • Accept responsibility for the decisions I make (e.g., do not blame the Project Team) 	<p>EN we review, approve, record changes for all stakeholders, proposal to completion</p>
<ul style="list-style-type: none"> • Accept the impacts of decisions I make, when determining what features to include and the priorities of those features (e.g., perhaps a cost or schedule increase), and what features to defer / drop (e.g., perhaps some unhappy users) 	<p>AW we need work here; we push too much to supplier</p>
<ul style="list-style-type: none"> • Represent the needs of all stakeholders fairly, versus just focusing on my pet features 	<p>AW we argue some points and dispute supplier's data and results, even though our data aren't that good (related to previous)</p>
<ul style="list-style-type: none"> • Understand how the features support the project objectives, and ensure they remain consistent 	<p>UN we advocate needs most politically expedient for us</p>
<ul style="list-style-type: none"> • Understand how the features support the project objectives, and ensure they remain consistent 	<p>EN all features are subject to a "benefit to project" test; used to establish priorities; available to all stakeholders</p>

Using Customer Effectiveness Ratings

- **Can I justify these ratings, if asked?**
 - Can I support them with objective evidence, as well as anecdotal information?
- **Will I use these ratings for improvement (versus punishment)?**
 - Or is this just another interesting intellectual exercise?
- **Am I willing to accept responsibility - and accountability - for ratings affecting me?**
 - Or will I duck, avoid responsibility, sprinkle blame elsewhere?
- **Am I willing to take actions to improve things ...**
 - ... including improving some of "my" things?
- **Would presenting this information do more good than harm (versus more harm than good?)**

If not "YES" ...

- If not "YES" to all the previous questions ...



If not "YES" ...

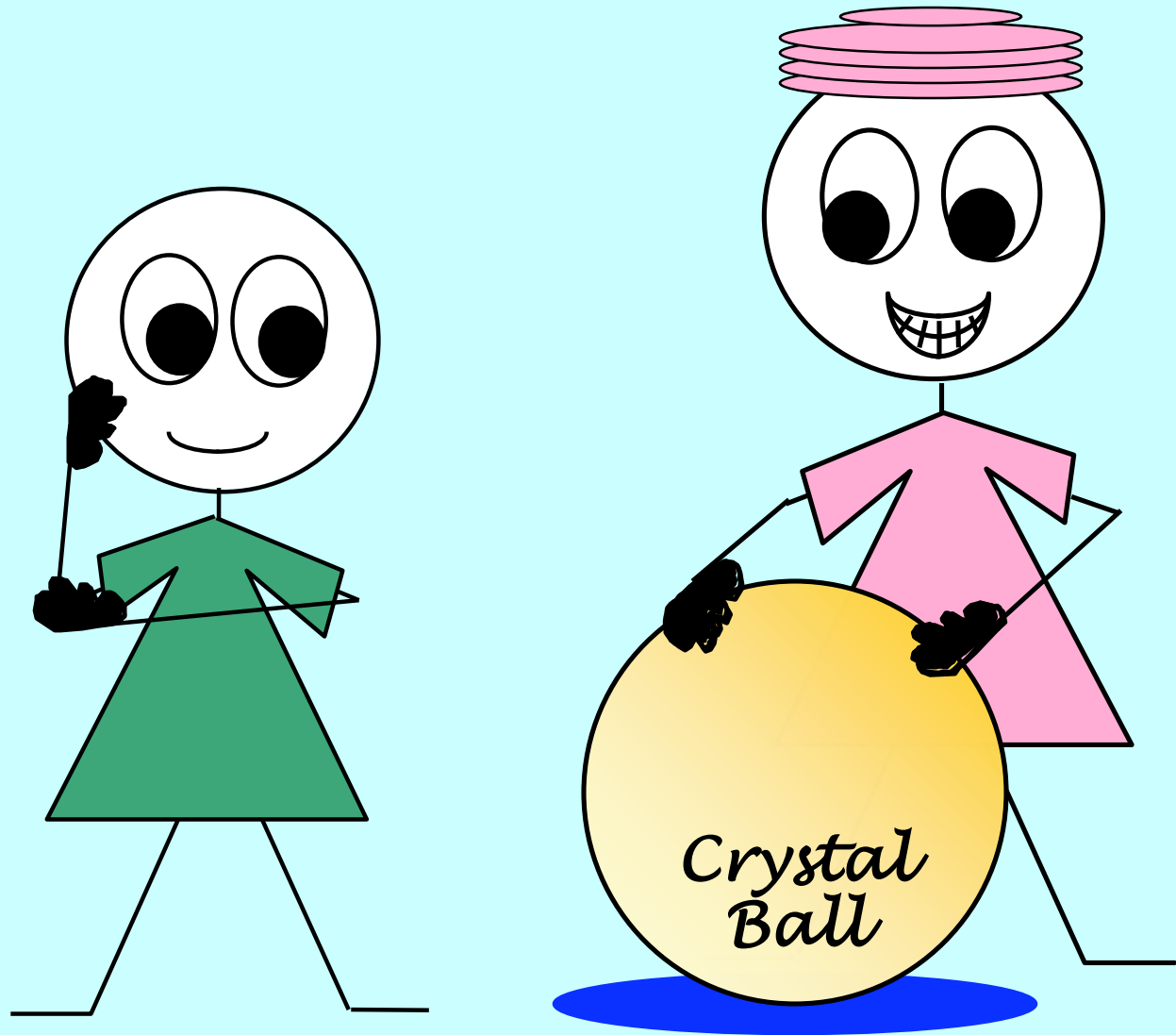
- If not "YES" to all the previous questions ...
 - Don't take anybody's time with the Customer Effectiveness Model ...
 - * Don't perform a rating ...
 - + More harm than good is guaranteed
 - Focus, instead, only on Expectations and Responsibilities
 - * You will still get benefits



Intended Use of these Tools

- **Self**
 - Awareness, diagnosis, improvement
- **Externally-facilitated self-awareness, self-diagnosis**
- **In all cases:**
 - Improving collaboration between customers and suppliers (internal, external)
 - Understanding how results correlate to:
 - * Profitability (industry: e.g., financial bottom-line profit; academia: e.g., enrolments; government: e.g., throughput)
 - * Customer satisfaction (including students)
 - * Quality of products / services (including courses, materials, educational experience on the whole)
 - * Results from other quality frameworks (e.g., ISO 9000, ITIL, CMMI, etc)
 - * Personal satisfaction
 - * Etc ...

What's Next ???



Opportunities for Collaboration

- **I'm looking for "partners"**
 - **Piloting the Customer Effectiveness Model and its results more systematically**
 - **Completing the Responsibilities for the Project Team's Bill of Expectations (per Steve McConnell's original)**
 - **Extending the Responsibilities for both customers and suppliers to academic environments**
 - **Producing a more systematic "validation" of the Customer Effectiveness Model**
 - **And ...**

Opportunities for Collaboration: Options

- (1) Present information on the model at your university (e.g., part of a software engineering class)
- (2) Partner with you and your students to extend the model into academia
- (3) Partner with you and your organisation to extend the model to project teams
- (4) Participate on a committee for PhD / Masters candidates pursuing research in this area
- (5) Support a team (faculty / PhD / Masters / Bachelors) studying this area
- (6) Introduce the model and its benefits to your organisation and its decision-makers
- (7) Introduce the model and its benefits to your clients and their decision-makers
- (8) Facilitate "relationship improvement" workshops - delivering business results
- (9) Collate data from your self-diagnosis and report results
- (10) Perform an externally-facilitated self-diagnosis
- (11) Create action plans for improving customer / supplier relationships
- (12) Others ... ???

What You Get

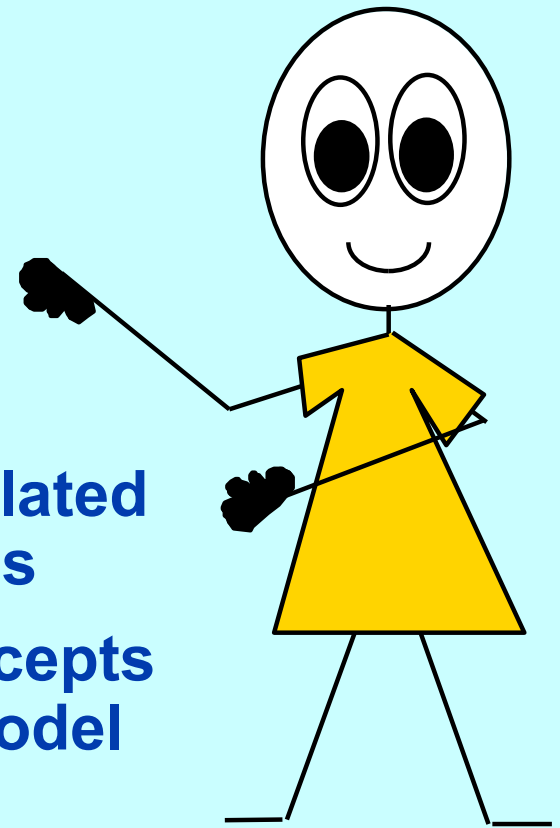
- **Results from our collaboration:**
 - **Covering our "statement of work"**
 - **Consistent with confidentiality rules**
 - * **E.g., only aggregate results reported; no individual sources of information identified**
- **Mention in all publications relating to our collaboration**
 - **Limited by constraints we identify at the beginning of our collaboration**
- **An opportunity to shape future work in this area**
- **Guarantee of confidentiality for all information identified by you as confidential**
- **My eternal gratitude**

Your Investment

- **No charge for my time doing straight-forward reviewing, data collection, delivering "packaged" presentations**
- **For all options:**
 - **You provide logistical support**
 - **You coordinate access to all appropriate people and materials**
 - **You ensure appropriate people and materials are available when / as needed**
 - **You cover my expenses fully**
- **For options where I do analysis and provide feedback based on that analysis:**
 - **You cover my time for those activities**

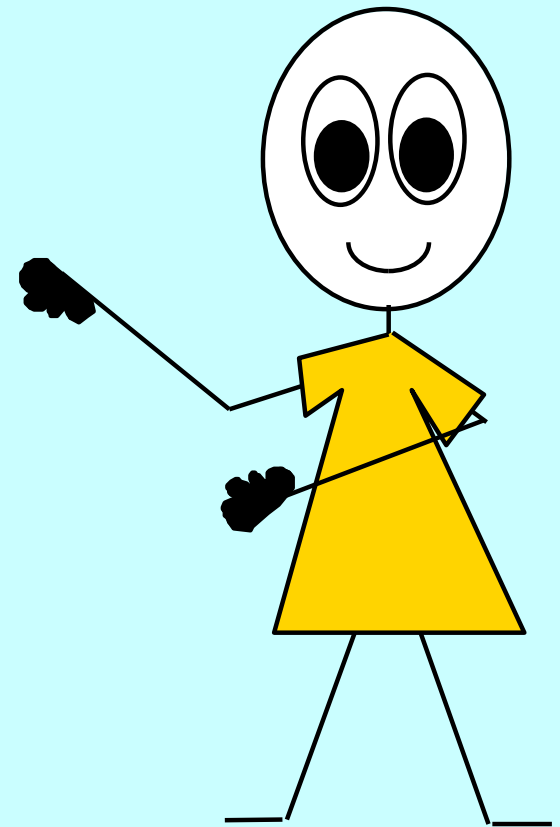
Summary (1)

- We've explored what a "Bill of Expectations" means to us
 - Industry, academia, government
 - As the Customer; as the Supplier
- We've seen how meeting our Expectations depends on how effectively we fulfil our Responsibilities
- We've talked briefly about a few other related models, frameworks, ideas, and schemes
 - And how they strengthen the key concepts behind the Customer Effectiveness Model
- We've identified some opportunities for collaboration



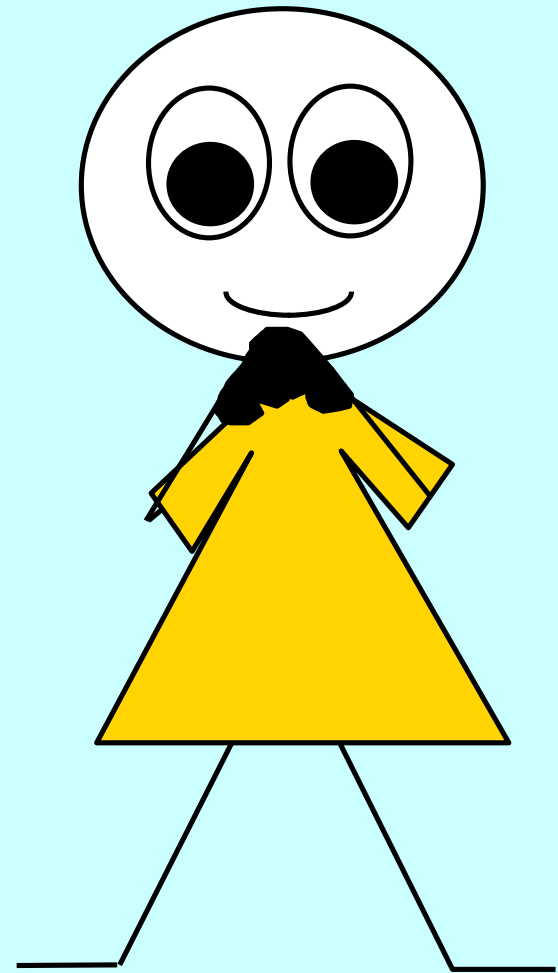
Summary (2)

- That's all for today ...
- I look forward to "next year" when we:
 - Report our learnings and findings
 - Identify our next steps
 - Create new opportunities for collaboration
 - Demonstrate incontrovertibly that improving Customer / Supplier relationships results in higher quality products and services



Thank You !!!

- Questions ???
- Answers ???



Project Team's Bill of "Rights" (Part 1) [6]

- (1) To know the project objectives and to clarify priorities
- (2) To know in detail what product I'm supposed to build and to clarify the product definition if it is unclear
- (3) To have ready access to the customer, manager, marketer, or other person responsible for making decisions about the software's functionality
- (4) To work each phase of the project in a technically responsible way, especially to not be forced to start coding too early in the project

[6] Steve McConnell, *Software Project Survival Guide*
1998, Microsoft Press

Project Team's Bill of "Rights" (Part 2) [6]

(5) To approve effort and schedule estimates for any work that I will be asked to perform

This includes the right to provide only the kinds of cost and schedule estimates that are theoretically possible at each stage of the project; to take the time needed to create meaningful estimates; and to revise estimates whenever the project's requirements change

(6) To have my project's status reported accurately to customers and upper management

(7) To work in a productive environment free from frequent interruptions and distractions, especially during critical parts of the project

[6] Steve McConnell, *Software Project Survival Guide* 1998, Microsoft Press

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